BOOKLET OF INFORMATION

Certification and Maintenance of Certification

February 2013

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1.01 INTRODUCTION

The American Board of Anesthesiology, Inc. (the ABA or Board) publishes its Booklet of Information to inform all interested individuals of the policies, procedures, regulations and requirements governing its certification programs. The Board reserves the right to amend the Booklet of Information from time to time without advance notice.

The official version of the booklet is available on the publications page of the ABA website at www.theABA.org.

The chair of the anesthesiology department is ultimately responsible for the residency program. The ABA corresponds officially about training matters with the department chair and the department chair’s appointed program director. If the chair notifies the ABA that a faculty member has been appointed as a designated official with responsibility for coordinating the administration of the program, the ABA corresponds with the department chair and program director about training matters and sends the designated official a copy of the correspondence.

The program must ensure that each resident’s training fulfills all criteria for entering the ABA examination system. However, it is crucial that the resident know the requirements described in this booklet, since the resident ultimately bears responsibility for compliance with the requirements and bears the consequences if one or more aspects of training prove unacceptable. This is especially important when requests are made for special training sequences or sites, or for exemptions. If, after speaking with the program director, there is any question about the acceptability of any portion of training, the resident should write the Secretary of the ABA directly at the ABA office.

Applicants and candidates for ABA examinations have the ultimate responsibility to know and comply with the Board’s policies, procedures, requirements and deadlines regarding admission to and opportunities for examination.

1.02 MISSION AND PURPOSES

The ABA mission is to advance the highest standards of the practice of anesthesiology.

The ABA exists in order to:

A. Advance the highest standards of practice by fostering lifelong education in anesthesiology, which the ABA defines as the practice of medicine dealing with but not limited to:

(1) Assessment of, consultation for, and preparation of, patients for anesthesia.

(2) Relief and prevention of pain during and following surgical, obstetric, therapeutic and diagnostic procedures.

(3) Monitoring and maintenance of normal physiology during the perioperative or periprocedural period.

(4) Management of critically ill patients.

(5) Diagnosis and treatment of acute, chronic and cancer-related pain.

(6) Management of hospice and palliative care.

(7) Clinical management and teaching of cardiac, pulmonary and neurologic resuscitation.

(8) Evaluation of respiratory function and application of respiratory therapy.
(9) Conduct of clinical, translational and basic science research.

(10) Supervision, teaching and evaluation of performance of both medical and allied health personnel involved in perioperative or periprocedural care, critical care, pain management, and hospice and palliative care.

(11) Administrative involvement in health care facilities and organizations, and medical schools as appropriate to the ABA’s mission.

B. Establish and maintain criteria for the designation of a Board-certified and subspecialty-certified anesthesiologist as described in the ABA’s Booklet of Information.

C. Inform the Accreditation Council for Graduate Medical Education (ACGME) concerning the training required of individuals seeking certification as such requirements relate to residency and fellowship training programs in anesthesiology.

D. Establish and conduct those processes by which the Board may judge whether a physician who voluntarily applies should be issued a certificate indicating that the required standards for certification or maintenance of certification as a diplomate of the ABA in anesthesiology or its subspecialties have been met.

A Board-certified anesthesiologist is a physician who provides medical management and consultation during the perioperative period in pain medicine and in critical care medicine. At the time of application and at the time of initial certification, a diplomate of the Board must possess knowledge, judgment, adaptability, clinical skills, technical facility and personal characteristics sufficient to carry out the entire scope of anesthesiology practice independently, without accommodation or with reasonable accommodation. An ABA diplomate must logically organize and effectively present rational diagnoses and appropriate treatment protocols to peers, patients, their families and others involved in the medical community. A diplomate of the Board can serve as an expert in matters related to anesthesiology, deliberate with others, and provide advice and defend opinions in all aspects of the specialty of anesthesiology. A Board-certified anesthesiologist is able to function as the leader of the anesthesiology care team.

Because of the nature of anesthesiology, the ABA diplomate must be able to manage emergent life-threatening situations in an independent and timely fashion. The ability to independently acquire and process information in a timely manner is central to assure individual responsibility for all aspects of anesthesiology care. Adequate physical and sensory faculties, such as eyesight, hearing, speech and coordinated function of the extremities, are essential to the independent performance of the Board-certified anesthesiologist. Freedom from the influence of or dependency on chemical substances that impair cognitive, physical, sensory or motor function also is an essential characteristic of the Board-certified anesthesiologist.

E. Serve the public, medical profession, health care facilities and organizations, medical schools and licensing boards by providing the names of physicians certified by the Board.
1.03 ABA CERTIFICATION MARKS

The ABA is the owner of the following certification marks:

A. The ABA seal:

![ABA Seal]

B. The American Board of Anesthesiology®

C. Maintenance of Certification in Anesthesiology Program®

D. MOCA®

Each of these marks is a registered certification mark with the United States Patent and Trademark Office as shown.

1.04 FEES

The ABA is a not-for-profit organization. Fees are based on the cost of maintaining the functions of the ABA.

Application and examination fees vary by date received. Current fees are posted on the ABA website at www.theABA.org. The Board reserves the right to change fees when necessary. All fees paid to the ABA are non-refundable.

1.05 STATUS OF INDIVIDUALS

The ABA reserves to itself exclusively the right to define an individual’s status relative to its examination and certification system. Status is limited to the period of time the physician’s certification or application for certification is valid.

The ABA defines clinically active as performing, teaching or supervising anesthesia in the operating room or other anesthetizing areas, on average, at least one day per week during 12 consecutive months over the previous three years. This activity must involve patients having a varied degree of systemic disease and who are undergoing surgery or diagnostic procedures requiring anesthetic care, and must be consistent with currently relevant knowledge of pharmacology, physiology and medicine.

The ABA has defined the following certification statuses:

- Certified
- Certified – Not Clinically Active
- Certified – Retired
- Expired
- Retired
- Revoked
Diplomates designated by the ABA as Not Clinically Active have attested to the ABA that they do not meet the ABA definition of clinical activity and do not plan to be clinically active for at least three years. Diplomates designated by the Board as Certified – Retired or Retired have attested to the ABA that they do not meet the ABA definition of clinical activity and do not plan to return to the practice of anesthesiology at any time in the future. Diplomates with a certification status of Retired or Revoked have to apply to the ABA to re-attain Certified status (see Section 5.07).

Inquiries about the current status of individuals should be addressed to the ABA office. In addition to the physician’s full name, inquiries should include other identification information if available. The ABA responds to inquiries with one or more of the following statements:

- The physician is certified by the ABA.
- The physician is currently enrolled in the Maintenance of Certification in Anesthesiology Program (MOCA).
  - The physician is meeting MOCA requirements.
  - The physician is not meeting MOCA requirements.
  - The physician is not required to meet MOCA requirements.
- The physician currently is not clinically active.
- The physician is retired from the practice of anesthesiology.
- The physician was certified by the ABA from (date of certification) to (date certification expired).
- The ABA revoked the physician’s certification, which had been in effect from (date of certification) to (date of revocation).
- The physician is a candidate in the ABA examination system (see Section 2.08 for the definition of a “candidate”).
- The physician has never been certified by the ABA.

The ABA will affirm the status of physicians who are certified in a subspecialty by the ABA.

The ABA will affirm the status of diplomates in the Maintenance of Certification in Anesthesiology Program (MOCA).

The ABA does not recognize “Board Eligible” as a physician status relative to the ABA examination system for primary certification in anesthesiology. Therefore, physicians should refrain from making any representations of being “Board Eligible.”

An individual’s current status relative to the ABA examination and certification system may be confirmed at no charge via the ABA Diplomate and Candidate Directory on the ABA website at www.theABA.org, which is the official source for verification of ABA certification status. The fee for written confirmation of an individual’s status is $35.00.

The certification marks identified in Section 1.03 are certification marks owned by The American Board of Anesthesiology, Inc., and only the ABA has any legal rights with respect to the ownership of such marks. In the event the ABA has reason to believe that individuals have misappropriated its certification marks for the purpose of misrepresenting their ABA certification status or for some other purpose, the ABA will aggressively defend the integrity of such marks, including but not limited to pursuing all legal remedies at law and in equity. After an investigation has been concluded and an individual has been determined to have committed such acts, the ABA may impose any of its own restrictions on the eligibility of the individual to participate in the ABA’s examination system, including but not limited to permanent exclusion from entrance to its examination system; and the ABA shall notify any state medical licensure board known by it to have licensed the individual.
PRIMARY CERTIFICATION IN ANESTHESIOLOGY

2.01 CERTIFICATION REQUIREMENTS

At the time of certification by the ABA, the candidate must:

A. Hold an unexpired license to practice medicine or osteopathy in at least one state or jurisdiction of the United States or province of Canada that is permanent, unconditional and unrestricted. Further, every United States and Canadian medical license the applicant holds must be free of restrictions.

Candidates for initial certification and ABA diplomates have the affirmative obligation to advise the ABA of any and all restrictions placed on any of their medical licenses, and to provide the ABA with complete information concerning such restrictions within 60 days after their imposition or notice, whichever first occurs. Such information shall include, but not be limited to, the identity of the State Medical Board imposing the restriction as well as the restriction’s duration, basis, and specific terms and conditions. Candidates and diplomates discovered not to have made disclosure may be subject to sanctions on their candidate or diplomate status.

B. Have fulfilled all the requirements of the continuum of education in anesthesiology.

C. Have on file with the ABA a Certificate of Clinical Competence with an overall satisfactory rating covering the final six-month period of clinical anesthesia training in each anesthesiology residency program.

D. Have satisfied all examination requirements of the Board.

E. Have a professional standing satisfactory to the ABA (see Section 5.06).

F. Be capable of performing independently the entire scope of anesthesiology practice without accommodation or with reasonable accommodation (see Sections 1.02.A and 1.02.D).

Although admission into the ABA examination system and success with the examinations are important steps in the ABA certification process, they do not by themselves guarantee certification. The Board reserves the right to make the final determination of whether each candidate meets all of the requirements for certification, including A, E and F above, after successful completion of examinations for certification.

ABA certificates in anesthesiology issued on or after January 1, 2000, are valid for 10 years after the year the candidate passes the examination for certification. ABA certificates are subject to ABA rules and regulations, including its Booklet of Information, all of which may be amended from time to time without further notice.

A person certified by the ABA is designated a diplomate in publications of the American Board of Medical Specialties and the American Society of Anesthesiologists.

2.02 THE CONTINUUM OF EDUCATION IN ANESTHESIOLOGY

The continuum of education in anesthesiology consists of four years of full-time training subsequent to the date that the medical or osteopathic degree has been conferred. The continuum consists of a clinical base year and 36 months of approved training in anesthesia (CA-1, CA-2 and CA-3 years). Prospective approval by the ABA is required for exceptions to ABA policies regarding the training planned for individual residents.

A. During the clinical base year, the physician must be enrolled and training as a resident in a transitional year or primary specialty training program in the United States or its territories that is accredited by the ACGME or approved by the American Osteopathic Association, or outside the United States and its territories in institutions affiliated with medical schools approved by the Liaison Committee on Medical
Education from the date the training begins to the date it ends. **Training as a fellow in a subspecialty program is not an acceptable clinical base experience.**

The **clinical base year** must include at least six months of clinical rotations during which the resident has responsibility for the diagnosis and treatment of patients with a variety of medical and surgical problems, of which at most one month may involve the administration of anesthesia and one month of pain medicine. Acceptable clinical base experiences include training in internal medicine, pediatrics, surgery or any of their subspecialties, obstetrics and gynecology, neurology, family medicine or any combination of these as approved for residents by the directors of their training programs in anesthesiology. The clinical base year should also include rotations in critical care and emergency medicine, with at least one month, but no more than two months, devoted to each. Other rotations completing the 12 months of broad education should be relevant to the practice of anesthesiology.

The resident must complete the clinical base year before beginning CA-3 year clinical rotations.

**B. The three-year clinical anesthesia curriculum (CA 1-3)** consists of experience in basic anesthesia training, subspecialty anesthesia training and advanced anesthesia training. It is a graded curriculum of increasing difficulty and learning that is progressively more challenging of the resident’s intellect and technical skills.

1. **Experience in basic anesthesia training** is intended to emphasize basic and fundamental aspects of the management of anesthesia. It is recommended that at least 12 months of the CA-1 and CA-2 years be spent in basic anesthesia training with a majority of this time occurring during the CA-1 year.

2. **Subspecialty anesthesia training** is required to emphasize the theoretical background, subject material and practice of subdisciplines of anesthesiology. These subdisciplines include obstetric anesthesia, pediatric anesthesia, cardiothoracic anesthesia, neuroanesthesia, anesthesia for outpatient surgery, recovery room care, perioperative evaluation, regional anesthesia and pain medicine. It is recommended that these experiences be subspecialty rotations and occur in the CA-1 and CA-2 years. The sequencing of these rotations in the CA-1 and CA-2 years is left to the discretion of the program director.

By the end of the CA-3 year, required experiences in perioperative care must include four months of distinct rotations in critical care medicine with progressive responsibility and three months in pain medicine that may include one month in an acute perioperative pain management rotation, one month in a rotation for assessment and treatment of inpatients and outpatients with chronic pain, and one month of regional analgesia experience in pain medicine. Experiences in these rotations must emphasize the fundamental aspects of anesthesia, preoperative evaluation and immediate postoperative care of surgical patients, and assessment and treatment of critically ill patients and those with acute and chronic pain. An acceptable critical care rotation should include active participation in patient care, active involvement by anesthesia faculty experienced in the practice and teaching of critical care and an appropriate population of critically ill patients. Experience in short-term overnight post-anesthesia units, intermediate step-down units or emergency rooms does not fulfill this requirement.

3. **Experience in advanced anesthesia training** constitutes the CA-3 year. The program director, in collaboration with the resident, will design the resident’s CA-3 year of training. The CA-3 year is a distinctly different experience than the CA 1-2 years, requiring progressively more complex training experiences and increased independence and responsibility for the resident. Resident assignments in the CA-3 year should include the more difficult or complex anesthetic procedures and care of the most seriously ill patients. Residents must complete the clinical base and CA 1-2 years of training before they begin clinical rotations in fulfillment of the CA-3 year requirement.

CA-3 residents are required to complete a minimum of six months of advanced anesthesia training. They may spend the remaining months in advanced anesthesia training in one to three selected
subspecialty rotations, or in research. Residents may train in one anesthesia subspecialty for at most six months during the CA-3 year and no more than 12 months during the CA 1-3 years. The training must culminate in sufficiently independent responsibility for clinical decision-making and patient care so that the graduating resident demonstrates sound clinical judgment in a wide variety of clinical situations and can function as a leader of perioperative care teams.

(4) There are options for research during the anesthesiology residency. Interested residents could spend approximately 25% of a three- or four-year training program, and 38% of a five-year program, engaged in scholarly activities. Suggested templates for research during the anesthesiology residency are posted on the ABA website at www.theABA.org. The program director must develop a plan with strict guidelines for research activity and “work product” oversight if a resident’s research activities will be more than six months. The resident must be enrolled in an ACGME-accredited anesthesiology program and remain active in the educational component of the program while pursuing research.

Involvement in scholarly activities must result in the generation of a specific permanent “work product.” Review of scholarly activity and the permanent work product will occur at the local level by a Scholarship Oversight Committee responsible for overseeing and assessing the trainee’s progress and verifying to the ABA that the requirement has been met. The Scholarship Oversight Committee must consist of three or more faculty members. The program director may serve as a trainee’s mentor and participate in the activities of the Scholarship Oversight Committee, but should not be a standing member.

By prospective (at least four months in advance) application to the Credentials Committee of the ABA, exceptions will be considered for:

- Aggregating research time normally allocated across the clinical base and clinical anesthesia years into one or more years, allowing a significant amount of time to be used for research as a block.
- Leave of absence from the clinical program for research activities.
- Additional months in research, especially if the research is prospectively integrated in the training program.

A resident must have a satisfactory Clinical Competence Committee report for six months of clinical anesthesia training immediately preceding any research period unless prospectively approved by the ABA Credentials Committee.

C. The ABA grants a resident credit toward the CA 1-3 year requirements for clinical anesthesia training that satisfy all four of the following conditions:

(1) The CA 1-3 years of training are spent as a resident enrolled with the ABA by no more than two ACGME-accredited anesthesiology residency programs in the United States or its territories. An ACGME-accredited program includes the sponsoring (parent) institution and major participating institutions (i.e., institutions that have an RRC-approved integration or affiliation agreement with the sponsoring institution). All three years of CA training must occur in programs that are accredited by the ACGME for the entire period of training.

(2) The period of clinical anesthesia training as an enrolled resident of any single program is at least six months of uninterrupted training.

(3) The six-month period of clinical anesthesia training in any one program ends with receipt of a satisfactory Certificate of Clinical Competence. To receive credit from the ABA for a period of clinical anesthesia training that is not satisfactory, the resident must immediately complete an additional six months of uninterrupted clinical anesthesia training in the same program with receipt of a satisfactory Certificate of Clinical Competence. If a resident receives consecutive Certificates of Clinical
**Competence that are not satisfactory, additional training is required.** When a resident receives a satisfactory Certificate of Clinical Competence immediately following consecutive periods of training that are not satisfactory, the ABA will grant credit only for the period of satisfactory training and the most recent of the periods of unsatisfactory training immediately preceding it.

For residents who receive an unsatisfactory Certificate of Clinical Competence for a period of training completed in an integrated training program where clinical base year rotations are intermingled with clinical anesthesia rotations, the Credentials Committee of the ABA shall determine the amount of training credit granted for the unsatisfactory period.

(4) Training away from the resident's ACGME-accredited anesthesiology program cannot occur until completion of at least one year of clinical anesthesia or during the last three months of the CA-3 year, unless such training will be in another ACGME-accredited anesthesiology program.

Current Residency Review Committee requirements limit training in institutions not integrated with the resident's ACGME-accredited program to a maximum of 12 months throughout the CA 1-3 years. The ABA will accept no more than six of these months in institutions not affiliated with the ACGME-accredited program. Therefore, residents must complete a minimum of 24 months of clinical anesthesia training in their ACGME-accredited program's parent and integrated institutions and may complete at most six months of clinical anesthesia training away from their ACGME-accredited program.

The Credentials Committee of the ABA must prospectively approve clinical anesthesia training away from the ACGME-accredited program even if the training will occur in another ACGME-accredited program (see Section 2.02.E). The request for approval must include a chronological description of the rotations, information about resident supervision, and assurances that residents will be in compliance with the limits on training away from their ACGME-accredited programs. Further, residents must remain enrolled in their programs while training away from the ACGME-accredited programs, and their programs must report the training on the Clinical Competence Committee report filed for the period involved.

**D.** The Credentials Committee of the ABA will assess individually requests for part-time training. Prospective approval is required for alteration in the number of hours per week of training or alteration in the temporal distribution of the training hours (e.g., substantially different night and weekend hours) from other residents in the program. It is expected that residents will take not more than twice the “standard time” to achieve the level of knowledge and clinical experience comparable to a full-time resident completing the program in standard time. Residents who train on a part-time basis are expected to meet all the program's didactic requirements before training is complete.

Requests for part-time training must be in writing from the program director and countersigned by the department chair (if that is another person), the hospital's Designated Institutional Officer (DIO), and the resident. The letter must include: (1) the reason for the part-time training request, (2) documentation about how all clinical experiences and educational objectives will be met, (3) assurance that the part-time training program will teach continuity-of-care and professionalism and (4) an explanation about how the part-time training program will maintain the overall quality, content and academic standards/clinical experiences of the training program required of a full-time trainee.

**E.** **Prospective approval is required** for exceptions to ABA policies regarding the training planned for individual residents (see Sections 2.02.B (3) and 2.02.C (4)). The Credentials Committee of the ABA considers requests for prospective approval on an individual basis. The ABA office must receive the request from the program director on behalf of a resident at least four months before the resident begins the training in question. It is the responsibility of the program director and the resident to assure that the request is received in a timely manner.
2.03 ABSENCE FROM TRAINING

The total of any and all absences may not exceed 60 working days (12 weeks) during the CA 1-3 years of training. Attendance at scientific meetings, not to exceed five working days per year, shall be considered a part of the training program. Duration of absence during the clinical base year may conform to the policy of the institution and department in which that portion of the training is served. Absences in excess of those specified will require lengthening of the total training time to the extent of the additional absence. A lengthy interruption in training may have a deleterious effect upon the resident’s knowledge or clinical competence. Therefore, when there is an absence for a period in excess of six months, the Credentials Committee of the ABA shall determine the number of months of training the resident will have to complete subsequent to resumption of the residency program to satisfy the training required for admission to the ABA examination system.

2.04 ENTRANCE REQUIREMENTS

At the time of application to enter the examination system of the ABA, the applicant must:

A. Have graduated from a medical school in a state or jurisdiction of the United States or in Canada that was accredited at the date of graduation by the Liaison Committee on Medical Education, the Committee on Accreditation of Canadian Medical Schools or the American Osteopathic Association. Graduates of medical schools outside the jurisdiction of the United States and Canada must have one of the following: a permanent (valid indefinitely) certificate from the Educational Commission for Foreign Medical Graduates, comparable credentials from the Medical Council of Canada or documentation of training for those who entered postdoctoral medical training in the United States via the Fifth Pathway as proposed by the American Medical Association.

B. Provide evidence satisfactory to the Board of having been awarded a medical or osteopathic degree acceptable to the Board.

C. Provide evidence acceptable to the Board of having satisfied the licensure requirement for certification by November 30 of the year in which the Part 1 Examination for which they applied is administered (see Section 2.01.A). Training licenses do not fulfill this licensure requirement for certification. Applicants must inform the ABA of any conditions or restrictions in force on any active medical license they hold. When there is a restriction or condition in force on any of the applicant’s medical licenses, the Credentials Committee of the ABA will determine whether, and on what terms, the applicant shall be admitted to the ABA examination system.

D. Have on file in the ABA office evidence of having satisfactorily fulfilled all requirements of the continuum of education in anesthesiology before the date of examination and after receiving a medical or osteopathic degree acceptable to the ABA. Such evidence must include a satisfactory Certificate of Clinical Competence covering the final six months of clinical anesthesia training in each residency program (see Sections 2.02.C (3) and 2.05 for details). A grace period will be permitted so that applicants completing this requirement by September 30 may apply for the immediately preceding the Part 1 Examination.

E. Have on file with the Board documentation attesting to the applicant’s current privileges and evaluations of various aspects of their current practice of anesthesiology. Such evaluations will include verification that the applicants meet the Board’s clinical activity requirement by spending, on average, at least one day per week during 12 consecutive months over the previous three years in the clinical practice of anesthesiology and/or related subspecialties. The ABA may solicit such documentation and evaluations from the residency program director or others familiar with the applicant’s current practice of anesthesiology and use them in determining the applicant’s qualifications for admission to the examination system. The Clinical Competence Committee Report from the department and the evaluation of the program director and others will be used as the basis for assessing admission qualifications.
F. International medical graduates practicing anesthesiology in the United States may use an alternate path at most once to qualify for entrance into the ABA examination system for initial certification in the specialty (see Section 5.08). They must fulfill all of the above entrance requirements except requirements D and F. In lieu of Entrance Requirement D, the department chair and the international medical graduate should refer to Section 5.08.

G. Be capable of performing independently the entire scope of anesthesiology practice without accommodation or with reasonable accommodation (see Sections 1.02.A and 1.02.D).

The ABA will not validate or report the results to applicants who take the Part 1 Examination and do not fulfill those conditions identified in Sections 2.04.C and D by the deadlines.

The ABA shall determine that entry into the examination system is warranted when required information submitted by and on behalf of the applicant is satisfactory. The ABA will notify an applicant who is accepted as a candidate for certification after approval of all credentials.

Although admission into the ABA examination system and success with the examinations are important steps in the ABA certification process, they do not by themselves guarantee certification. The Board reserves the right to make the final determination of whether each candidate meets all of the requirements for certification (see Section 2.01 and Section 5.09).

The Board, acting as a committee of the whole, reserves the right not to accept an application. The applicant has the right to seek review of such decision (see Section 5.05).

The Board reserves the right to correct clerical errors affecting its decisions.

2.05 CERTIFICATE OF CLINICAL COMPETENCE

The Board requires every residency training program to file, on forms provided by the Board, an Evaluation of Clinical Competence in January and July on behalf of each resident who has spent any portion of the prior six months in clinical anesthesia training in or under the sponsorship of the residency program and its affiliates. The Program Director or Department Chair must not chair the Clinical Competence Committee.

Entry into the examination system is contingent upon the applicant having a Certificate of Clinical Competence on file with the Board attesting to satisfactory clinical competence during the final period of clinical anesthesia training in or under the sponsorship of each program (see Section 2.02.C (3) for details). The Board, therefore, will deny entry into the examination system until this requirement is fulfilled.

Residents who wish to appeal an Evaluation of Clinical Competence, and applicants who wish to appeal final recommendations from the Program Director or Department Chair, must do so through the reporting institution’s grievance and due process procedures.

2.06 APPLICATION PROCEDURE

A. Application for admission to the ABA examination system must be made using the ABA Online Portal, via the ABA website at www.theABA.org. Exceptions to this requirement will be considered upon written request. Written requests are to be addressed to the ABA Secretary and must include the basis for the requested exception.

B. The application form includes the following Acknowledgement, which the applicant shall be required to sign by electronic signature:
I, the undersigned applicant ("Applicant"), hereby apply to the ABA for entrance into its examination system for the purpose of obtaining ABA certification status ("Certification"). I acknowledge that my application is subject to the ABA rules and regulations. I further acknowledge and agree that if I withdraw my application or the ABA does not accept it, the ABA will retain the application fee and any late fee.

I represent and warrant to the ABA that all information contained in this application ("Application") is true, correct and complete in all material respects. I understand and acknowledge that any material misstatement in or omission from this Application shall, at any time, constitute cause for disqualification from the ABA examination system or from the issuance of an ABA Certificate or to forfeiture and redelivery of such ABA Certificate to the ABA.

I agree that this Acknowledgement, as submitted by me, shall survive the electronic submission of the Application, regardless of whether or not the information or data provided in the Application has been reformatted in any manner by the ABA. I also agree that this Acknowledgement is a part of and incorporated into the Application whether submitted along with the Application or not.

I acknowledge that I have read a copy of the applicable ABA Booklet of Information. I agree to be bound by the policies, rules, regulations and requirements published in the applicable Booklet, in all matters relating to consideration of and action upon this Application and Certification should it be granted. I understand that ABA certificates are subject to ABA rules and regulations, all of which may be amended from time to time without further notice. I understand and acknowledge that in the event I have violated any of the ABA rules governing my Application and/or Certification, such violations shall constitute cause for disqualification from the ABA examination system or from the issuance of an ABA Certificate or for revocation of certification and indication of such action in the ABA Diplomate and Candidate Directory.

C. The Application also includes the following Release, which the applicant shall be required to sign by electronic signature:

I, the undersigned applicant ("Applicant"), hereby apply to the ABA for entrance into its examination system for the purpose of obtaining ABA certification status ("Certification"). I acknowledge that this application ("Application") is subject to the ABA rules and regulations, all of which may be amended from time to time without further notice.

In connection with my Application, (#________), I authorize all persons holding testimony, records, documents, opinions, information and data relevant to or pertaining to my professional competence and ethical conduct and/or behavior (the "Information") to release such Information to the ABA, its employees and agents. This authorization applies whether or not such persons are listed as a reference on my Application. The Information includes any information relating to any abusive use of alcohol and/or illegal use of drugs, and any medical or psychiatric treatment or rehabilitation related thereto. The purpose of releasing such Information is to determine or verify my qualifications for entrance into the ABA entrance examination and ABA Certification. A copy of this release may accompany any request made by the ABA for such Information.

I authorize the ABA to: (1) report my status in the examination system, including the results of any Part 1 or Part 2 Examination, to the Director and Department Chair of the program from which I completed my clinical training; (2) use any score in psychometric analyses to confirm observations and reports of suspected irregularities in the conduct of an examination; and (3) respond to any inquiry about my status in the ABA examination system.

I also authorize the ABA to use any and all Information for the purpose of conducting longitudinal studies to assess the ABA certification process. Finally, I authorize the ABA and researchers conducting research on behalf of the ABA to use any and all Information for the purpose of conducting scientific research relating to anesthesiologists, the practice of anesthesiology and or the education of anesthesiologists. Such Information may be reported or released only in the aggregate, and any results of such studies will have no direct bearing on my Application or Certification status.
Subject to applicable state and federal law requirements and the specific authorization herein, the ABA shall hold all Information in confidence.

I release and agree to hold harmless each person from any liability to me arising out of the giving or releasing of Information to the ABA. This release and agreement includes liability for the inaccuracy or untruth of the Information, so long as such Information is provided in good faith. I also release and agree to hold harmless the ABA and its agents and employees, including but not limited to its directors, officers and examiners, from any liability to me as a result of any acts or proceedings undertaken or performed in connection with my Application, provided such acts or proceedings are made or conducted in good faith.

2.07 FILING AND DECISION DEADLINES

A. The ABA Part 1 Examination is administered once each year. Test dates are available on the last page of the Booklet of Information. However, for the most current test dates please visit the ABA website at www.theABA.org, which is the official source of ABA test dates and deadlines.

Applications may be submitted at any time during the application cycle. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information.) Please note that application fees vary by filing date. Current fees are published on the ABA website at www.theABA.org. The application deadline is absolute. Regardless of the reason, the ABA will not consider an application for primary certification in anesthesiology that is received after the deadline.

The ABA must receive all documentation it requires to make a decision about an applicant’s qualifications for admission to the Part 1 Examination by the decision deadline. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information.) This includes, but is not limited to, references and evidence of having qualified for medical licensure. An application will not be accepted if the required documentation is not received by that date. It is ultimately the responsibility of every applicant to assure that the ABA receives all required documentation in a timely manner.

B. The ABA Part 2 Examination is administered twice each year. Test dates are available on the last page of the Booklet of Information. However, for the most current test dates please visit the ABA website at www.theABA.org, which is the official source of ABA test dates and deadlines.

(1) Candidates who complete their registration by November 30 of the year preceding the Part 2 Examination will be randomized by computer and assigned to either the Spring or Fall Part 2 Examination based on availability and personal preference. Assignments to the Spring or Fall examination are not based on the date the registration is completed, as long as the registration is completed by the deadline date.

(2) Candidates who complete their registration between December 1 of the year preceding the examination and May 1 of the examination year will be assigned to the Fall Part 2 Examination.

(3) Upon request, candidates currently enrolled in ACGME-accredited fellowship training for which the ABA awards subspecialty certification who register to take the Part 2 Examination by November 30 will be given priority assignment to the Spring Part 2 Examination in the year after they pass the Part 1 Examination.

2.08 DURATION OF CANDIDATE STATUS

A. The duration of candidate status is limited. If a candidate does not satisfy all requirements for certification within the prescribed time period, as described next, the ABA will declare the candidate’s application void and the candidate must reestablish eligibility for the ABA examination system.
(1) Candidates who completed residency training prior to January 1, 2012, must satisfy all requirements for certification by January 1, 2019.

The ABA will no longer limit the number of opportunities candidates will be given to satisfy an examination requirement. Candidates will now have one examination appointment per calendar year until January 1, 2019, to successfully complete both the ABA’s Part 1 Examination and the Part 2 Examination and satisfy all other requirements for ABA certification.

(2) Candidates who complete residency training after January 1, 2012, must satisfy all requirements for certification within seven years of the last day of the year in which residency training was completed.

The ABA will no longer limit the number of opportunities candidates will be given to satisfy an examination requirement. Candidates will now have one examination appointment per calendar year until seven years of the last day of the year in which residency training was completed to successfully complete both the ABA’s Part 1 Examination and the Part 2 Examination and satisfy all other requirements for ABA certification.

Individuals will be considered candidates in the ABA examination system when their first application for primary certification in anesthesiology is accepted. Candidates with at least one prior voided application will not be considered candidates in the ABA examination system, regardless of application status, until they pass the Part 1 Examination.

The ABA does not recognize “Board Eligible” as a physician status relative to the ABA examination system for primary certification in anesthesiology. Therefore, physicians should refrain from making any representations of being “Board Eligible.” (see Section 1.05.)

2.09 THE EXAMINATION SYSTEM

The examination system for ABA primary certification in anesthesiology has two distinct parts, the Part 1 Examination and the Part 2 Examination. Each is designed to assess different qualities of a Board certified anesthesiologist as previously defined in Section 1.02.D. It is necessary for candidates to pass the Part 1 Examination to qualify for the Part 2 Examination. Candidates must wait at least six months after passing the Part 1 Examination to be eligible to take the Part 2 Examination.

A. Part 1 Examination

The Part 1 Examination is designed to assess the candidate’s knowledge of basic and clinical sciences as applied to anesthesiology. Part 1 Examinations are held annually in locations throughout the United States and Canada. A passing grade, as determined by the Board, is required. The Part 1 Examination will be administered by computer through a third-party testing vendor.

Scheduling: After candidates register for an examination and pay the examination fee via their ABA portal account (as described in Section 2.09C), candidates must schedule a test appointment with the test vendor according to procedures detailed on the ABA portal account.

B. Part 2 Examination

The Part 2 Examination is designed to assess the candidate’s ability to demonstrate the attributes of an ABA diplomate when managing patients presented in clinical scenarios. The attributes are sound judgment in decision-making and management of surgical and anesthetic complications, appropriate application of scientific principles to clinical problems, adaptability to unexpected changes in the clinical situations, and logical organization and effective presentation of information. The Part 2 Examination emphasizes the scientific rationale underlying clinical management decisions. The ABA conducts Part 2 Examinations in the spring and fall of each year at a single location in the United States. Examiners are
Directors of the Board and other ABA diplomates who assist as associate examiners. A passing grade, as determined by the Board, is required.

**Scheduling:** Two months prior to an examination, the ABA notifies candidates of the exact date, time and location of their examination and the rules for examination conduct. The ABA will not schedule candidates to take consecutive Part 2 Examinations.

The Board reserves the right to limit the number of candidates to be admitted to any examination. Places in the **Part 2 Examination schedule** are assigned randomly when more candidates request the examination than can be accommodated. Candidates who are not assigned to the examination they requested are assigned to the next examination for which they are eligible. Candidates who do not take or do not pass the Part 2 Examination for which they are scheduled, for whatever reason, are not eligible to take the next regularly scheduled Part 2 Examination.

**C. Notification, Acceptance and Cancellation of Examination Opportunities**

Four months prior to an examination, the ABA notifies candidates of their eligibility to register for a **Part 1 or Part 2 Examination**. The notification is sent to candidates at their email address of record on file in the ABA office. Candidates are required to respond to every Part 1 or Part 2 Examination notice via their ABA portal account by the response date established by the ABA. Candidates who notify the ABA of their intention to take the examination must pay the examination fee at that time. Examination fees vary by date paid. Current fees are posted on the ABA website at [www.theABA.org](http://www.theABA.org).

(1) **A candidate who cancels a scheduled examination appointment** must submit a written request to cancel prior to the examination. A cancellation fee must accompany the candidate’s request in order to retain the examination fee for the next test appointment. Current fees are posted on the ABA website at [www.theABA.org](http://www.theABA.org).

(2) **A candidate who misses a scheduled examination appointment** because of an unavoidable or catastrophic event must submit a written request with explanation and independent documentation of the event. In order to retain the examination fee for the next test appointment, the ABA must receive the candidate’s request and the cancellation fee no later than one week after the examination date.

(3) **A candidate who misses an examination appointment and does not cancel the scheduled examination appointment forfeits the examination fee.**

**D.** The ABA office is not responsible for an interruption in communication with a candidate that is due to circumstances beyond its control. Candidates must immediately notify the ABA of an address change or change in their email address via the ABA website at [www.theABA.org](http://www.theABA.org), or by writing the ABA office. Candidates must call the ABA office if they do not receive an examination notice they are expecting within the time frames described above. The candidate’s ABA identification number should be included on all correspondence to the Board solely for identification purposes.

**E.** The ABA assesses a candidate’s Professional Standing continually. ABA candidates have the affirmative obligation to advise the ABA of any and all restrictions placed on any of their medical licenses, and to provide the ABA with complete information concerning such restrictions within 60 days after their imposition. Such information shall include, but not be limited to, the identity of the medical board imposing the restriction as well as the restriction’s duration, basis, and specific terms and conditions.

**F.** ABA examinations are administered to all candidates under the same standardized testing conditions. The Board will consider a candidate’s complaint about the testing conditions under which an ABA examination was administered only if the complaint is received within one week of the test date.
2.10 REAPPLICATION

Physicians whose applications for primary certification have been voided may submit a new application to enter the examination system. Such application shall be subject to the fees, rules, privileges and entrance requirements that apply at the time of reapplication. The applicant who meets existing entrance requirements at the time of application will be readmitted into the examination system. Current entrance requirements are described in Section 2.04. In all instances, the candidate must pass both the Part 1 and Part 2 Examinations under the new application within the time limits specified in Section 2.08.

2.11 STAGED EXAMINATIONS PROGRAM

A. The American Board of Anesthesiology is transitioning to a new staged examinations assessment program. The first group of residents involved in this transition includes those beginning their internship year in July 2012 and their CA-1 year in July 2013. Rather than taking the Part 1 Examination at the conclusion of residency, this class will take a staged Part 1 Examination that will consist of two separate examinations.

B. The first of these examinations, the BASIC Examination, will be offered in July 2014. It will be followed by the ADVANCED Examination after the conclusion of residency training in 2016. The Part 2 (Oral) Examination will become the APPLIED Examination. Its content and format will change beginning in 2017.

C. Complete details of the staged examinations program will be sent to residents who are directly affected and training programs in October 2013, and will be included in the February 2014 Booklet of Information.
3.01 ABA SUBSPECIALTY CERTIFICTATES

The ABMS has authorized the ABA and other ABMS Member Boards to award certification in the subspecialties of critical care medicine, pain medicine, hospice and palliative medicine, sleep medicine and pediatric anesthesiology.

A. The discipline of critical care medicine (CCM) has evolved over the last few decades in parallel with the development of techniques and technology for acute and long-term life support of patients with multiple organ system derangement. Because problems encountered in the critically ill patient encompass aspects of many different specialties, critical care medicine is a multidisciplinary endeavor that crosses traditional department and specialty lines.

The critical care medicine physician is a specialist whose knowledge is of necessity broad, involving all aspects of management of the critically ill patient, and whose primary base of operation is the intensive care unit (ICU). This physician has completed training in a primary specialty and has received additional training in critical care medicine aspects of many disciplines. This background enables the physician to work in concert with the various specialists on the patient care team in the ICU; to utilize recognized techniques for vital support; to teach other physicians, nurses and health professionals the practice of intensive care; and to foster research.

B. Pain medicine (PM) is the medical discipline concerned with the diagnosis and treatment of the entire range of painful disorders. Because of the vast scope of the field, pain medicine is a multidisciplinary subspecialty. The expertise of several disciplines is brought together in an effort to provide the maximum benefit to each patient. Although the care of patients is heavily influenced by the primary specialty of physicians who subspecialize in pain medicine, each member of the pain treatment team understands the anatomical and physiological basis of pain perception, the psychological factors that modify the pain experience and the basic principles of pain medicine.

C. Hospice and palliative medicine (HPM) is based on expanding scientific knowledge about symptom control when a cure is not possible, and on appropriate care during the last stages of life. Research, teaching and practice efforts in this field have led to a vast increase in knowledge in the effort to relieve suffering of seriously ill patients and their families. Physicians who acquire subspecialist-level knowledge and skills in hospice and palliative medicine largely practice in one of two distinct professional roles: 1) hospice medical director, and 2) institution-based palliative care practice.

The competencies emphasized in the subspecialty of hospice and palliative medicine are needed so that the health care system can better respond to the steadily increasing number of patients with life-threatening illnesses characterized by prolonged courses during which the burden of illness increases, quality of life declines, suffering from multiple sources becomes manifest, and caregivers experience increasing burden and distress. Many in this population pose complex problems which the specialist in hospice and palliative medicine is uniquely trained to address. Subspecialists may take on the primary management of patients, during which they will work with a team to address patient and family problems in multiple domains, typically including the management of active dying. Subspecialists also function as consultants, working with the attending physician to accomplish the same goals by providing expertise, particularly where symptoms, ethical issues or communication issues are complex.

D. Sleep medicine (SM) is the medical discipline concerned with the care of patients with sleep problems and specific sleep disorders. Sleep medicine encompasses a multidisciplinary body of knowledge regarding the anatomy, physiology, biochemistry, pathophysiology and pharmacology of sleep and wakefulness, and of their disorders.

E. Pediatric anesthesiology (PA) is a discipline of anesthesiology that includes the evaluation, preparation, and management of pediatric patients undergoing diagnostic and therapeutic procedures in operative and critical care settings. In addition, this discipline also entails the evaluation and treatment of children with acute and chronic painful disorders.
3.02 CERTIFICATION REQUIREMENTS

At the time of subspecialty certification by the ABA, the candidate must:

A. Be a diplomate of the ABA.
B. Fulfill the licensure requirement for certification (see Section 2.01.A).
C. Have fulfilled the subspecialty training requirement as defined by the ABA.
D. Have satisfied the subspecialty examination requirement as defined by ABA.
E. Have a professional standing satisfactory to the ABA (see Section 5.06).
F. Be capable of performing independently the entire scope of subspecialty practice without accommodation or with reasonable accommodation.
G. For subspecialty certification in sleep medicine and pediatric anesthesiology, physicians must be participants in the ABA’s Maintenance of Certification in Anesthesiology (MOCA) program.

Although admission into the ABA examination system and success with the examination are important steps in the ABA certification process, they do not by themselves guarantee certification. The Board reserves the right to make the final determination of whether each candidate meets all of the requirements for certification, including B, E and F above, and Section 5.09, after successful completion of examinations for subspecialty certification.

The ABA awards subspecialty certification only to qualified ABA diplomates who do not hold a valid certificate in the same subspecialty from another ABMS Member Board. ABA subspecialty certificates are valid for 10 years after the year the candidate passes the subspecialty examination. Diplomates with a time-limited certificate may take the subspecialty recertification examination as early as the seventh year of their most recent certification.

ABA subspecialty certificates are subject to ABA rules and regulations, including its Booklet of Information, all of which may be amended from time to time without further notice.

3.03 FELLOWSHIP REQUIREMENT

The continuum of education in an anesthesiology subspecialty consists of 12 months of full-time training. The training must be in a subspecialty program in the United States or its territories accredited by the ACGME from the date the training begins to the date it ends. The training must follow completion of the continuum of education in anesthesiology (i.e., clinical base and CA 1-3 years) unless the Credentials Committee of the ABA prospectively approves a different training sequence for the fellow (see Section 2.02.D for details).

The ABA grants a fellow credit toward its subspecialty training requirements in two successive six-month increments, each of which ends with a satisfactory Certificate of Clinical Competence. To receive credit from the ABA for a period of subspecialty training that is not satisfactory, the fellow must immediately complete six months of uninterrupted subspecialty training in the same program with receipt of a satisfactory Certificate of Clinical Competence. If more than one six-month period of subspecialty training ends with a Certificate of Clinical Competence that is not satisfactory, the Credentials Committee of the ABA shall determine the number of months of additional training the fellow will have to complete to satisfy the training required for admission to the ABA examination system.

The ABA grants credit for subspecialty fellowship training in more than one ACGME-accredited training program within a single subspecialty under the following conditions:

- The training occurs in no more than two ACGME-accredited subspecialty training programs.
• The period of training as an enrolled fellow of any single program is at least six months of uninterrupted training.

• The six-month period of subspecialty training in any one program must end with receipt of a satisfactory Certificate of Clinical Competence.

The ABA will accept no more than two months of training in institutions not recognized by the ACGME as part of the accredited subspecialty program. Therefore, the ABA requires that fellows complete a minimum of 10 months of training in their ACGME-accredited subspecialty program.

A. Temporary Criteria for Critical Care Medicine, Pain Medicine, Hospice and Palliative Medicine, and Sleep Medicine

The initial period during which an applicant was permitted to qualify for subspecialty examination by temporary criteria ended in 1993 for critical care medicine certification, in 1998 for pain medicine certification, in 2012 for hospice and palliative medicine certification and February 2013 for sleep medicine certification.

B. Temporary Criteria for Subspecialty Certification in Pediatric Anesthesiology

These temporary criteria apply only to diplomates who completed anesthesiology residency training before July 1, 2012. For the pediatric anesthesiology examinations in 2013, 2014 and 2015, applicants who have not satisfactorily completed 12 months of formal training in an ACGME-accredited pediatric anesthesiology fellowship may be admitted to the examination via the following temporary practice criteria:

1. An applicant’s clinical practice has been devoted primarily to pediatric anesthesiology for the last two years, or at least 30% of the applicant’s clinical practice, averaged over the last five years, has been devoted to pediatric anesthesiology.

2. The applicant’s practice must include neonates and children under the age of 2 years, and procedures considered high-risk.

3. Attestations from the applicant as well as leadership in the applicant’s department that the applicant meets these practice requirements will be required.

4. The Board may require further documentation of an applicant’s clinical practice, including case logs.

3.04 ABSENCE FROM TRAINING

The total of any and all absences during a subspecialty fellowship may not exceed the equivalent of 20 working days (four weeks) per year. Attendance at scientific meetings, not to exceed five working days during the year of training, shall be considered part of the training program. Absences in excess of those specified will require lengthening of the total training time to the extent of the additional absence.

Training in an anesthesiology subspecialty must not be interrupted by frequent or prolonged periods of absence. When there is an absence for a period in excess of two months, the Credentials Committee of the ABA shall determine the number of months of training subsequent to resumption of the program that are necessary to satisfy the training requirement for admission to the ABA subspecialty examination system.

3.05 ENTRANCE REQUIREMENTS

At the time of application to enter the subspecialty examination system of the ABA, the applicant must:

A. Be certified by the ABA. Applicants for subspecialty certification must be a diplomate of the ABA no later than December 31 of the year in which the subspecialty examination is administered.
B. Have fulfilled the licensure requirement for certification (see Section 2.01.A). Applicants must inform the ABA of any conditions or restrictions in force on any active medical licenses they hold. When there is a restriction or condition in force on any of the applicant’s medical licenses, the Credentials Committee of the ABA will determine whether, and on what terms, the applicant shall be admitted to the ABA examination system.

C. Have on file in the ABA office documentation of having satisfactorily fulfilled the subspecialty training requirement or, if applicable, Temporary Criteria in lieu of formal training in an accredited subspecialty program. Applicants who will complete the subspecialty training requirement by the end of the grace period may apply for that year’s subspecialty examination (see Section 2.04.D).

D. Have on file with the Board documentation attesting to the applicant’s current privileges and evaluations of various aspects of the applicant’s current practice of the subspecialty. Such evaluations will include verification that the applicant meets the Board’s clinical activity requirement by practicing the subspecialty, on average, at least one day per week during 12 consecutive months over the previous three years. The ABA may use such documentation and evaluations as part of its assessment of the applicant’s qualifications for admission to its subspecialty examination system. The ABA may solicit such documentation and evaluations from the fellowship program director or others familiar with the applicant’s current practice of the subspecialty and use them in determining the applicant’s qualifications for admission to the examination system. The Clinical Competence Report from the department and the evaluation of the program director and others will be used as the basis for assessing admission qualifications.

E. If an applicant completed anesthesiology subspecialty fellowship training more than seven years before the date of application, or if an applicant has had a subspecialty application declared void, the ABA must have evidence that the applicant has reestablished their eligibility for admission to the subspecialty examination system. To reestablish eligibility, the applicant must complete four more consecutive months of training in the subspecialty. The training must be in an ACGME-accredited anesthesiology subspecialty program and be completed satisfactorily before applying for examination.

For the pediatric anesthesiology examinations, applicants who have satisfactorily completed 12 months of formal training in an ACGME-accredited pediatric anesthesiology fellowship may be admitted to the examination regardless of the date of fellowship completion until January 1, 2015. After this date, if more than seven years have elapsed from the completion of training until the date of application, eligibility for admission must be reestablished as described in the preceding paragraph.

F. Be capable of performing independently the entire scope of anesthesiology subspecialty practice without accommodation or with reasonable accommodation.

The ABA shall determine that entry into the subspecialty examination system is warranted when required information submitted by and on behalf of the applicant is satisfactory. The ABA will notify an applicant who is accepted as a candidate for subspecialty certification after approval of all credentials.

Although admission into the ABA examination system and success with the examination are important steps in the ABA subspecialty certification process, they do not by themselves guarantee certification. The Board reserves the right to make the final determination of whether each candidate meets all of the requirements for certification (see Section 3.02 and Section 5.09).

The Board, acting as a committee of the whole, reserves the right not to accept an application. The applicant has the right to seek review of such decision (see Section 5.05).

The Board reserves the right to correct clerical errors affecting its decisions.
A. Application for admission to the ABA examination system must be made using the ABA Online Portal via the ABA website at www.theABA.org. Exceptions to this requirement will be considered upon written request. Written requests are to be addressed to the ABA Secretary and must include the basis for the requested exception.

B. The application form includes the identical Acknowledgement statement included in the application for primary certification, which the applicant for subspecialty examination shall be required to sign by electronic signature (see Section 2.06.B).

C. The Application also includes the following Release, which the applicant shall be required to sign by electronic signature:

I, the undersigned applicant (“Applicant”), hereby apply to the ABA for entrance into its examination system for the purpose of obtaining ABA certification status (“Certification”). I acknowledge that this application (“Application”) is subject to the ABA rules and regulations, all of which may be amended from time to time without further notice.

In connection with my Application, (#________), I authorize all persons holding testimony, records, documents, opinions, information and data relevant to or pertaining to my professional competence and ethical conduct and/or behavior (the “Information”) to release such Information to the ABA, its employees and agents. This authorization applies whether or not such persons are listed as a reference on my Application. The Information includes any information relating to any abusive use of alcohol and/or illegal use of drugs, and any medical or psychiatric treatment or rehabilitation related thereto. The purpose of releasing such Information is to determine or verify my qualifications for entrance into the ABA entrance examination and ABA Certification. A copy of this release may accompany any request made by the ABA for such Information.

I authorize the ABA to: (1) report my status in the examination system; (2) use any score in psychometric analyses to confirm observations and reports of suspected irregularities in the conduct of an examination; and (3) respond to any inquiry about my status in the ABA examination system.

I also authorize the ABA to use any and all Information for the purpose of conducting longitudinal studies to assess the ABA certification process. Finally, I authorize the ABA and researchers conducting research on behalf of the ABA to use any and all Information for the purpose of conducting scientific research relating to anesthesiologists, the practice of anesthesiology and/or the education of anesthesiologists. Such Information may be reported or released only in the aggregate, and any results of such studies will have no direct bearing on my Application or Certification status.

Subject to applicable state and federal law requirements and the specific authorization herein, the ABA shall hold all Information in confidence.

I release and agree to hold harmless each person from any liability to me arising out of the giving or releasing of Information to the ABA. This release and agreement includes liability for the inaccuracy or untruth of the Information, so long as such Information is provided in good faith. I also release and agree to hold harmless the ABA and its agents and employees, including but not limited to its directors, officers and examiners, from any liability to me as a result of any acts or proceedings undertaken or performed in connection with my Application, provided such acts or proceedings are made or conducted in good faith.
3.07 FILING AND DECISION DEADLINES

A. The Critical Care Medicine Examination is administered once each year.

The Pain Medicine Examination is administered once each year.

The Hospice and Palliative Medicine Examination is administered every other year.

The Sleep Medicine Examination is administered every other year.

The Pediatric Anesthesiology Examination is administered once each year starting in 2013.

Test dates are available on the last page of the Booklet of Information. However, for the most current test dates please visit the ABA website at www.theABA.org, which is the official source of ABA test dates and deadlines.

B. Applications may be submitted at any time during the application cycle. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information). Current fees are published on the ABA website at www.theABA.org.

The application deadline is absolute. Regardless of the reason, the ABA will not consider an application for a subspecialty certification examination that is received after the deadline.

The ABA must receive all documentation required to make a decision about an applicant’s qualifications for admission to a subspecialty certification examination by the decision deadline. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information.) This includes, but is not limited to, references and verification that the training requirement is met. An application will not be accepted if the required documentation is not received by that date. It ultimately is the responsibility of every applicant to assure that the ABA receives all required documentation in a timely manner.

3.08 THE EXAMINATION SYSTEM

The examination in an anesthesiology subspecialty is designed to test for the presence of knowledge that is considered essential for the ABA diplomate to function as a practitioner of the subspecialty. The examination analyzes the cognitive and deductive skills as well as the clinical judgment of the candidates.

Four months prior to an examination, the ABA sends notification of an examination opportunity and the registration procedure to every candidate eligible to take a subspecialty certification examination. The notification is sent to candidates at their email address of record on file in the ABA office. Candidates are required to respond to every examination notice via the ABA website at www.theABA.org by the response date established by the ABA, whether or not they accept the examination opportunity. Candidates who accept an examination opportunity must pay the examination fee at that time. Examination fees vary by date paid. Current fees are posted on the ABA website at www.theABA.org.

The duration of candidate status is limited. Candidates who completed subspecialty training prior to January 1, 2012, must satisfy all requirements for subspecialty certification by January 1, 2019. Candidates who complete subspecialty training after January 1, 2012, must satisfy all requirements for certification within seven years of the last day of the year in which subspecialty training was completed. The ABA will declare the candidate’s application void if the candidate does not pass the examination within these time limits. Physicians whose applications have been declared void may reapply to the ABA according to the procedures in Section 3.09.

The ABA policies regarding examination notices, excused absences, candidate responses and address changes are stated in Section 2.08. Its policies regarding irregular examination behavior, unforeseeable events and examination under nonstandard conditions may be found at Sections 5.11, 5.12, and 6.01, respectively.
3.09 REAPPLICATION

Physicians whose applications for subspecialty certification have been voided may submit a new application to enter the examination system. Such application shall be subject to the fees, rules, privileges and entrance requirements that apply at the time of reapplication. The applicant who meets existing entrance requirements at the time of application will be readmitted into the examination system. Current entrance requirements are described in Section 3.05. In all instances, the applicant must pass the subspecialty examination under the new application within the time limits specified in Section 3.08.

Every reapplicant who qualified previously by Temporary Criteria is required to have satisfactorily completed the one-year continuum of education in the subspecialty before reapplying for the subspecialty certificate.
MAINTENANCE OF CERTIFICATION IN ANESTHESIOLOGY
AND SUBSPECIALTY RECERTIFICATION

4.01 BACKGROUND

A. Initiatives at federal, state and local levels convinced the ABA that some of its diplomates would need or desire a mechanism to demonstrate their continuing qualifications. In May 1989, the ABA announced its intent to develop a program for continued demonstration of qualifications (CDQ), which would afford its diplomates the opportunity to voluntarily demonstrate current knowledge and quality of practice. The ABA approved a policy of time-limited certification in 1995. All certificates issued by the ABA on or after January 1, 2000, will expire 10 years after the year the candidate passes the certification examination. The ABA took this step to reassure the public that the diplomate continues to demonstrate the attributes of a Board-certified anesthesiologist. The ABMS approved the ABA recertification proposal in March 1996. Subsequently, the ABA changed the name of the CDQ program to recertification.

B. In 1998, the ABMS approved ABA proposals for recertification in the subspecialties of critical care medicine and pain management. The credentialing requirements, examination and passing standard are the same for certification and recertification. The ABA administers the subspecialty examinations to recertification candidates annually.

C. The voluntary program for recertification in the specialty of anesthesiology ended with the administration of the December 2009 Recertification Examination and is replaced by a program for Maintenance of Certification in Anesthesiology (MOCA). Diplomates who hold a certificate that is not time-limited may voluntarily elect to participate in the MOCA program. The ABA will not alter the status of their certification if they do not participate.

D. The ABMS approved the concept of maintenance of certification (MOC) in 2000. The 24 ABMS Member Boards subsequently endorsed the concept. MOC is a program of continual self-assessment and lifelong learning, along with periodic assessment of professional standing, cognitive expertise and practice performance and improvement.

E. The ABA presented a proposal for the Maintenance of Certification in Anesthesiology Program (MOCA) to ABMS in 2002. The transition from the recertification program to MOCA began in 2004. This allowed adequate time for diplomates issued a time-limited certificate to satisfy all MOCA requirements. The maximum interval between initial certification that is time-limited and successful completion of the requirements to maintain certification for the first time, as well as each time MOCA is required thereafter, is 10 years.

F. The ABA began transitioning from Subspecialty Recertification to Maintenance of Certification in Anesthesiology for Subspecialties (MOCA-SUBS) in January 2010. The last subspecialty recertification examination will be administered in 2016, and the first MOCA-SUBS examination will be administered in 2017.

4.02 MAINTENANCE OF CERTIFICATION IN ANESTHESIOLOGY PROGRAM

The ABA issues a certificate that is valid for 10 years to diplomates certified on or after January 1, 2000. They must satisfactorily complete the requirements of MOCA before their time-limited certificate expires to maintain diplomate status in the specialty.

MOCA is a 10-year program of ongoing self-assessment and lifelong learning, continual professional standing assessment, periodic self-directed assessments of practice performance and quality improvement, and an examination of cognitive expertise. A diplomate's MOCA cycle begins the day after the ABA awards initial certification or maintenance of certification in the specialty. The ABA awards a
certificate for Maintenance of Certification in the specialty of Anesthesiology when a diplomate has completed all MOCA program requirements within the preceding 10 years. At the time of completion of maintenance of certification, the diplomate must be capable of performing independently in the specialty or subspecialty, without accommodation or with reasonable accommodation.

Although admission into the MOCA program and success with components of the program are important steps in the ABA maintenance of certification process, they do not by themselves guarantee maintenance of certification. The Board reserves the right to make the final determination of whether each diplomate meets all of the requirements for maintenance of certification, including Professional Standing and the ability to perform independently in the specialty or subspecialty, without accommodation or with reasonable accommodation, before awarding maintenance of certification.

ABA maintenance of certification certificates are subject to ABA rules and regulations, including its Booklet of Information, all of which may be amended from time to time without further notice.

Physicians should maintain competency in the following general areas: patient care, medical knowledge, practice-based learning and improvement, interpersonal and communication skills, professionalism, and systems-based practice. The MOCA requirements for Professional Standing, Lifelong Learning and Self-Assessment (LLSA), Cognitive Expertise, and Practice Performance Assessment and Improvement (PPAI) are designed to provide assessments of these six general competencies.

A. PART I: PROFESSIONAL STANDING ASSESSMENT

ABA diplomates must hold an active, unrestricted license to practice medicine in at least one jurisdiction of the United States or Canada.

The ABA assesses a diplomate’s Professional Standing continually. ABA diplomates have the affirmative obligation to advise the ABA of any and all restrictions placed on any of their medical licenses and to provide the ABA with complete information concerning such restrictions within 60 days after their imposition. Such information shall include, but not be limited to, the identity of the medical board imposing the restriction as well as the restriction’s duration, basis, and specific terms and conditions. Diplomates discovered not to have made disclosure may be subject to sanctions on their diplomate status. Professional Standing acceptable to the ABA is a prerequisite qualification for cognitive examination and for maintenance of certification.

B. PART II: LIFELONG LEARNING AND SELF-ASSESSMENT

ABA diplomates should continually seek to improve the quality of their clinical practice and patient care through self-directed professional development. This should be done through self-assessment and learning opportunities designed to meet the diplomate’s needs and the MOCA requirement for Lifelong Learning and Self-Assessment (LLSA).

LLSA requirements by certification year are available on the ABA website at www.theABA.org.

The LLSA requirement for maintenance of certification is 250 credits for continuing medical education (CME) activities.

(1) All 250 credits must be Category 1 credits for ACCME-approved programs or activities.

(2) From 2006 to 2012, no more than 70 credits for CME programs and activities may be completed in the same calendar year. Effective as of 2013, no more than 60 credits for CME programs and activities may be completed in the same calendar year. MOCA participants will have to complete some CME activity in at least five years of each 10-year MOCA cycle and are encouraged to complete some CME activity in each of the six general competencies for physicians.
Self-Assessment CME Credit Requirements

(1) All newly certified diplomates and non-time limited diplomates who enrolled in the MOCA program from January 1, 2008, to December 31, 2009, are required to complete 60 Category 1 credits of ABA-approved self-assessment activities once during their 10-year MOCA cycle. A list of the approved activities is available on the ABA website at www.theABA.org.

(2) All diplomates certified on January 1, 2010, or after and non-time limited diplomates who enroll in the MOCA program after January 1, 2010, are required to complete 90 Category 1 credits of ABA-approved self-assessment activities once during their 10-year MOCA cycle. A list of the approved activities is available on the ABA website at www.theABA.org.

Patient Safety CME Credit Requirements

(1) All newly certified diplomates and non-time limited diplomates who enroll in the MOCA program after January 1, 2008, are required to complete 20 Category 1 credits of Patient Safety CME. A list of the approved activities is available on the ABA website at www.theABA.org.

CME sponsors may submit CME activities and credits to the ABA electronically for ABA diplomates. ABA diplomates may self-report their CME activities and credits to the ABA electronically. Whereas provider-reported CME activities do not require verification by the ABA, self-reported CME activities are subject to audit and verification by the ABA within three years of their submission. Therefore, diplomates must keep documentation of every self-reported CME activity for at least three years after they submit it to the ABA for LLSA credit.

C. PART III: COGNITIVE EXPERTISE ASSESSMENT

Diplomates who participate in MOCA must demonstrate their cognitive expertise by passing an ABA examination administered via computer under secure, proctored, standardized testing conditions. About 75% of the test items are based on general anesthesia topics, and the remainder of the examination is approximately evenly distributed among the following areas: pediatric anesthesia, cardiothoracic anesthesia, neuroanesthesia, obstetric anesthesia, critical care medicine and pain medicine.

Diplomates may satisfy the examination requirement no earlier than the seventh year of their 10-year MOCA cycle. Examination prerequisites for the purpose of satisfying the MOCA program requirement are:

(1) Professional standing acceptable to the ABA.

(2) Practice Performance Assessment and Improvement (PPAI) participation acceptable to the ABA.

(3) Diplomates must complete half (125 credits) of the total CME requirement. Requirements by certification year are available on the ABA website at www.theABA.org.

There is no limit to the number of times diplomates may take the MOCA examination to satisfy the maintenance of certification requirement. The ABA will inform registered examinees of the procedure for making an examination appointment approximately four months prior to the examination date.

The MOCA Cognitive Examination is administered twice each year. Test dates and registration deadlines are available on the last page of the Booklet of Information. However, for the most current test dates please visit the ABA website at www.theABA.org, which is the official source of ABA test dates and deadlines.

The ABA must receive all documentation it requires to make a decision about a diplomate’s eligibility for examination by October 31 of the preceding year for the winter examinations and by April 30 of the examination year for the summer examinations.

These deadlines are absolute, and the ABA must have documentation that the diplomate has met all of the prerequisites by the appropriate deadline. When the ABA does not have the required documentation by the
appropriate deadline, it will evaluate the diplomate’s eligibility for the next MOCA examination. **It is ultimately the responsibility of the diplomates to assure that the ABA receives documentation in a timely manner and that they have met all of the MOCA examination prerequisites.**

### D. PART IV: PRACTICE PERFORMANCE ASSESSMENT AND IMPROVEMENT

ABA diplomates should be continually engaged in a self-directed program of Practice Performance Assessment and Improvement (PPAI).

The PPAI requirement consists of the following activities:

1. **Case Evaluation:** A four-step process where diplomate’s assess their practice and implement changes that improve patient outcomes. A case evaluation may be completed in a specialty or subspecialty of anesthesiology. Instructions and examples are available on the ABA website at [www.theABA.org](http://www.theABA.org).

2. **Simulation Education Course:** A contextual learning opportunity to assess and improve one’s practice in areas such as crisis management in a simulation setting at an ASA-endorsed center. A simulation education course may be completed in a specialty or subspecialty of anesthesiology. Information on ASA-endorsed simulation centers is available on the Maintenance of Certification page of the ABA website at [www.theABA.org](http://www.theABA.org).

3. **Attestation:** The ABA solicits references to verify diplomate’s clinical activity and participation in practice improvement activities.

During their 10-year MOCA cycle, diplomates must complete the PPAI activities as defined in the following chart, based on the year they were certified.

<table>
<thead>
<tr>
<th>Practice Performance Assessment and Improvement Requirements by Year in MOCA Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Year Certified</strong></td>
</tr>
<tr>
<td><strong>2000 - 2003</strong></td>
</tr>
<tr>
<td><strong>2004 - 2007</strong></td>
</tr>
<tr>
<td><strong>2008 or Later</strong></td>
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</tbody>
</table>

*DComplete both a Case Evaluation and Simulation Course during your 10-year MOCA cycle. One activity must be completed between years 1 to 5, and the second between years 6 to 10.*

Diplomates certified between January 1, 2001, and December 31, 2007, have the option of completing a Simulation Course in lieu of completing an Attestation.

Diplomates certified between January 1, 2004, and December 31, 2007, who elect to complete a Simulation Course in lieu of an Attestation must complete a Case Evaluation in years 6-10. Evidence of one PPAI activity acceptable to the ABA is a prerequisite for the MOCA Cognitive Examination.

Additional information about the ABA’s PPAI process and requirements by year certified can be found on the ABA website at [www.theABA.org](http://www.theABA.org).
Reciprocity for Diplomates:

Diplomates may complete one Part IV activity through any other ABMS Board and submit it to the ABA to fulfill the MOCA Part IV Case Evaluation requirement as long as the date completed falls within the required timeframe as indicated above. Documentation of completion of the activity must be submitted with diplomates’ requests for Part IV credit. All diplomates enrolled in MOCA must complete a Simulation Education Course and an Attestation as defined by their specific program requirements.

E. MOCA CYCLE DURING AND AFTER TRANSITION PERIOD

The transition from a voluntary recertification examination program to MOCA began in January 2004. The voluntary recertification examination ended with the administration of the December 2009 Recertification Examination.

(1) Diplomates certified before 2000 have a certificate that is not time-limited. They do not have to complete the MOCA program to maintain certification. They may, however, voluntarily participate in the MOCA program. The first time they apply for MOCA they may complete the program in as soon as two years. They may complete the expedited MOCA program only once; thereafter, the 10-year MOCA program is their only option.

Diplomates certified before 2000 who choose to complete their first MOCA program within five years of their enrollment must complete two PPAI activities, an attestation and either a case evaluation or simulation education course; those who choose to complete the program within 6-10 years of their enrollment must complete all three PPAI activities. The Professional Standing assessment is continual. They can satisfy LLSA requirements on the basis of CME activities completed after certification and within the past 10 years. They can take a secure examination when they have satisfied all of the prerequisite requirements by the appropriate deadline (see Section 4.02.C).

(2) The MOCA program is the only option to maintain certification for ABA diplomates certified in or after 2000. The ABA automatically enrolls diplomates in MOCA when they are awarded time-limited certification or when they successfully complete each MOCA cycle. They have to maintain Professional Standing acceptable to the ABA and satisfy the Cognitive Examination requirement. Additionally:

a. Diplomates certified in 2000, 2001, 2002 or 2003 were issued a time-limited certificate before the MOCA program was available. For these diplomates, the LLSA requirements for the secure examination prerequisite and for the awarding of maintenance of certification are prorated, and the PPAI requirement consists of the ABA obtaining attestations and evidence of the candidate’s clinical activity and ongoing program of practice performance assessment and improvement in Years 5 and 9 of their MOCA cycle.

b. The MOCA program was available when diplomates were issued a time-limited certificate in 2004, 2005, 2006 and 2007. For these diplomates, the LLSA requirements for the secure examination prerequisite and for the awarding of maintenance of certification are not prorated. For PPAI, the ABA will obtain attestations and evidence of the candidate’s clinical activity and ongoing program of practice performance assessment and improvement in Year 5 of the candidate’s MOCA cycle, and they have to complete one of two PPAI activities (case evaluation or simulation education) in Years 6 through 10.

c. Diplomates enrolled in MOCA from 2000 through 2007 may complete a simulation course in place of providing references to support their attestations. In order for the diplomate to receive PPAI credit for the course, the simulation course must be completed at an American Society of Anesthesiologists (ASA)-endorsed simulation center and all follow-up must be completed within the required timeframe. Once all portions of the simulation course are complete, the ASA will report the completion to the ABA on behalf of the diplomate.
d. The LLSA requirements for the secure examination prerequisite and for the awarding of maintenance of certification are **not** prorated for diplomates issued a time-limited certificate in or after 2008. For PPAI, these diplomates have to complete three PPAI activities (case evaluation, simulation education and an attestation).

Diplomates may visit the ABA website at [www.theABA.org](http://www.theABA.org) or contact the ABA office for additional information regarding their MOCA program requirements.

F. **ENROLLMENT APPLICATION PROCEDURE**

Diplomates are automatically enrolled in MOCA when they are awarded time-limited primary certification in anesthesiology and again when they successfully complete each MOCA cycle, including an expedited MOCA cycle. The ABA automatically enrolls diplomates with a non-time limited primary certificate in MOCA upon their completion of the MOCA program in 2005 or thereafter. **All other ABA diplomates have to apply to the ABA to enroll in MOCA.**

Diplomates not automatically enrolled in MOCA may electronically enroll at any time via the ABA website at [www.theABA.org](http://www.theABA.org). Exceptions to this requirement will be considered upon written request. Written requests are to be addressed to the ABA Secretary and must include the basis for the requested exception.

Applicants must provide information about all their medical licenses and current contact information (e.g., postal address) to complete the application process. **It is ultimately the responsibility of every applicant to assure that the ABA receives all required information.**

All MOCA participants shall be required to sign, by electronic signature, the following Acknowledgement and Release Statement in Year 7 of their 10-year MOCA cycle:

> I, the undersigned Diplomate (“Diplomate”), hereby agree to participate in the American Board of Anesthesiology, Inc.’s (“ABA”) Maintenance of Certification in Anesthesiology (“MOCA®”) program. I acknowledge that my participation in the MOCA program is subject to the ABA rules and regulations, all of which may be amended from time to time without further notice. I further acknowledge and agree that all examination fees paid to the ABA are non-refundable.

> I represent and warrant to the ABA that all information I provide to the ABA is true, correct and complete in all material respects. I understand and acknowledge that any material misstatement in or omission over the course of my MOCA cycle shall, at any time, constitute cause for disqualification from the MOCA program or from the issuance of an ABA Certificate or to forfeiture and redelivery of such ABA Certificate to the ABA.

> I agree that this Acknowledgement, as submitted by me, shall survive my MOCA Application, regardless of whether or not the information or data provided during my participation in the program has been reformatted in any manner by the ABA. I also agree that this Acknowledgement precludes me from claiming the Acknowledgement does not relate to the MOCA Application.

> I acknowledge that I have read a copy of the applicable ABA Booklet of Information. I agree to be bound by the policies, rules, regulations and requirements published in the applicable Booklet, in all matters relating to consideration of and action upon my participation in the MOCA program, and Certification should it be granted. I understand that ABA certificates are subject to ABA rules and regulations, all of which may be amended from time to time without further notice. In addition, I understand and acknowledge that in the event I have violated any of the ABA rules governing my Application and/or Certification, such violations shall constitute cause for disqualification from the ABA MOCA program or from the issuance of an ABA Certificate or for revocation of certification and indication of such action in the ABA Diplomate Directory.

> In connection with my status in the MOCA program, I authorize all persons holding testimony, records, documents, opinions, information and data relevant to or pertaining to my professional competence and
ethical conduct and/or behavior (the "Information") to release such Information to the ABA, its employees and agents. This authorization applies whether or not I provided the names of such persons. The Information includes any information relating to any abusive use of alcohol and/or illegal use of drugs, and any medical or psychiatric treatment or rehabilitation related thereto. The purpose of releasing such Information is to determine or verify my qualifications as a Diplomate in the ABA MOCA program. A copy of this release may accompany any request made by the ABA for such Information.

I authorize the ABA to: (1) report my status in the MOCA program; (2) use any score in psychometric analyses to confirm observations and reports of suspected irregularities in the conduct of an examination; and (3) respond to any inquiry about my status in the ABA examination system.

I also authorize the ABA to use any and all Information for the purpose of conducting longitudinal studies to assess the ABA certification process or the Maintenance of Certification process. Finally, I authorize the ABA and researchers conducting research on behalf of the ABA to use any and all Information for the purpose of conducting scientific research relating to anesthesiologists, the practice of anesthesiology and/or the education of anesthesiologists. Such Information may be reported or released only in the aggregate, and any results of such studies will have no direct bearing on my Application or Certification status.

Subject to applicable state and federal law requirements and the specific authorization herein, the ABA shall hold all Information in confidence.

I release and agree to hold harmless each person from any liability to me arising out of the giving or releasing of Information to the ABA. This release and agreement includes liability for the inaccuracy or untruth of the Information, so long as such Information is provided in good faith. I also release and agree to hold harmless the ABA and its agents and employees, including but not limited to its directors, officers and examiners, from any liability to me as a result of any acts or proceedings undertaken or performed in connection with my participation in the MOCA program, provided such acts or proceedings are made or conducted in good faith.

G. STATUS OF INDIVIDUALS

An individual’s current status relative to the ABA examination and certification system may be confirmed at no charge via the ABA Diplomate and Candidate Directory on the ABA website at www.theABA.org, which is the official source for verification of ABA certification status. The fee for written confirmation of an individual’s status is $35.00.

For physicians certified by the ABA who subsequently complete the MOCA program, the ABA will affirm their diplomate status and the year in which their certificate for Maintenance of Certification in the specialty of Anesthesiology was issued.

The ABA will report the status of all diplomates as it relates to their participation in the ABA’s MOCA program based on the below criteria. Diplomates certified prior to the year 2000 have certificates that are not time-limited, and are not required to participate in the MOCA program.

“Meeting MOCA Requirements”

A diplomate is considered to be meeting MOCA requirements if they are making continuous progress toward completing all of the requirements as measured by:

(1) Maintaining professional standing satisfactory to the ABA, which includes:
   a. Holding an active, unrestricted license to practice medicine in at least one jurisdiction of the United States or Canada. Further, all U.S. and Canadian medical licenses that a diplomate holds must be unrestricted.
   b. Updating the current expiration date(s) of their medical license(s) no later than 60 days after renewal via the ABA website.
   c. Informing the ABA of any actions taken against their medical license(s) within 60 days of the final action.
(2) Actively participating in Lifelong Learning and Self-Assessment (LLSA) activities, which includes:
   a. Completing and reporting to the ABA one half (125 credits) of the total LLSA requirement by the end of Year 5 of the 10-year MOCA cycle.
   b. Completing and reporting to the ABA the total LLSA requirement of 250 credits by the end of Year 10.

(3) Actively participating in Practice Performance Assessment and Improvement (PPAI) activities, which includes:
   a. Satisfactory completion of the first PPAI activity by the end of Year 5.
   b. Satisfactory completion of the second (and third if applicable) PPAI activity by the end of Year 10.

“Not Meeting MOCA Requirements”
A diplomate is considered to be not meeting MOCA requirements if they are unable to complete the above requirements in the specified timeframes.

A one-year grace period will be given to a diplomate to complete the requirements in Year 6 and regain “Active” status. If a diplomate is unable to complete the program requirements by the expiration date of their current time-limited certificate, then they will be classified as “Expired” and “Not Board Certified.”

“Not Required to Meet MOCA Requirements”
Diplomates certified prior to the year 2000 have certificates that are not time-limited. These diplomates are not required to recertify or to meet the requirements of Maintenance of Certification in Anesthesiology or its subspecialties, but are strongly encouraged to do so. The ABA Diplomate and Candidate Directory on the ABA website will note that these diplomates are not required to participate in MOCA.

H. MOCA REQUIREMENTS FOR CANDIDATES WHOSE PRIMARY CERTIFICATION IN ANESTHESIOLOGY HAS BEEN DEFERRED

Despite passing the Part 1 and Part 2 Examinations, some candidates will not receive initial ABA certification because their certification has been deferred. Candidates can be deferred for up to 10 years and still are eligible to meet MOCA requirements. However, after 10 years a candidate is no longer eligible for MOCA. For candidates whose certification has been deferred less than 10 years, MOCA requirements shall be determined as follows:

(1) Immediately after passing the Part 2 Examination, the candidate can participate in CME activities which may count toward the Part II: Lifelong Learning and Self-Assessment MOCA requirements.

(2) Candidates whose certificates were deferred for less than five years; CME credit earned during the time period from passing the Part 2 Examination until certification is awarded shall count toward MOCA Part II: Lifelong Learning and Self-Assessment requirements. The total time to complete all MOCA requirements is 10 years.

(3) Candidates whose certificates were deferred for greater than five years but less than 10 years total: Up to five years of candidates’ most recent CME credit earned during the time period from passing the Part 2 Examination until certification is awarded shall be applied toward the MOCA Part II: Lifelong Learning and Self-Assessment requirement. As soon as candidates receive primary certification in anesthesiology, they have five years to complete the remaining MOCA requirements. The total time to complete all MOCA requirements is 10 years.

(4) If a candidate’s certificate is deferred for more than 10 years, then MOCA will not be an option.
I. MOCA PROGRAM REQUIREMENTS FOR DIPLOMATES WHO ARE NOT CLINICALLY ACTIVE

Diplomates who are not clinically active and hold time-limited certificates in anesthesiology or a related subspecialty can maintain their certification(s) by completing the following MOCA requirements:

- Part I: Maintain Professional Standing acceptable to the ABA
- Part II: Complete the required Lifelong Learning and Self-Assessment activities
- Part III: Demonstrate core knowledge by passing the MOCA Cognitive Examination, or a MOCA-SUBS Examination.

The MOCA Part IV requirement is waived for diplomates who are designated as “Certified – Not Clinically Active.”

J. EXPIRED TIME-LIMITED CERTIFICATES

(1) Time-limited certificate holders who fail to meet the Maintenance of Certification in Anesthesiology Program (MOCA) requirements by the expiration of their most recent primary certificate in anesthesiology or certificate for Maintenance of Certification in the specialty of Anesthesiology will have their certification status changed to “expired.” In order to regain their certification status of “diplomate,” they must complete all of the MOCA program requirements within the preceding 10 years:

a. The ABA will move their 10-year MOCA cycle forward one year. Any activities that were completed in the original Year 1 (i.e., CME) are removed and they are required to redo those activities.

b. Upon successful completion of all of the MOCA program requirements (which are defined by their original MOCA cycle), the ABA will issue that physician a certificate for Maintenance of Certification in the specialty of Anesthesiology valid for 10 years from the date of completion of the program.

c. If the physician fails to complete the requirements within a year after the expiration of their certificate, then their MOCA cycle moves forward another year and they lose the activities that were completed in Year 1.

d. The ABA will move a MOCA cycle forward, one year at a time, for up to three years.

(2) Former diplomates who do not complete the MOCA program requirements within three years of the expiration of their most recent primary certificate in anesthesiology or certificate for Maintenance of Certification in the specialty of Anesthesiology must complete the following three steps to reestablish their status as an ABA diplomate:

a. Meet the entrance requirements for entering the examination system of the ABA (see Section 2.04).

b. Reapply for admission to the examination system of the ABA (see Section 2.10).

c. Pass the Part 1 and Part 2 Examinations under the new application.

If the candidate does not successfully complete the requirements for certification in anesthesiology within seven years of the last day of the year in which their application was accepted, their application will be declared void and they must reestablish eligibility for admission to the examination system (see Section 2.04).

MOCA Participation Exceeding 10 Years for Non-time Limited Certificate Holders

Non-time limited certificate holders who do not complete the MOCA program within 13 years of enrolling and wish to complete the program must take and pass the MOCA Cognitive Examination before they will be allowed to fulfill the remaining program requirements.
Reinstatement Fee

Effective January 1, 2014, all former diplomates and non-time limited certificate holders who wish to complete the MOCA program in Years 11, 12 and 13 will be charged a fee for each year they continue in the program. The fee is cumulative, so former diplomates who do not pay until Year 12 will pay the fee for Years 11 and 12.

K. MOCA EDUCATIONAL ACTIVITIES

Medical societies and other healthcare organizations offering quality educational activities to enable physicians to fulfill the requirements of the ABA Maintenance of Certification in Anesthesiology Program (MOCA) may submit a proposal for their educational activities to be considered by the ABA for approval.

The ABA is willing to collaborate with select medical societies and healthcare organizations to provide activities designed to help ABA diplomates fulfill the following requirements of the MOCA program: Part II: Lifelong Learning and Self-Assessment, and Part IV: Practice Performance Assessment and Improvement.

Educational activity requirements and applications are available on the Maintenance of Certification page of the ABA website at www.theABA.org.

4.03 SUBSPECIALTY RECERTIFICATION PROGRAMS

The ABA established subspecialty recertification programs for diplomates whether or not the subspecialty certificate issued to them is time-limited. Diplomates may take the subspecialty recertification examination as early as the seventh year of their most recent certification. Diplomates with a subspecialty certificate that is not time-limited will not jeopardize their subspecialty certification status by participating in the subspecialty recertification program.

A. SUBSPECIALTY RECERTIFICATION REQUIREMENTS

ABA subspecialty recertification programs include two major components: an evaluation of the quality of current practice conducted at the local level and a secure computer-administered examination. At the time of application for an ABA subspecialty recertification examination, the applicant must:

(1) Be a physician to whom the ABA previously awarded certification in the subspecialty.

(2) Have fulfilled the licensure requirement for certification (see Section 2.01.A). Applicants must inform the ABA of any conditions or restrictions in force on any active medical license they hold. When there is a restriction or condition in force on any of the applicant’s medical licenses, the Credentials Committee of the ABA will determine whether, and on what terms, the applicant shall be admitted to the ABA examination system.

(3) Have on file in the ABA office documentation solicited by the ABA from the hospital/facility chief of staff, or equivalent, attesting to the applicant’s current privileges where a substantial portion of the applicant’s practice takes place. The documentation includes evaluations of various aspects of the applicant’s current practice and verification that the applicant meets the Board’s clinical activity requirement by practicing the medical discipline for which subspecialty recertification is being sought, on average, at least one day per week during 12 consecutive months over the previous three years (see Sections 2.04.E and 3.05.D). If the applicant’s practice is entirely office-based, three letters of reference solicited by the ABA from referring physicians should be on file.

(4) Be capable of performing independently in the subspecialty, without accommodation or with reasonable accommodation.
The ABA shall determine that entry into the subspecialty recertification examination system is warranted when required information submitted by and on behalf of the applicant is satisfactory. The ABA will notify an applicant who is accepted as a candidate for subspecialty recertification after approval of all credentials.

Although admission into the ABA subspecialty recertification examination system and success with the examination are important steps in the ABA subspecialty recertification process, they do not by themselves guarantee subspecialty recertification. The Board reserves the right to make the final determination of whether each candidate meets all of the requirements for subspecialty recertification after successful completion of examinations for subspecialty recertification (see Section 4.03.A and Section 5.09).

The Board, acting as a committee of the whole, reserves the right not to accept an application. The applicant has the right to seek review of such decision (see Section 5.05). The Board reserves the right to correct clerical errors affecting its decisions.

ABA subspecialty recertification certificates are subject to ABA rules and regulations, including its Booklet of Information, all of which may be amended from time to time without further notice.

B. APPLICATION PROCEDURE AND DECISION DEADLINES

Application for admission to the ABA subspecialty recertification examination must be made using the ABA Online Portal, via the ABA website at www.theABA.org. Exceptions to this requirement will be considered upon written request. Written requests are to be addressed to the ABA Secretary and must include the basis for the requested exception.

The application form includes the identical Acknowledgement statement included in the application for specialty recertification, which the subspecialty recertification applicant shall be required to sign by electronic signature (see Section 2.06.B). The application also includes the identical Release statements included in the application for subspecialty recertification, which the applicant shall be required to sign by electronic signature (see Section 3.06.C).

The critical care medicine recertification examination is administered once each year.

The pain medicine recertification examination is administered once each year.

Test dates are available on the last page of the Booklet of Information. However, for the most current test dates please visit the ABA website at www.theABA.org, which is the official source of ABA test dates and deadlines.

Applications may be submitted at any time during the application cycle. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information). Please note that application fees vary by filing date. Current fees are published on the ABA website at www.theABA.org. The application deadline is absolute. Regardless of the reason, the ABA will not consider an application for a subspecialty recertification examination that is received after the deadline.

The ABA must receive all documentation required to make a decision about an applicant’s qualifications for admission to a subspecialty recertification examination by the decision deadline. (Please see the Filing Deadlines and Test Dates available on the last page of the Booklet of Information.) This includes, but is not limited to, verification of credentialing/hospital privileges. An application will not be accepted if the required documentation is not received by that date. It is ultimately the responsibility of every applicant to assure that the ABA receives all required documentation in a timely manner.

C. THE EXAMINATION SYSTEM

The ABA shall determine that admission to a subspecialty recertification examination is warranted when required information submitted by and on behalf of the applicant is satisfactory. The ABA will notify an applicant who is accepted as a candidate for subspecialty recertification after approval of all credentials.
Four months prior to an examination, the ABA sends notification of an examination opportunity and the registration procedure to every candidate eligible to take the subspecialty recertification examination. The notification is sent to candidates at their email address of record on file in the ABA office. Candidates are required to respond to every examination notice via the ABA website at www.theABA.org by the response date established by the ABA, whether or not they accept the examination opportunity. Candidates who accept an examination opportunity must pay the examination fee at that time. Examination fees vary by date paid. Current fees are posted on the ABA website at www.theABA.org.

The Board, acting as a committee of the whole, reserves the right not to accept an application. The applicant has the right to seek review of such decision (see Section 5.05). The Board reserves the right to correct clerical errors affecting its decisions.

Subspecialty recertification examinations are designed to test for the presence of knowledge considered essential for the ABA diplomate to function as a practitioner of the subspecialty. They are administered annually. Every candidate is given one opportunity a calendar year, for three years, to satisfy the subspecialty recertification examination requirement. The candidate must satisfy the examination requirement within three years of the date of the initial examination that follows acceptance of the application. The ABA will declare the candidate’s application void if the candidate does not pass the examination within the prescribed number of opportunities or time, whichever comes first. Physicians whose application has been declared void may reapply to the ABA.

The ABA policies regarding examination notices, excused absences, candidate responses and address changes are stated in Section 2.08. Its policies regarding irregular examination behavior, unforeseeable events, and examination under nonstandard conditions may be found at Sections 5.11, 5.12 and 6.01, respectively.

D. REAPPLICATION

To reapply for subspecialty recertification, the physician must submit a new application. Such application shall be subject to the fees, rules, privileges and requirements that apply at the time of reapplication. The applicant who is judged to meet existing requirements will be accepted as a candidate for subspecialty recertification.

4.04 MAINTENANCE OF SUBSPECIALTY CERTIFICATION

A. TRANSITION TO MOCA-SUBS

The transition from subspecialty recertification examination programs to Maintenance of Certification in Anesthesiology for Subspecialties (MOCA-SUBS) began on January 1, 2010. The last subspecialty recertification examinations will be administered in 2016, and the first MOCA-SUBS examinations will be administered in 2017.

The MOCA-SUBS program is the only option for holders of ABA subspecialty certification or recertification awarded after January 1, 2010. Diplomates with ABA subspecialty certification or recertification awarded on or before January 1, 2010, may apply for subspecialty recertification through December 22, 2015, but no sooner than seven years after their certification or recertification in the subspecialty.

Every diplomate whose subspecialty recertification application is accepted by the decision deadline will be given one opportunity per year, for three years, to satisfy the subspecialty recertification examination requirement. When diplomates meet all of the recertification requirements, including the examination requirement, the ABA will issue them a subspecialty recertification certificate.
After 2016, the MOCA-SUBS program is the only option for ABA diplomates who wish to maintain subspecialty certification. The ABA automatically enrolls diplomates in MOCA-SUBS upon their subspecialty certification, subspecialty recertification or maintenance of certification in the subspecialty.

B. MOCA-SUBS PROGRAM REQUIREMENTS

Diplomates certified or recertified in a subspecialty after January 1, 2010, have 10 years to complete all MOCA-SUBS requirements before their certification expires. The MOCA-SUBS program requirements mirror the MOCA program requirements (see Section 4.02) with the following exceptions:

1. Some of the required LLSA (CME) activities must be related to the subspecialty certification being maintained.
2. A separate Cognitive Examination will need to be completed for each certificate being maintained.
3. The ABA will verify diplomates’ clinical activity in the subspecialty.

The first time diplomates with a non-time limited subspecialty certificate apply for MOCA-SUBS they may complete the program in as soon as two years. They may expedite the completion of the MOCA-SUBS program only once; thereafter, the 10-year MOCA-SUBS program is their only option. Diplomates with a critical care medicine certificate that is not time-limited will not jeopardize their subspecialty certification status by participating in the subspecialty recertification program or MOCA-SUBS.

C. ENROLLMENT APPLICATION PROCEDURE

Diplomates are automatically enrolled in the MOCA-SUBS program when they are awarded time-limited subspecialty certification after January 1, 2010, and when they successfully complete each MOCA-SUBS cycle.

There is no MOCA-SUBS application fee. Diplomates not automatically enrolled in MOCA-SUBS may apply to enroll at any time after January 1, 2010. Application for MOCA-SUBS must be made electronically via the ABA website at www.theABA.org. Exceptions to this requirement will be considered upon written request. Written requests must be addressed to the ABA Secretary and must include the basis for the requested exception.

Applicants must provide information about all their medical licenses and current contact information (e.g., postal address) to complete the application process. It is ultimately the responsibility of every applicant to assure that the ABA receives all required information.

D. MAINTAINING SPECIALTY AND SUBSPECIALTY CERTIFICATION

ABA Diplomates who choose to maintain both primary certification in anesthesiology and subspecialty certification will benefit from overlapping program requirements for Part I: Professional Standing, Part II: Lifelong Learning and Self-Assessment and Part IV: Practice Performance Assessment and Improvement. The ABA is aligning the MOCA and MOCA-SUBS cycles, making it possible to complete all of the program requirements during the same 10-year period. (For program requirements, see Section 4.02.)

E. MAINTAINING ONLY SUBSPECIALTY CERTIFICATION

ABA diplomates may choose to maintain their subspecialty certification without maintaining their primary certification in anesthesiology (once they are both obtained). However, when a time-limited anesthesiology certification expires, the physician is no longer Board-certified in the specialty. Should this occur, the information on the ABA Diplomate and Candidate Directory will indicate that their primary certification in anesthesiology is no longer valid. The ABA will also advise the American Board of Medical Specialties (ABMS) that they no longer hold a valid primary certificate in anesthesiology.
A former diplomate in anesthesiology has three years, after their certification expires, to complete the Maintenance of Certification in Anesthesiology Program (MOCA) requirements. If they are unable to complete the MOCA program requirements, then they must follow the process to regain certification (see Section 4.02). This process includes requalifying and taking the Part 1 and Part 2 Examinations again.

Although an ABA diplomate may choose to maintain only their subspecialty certification, the ABA strongly encourages diplomates to maintain their primary certification in anesthesiology. The ABA does not recommend maintaining only a subspecialty certificate and wants diplomates to consider any imponderable repercussions before choosing to let their primary certification in anesthesiology expire.
5.01 ALCOHOL AND SUBSTANCE ABUSE

The Americans with Disabilities Act protects individuals with a history of alcohol or substance abuse who are not currently abusing alcohol or using drugs illegally. The ABA supports the intent of the ADA.

The ABA will admit qualified applicants and candidates with a history of alcohol abuse to its examination system and to examination if, in response to its inquiries, the ABA receives acceptable documentation that they are not currently abusing alcohol.

The ABA will admit qualified applicants and candidates with a history of illegal use of drugs to its examination system and to examination if, in response to its inquiries, the ABA receives acceptable documentation that they are not currently engaged in the illegal use of drugs.

After a candidate with a history of alcohol abuse or illegal use of drugs satisfies the examination requirements for certification, the ABA will determine whether it should defer awarding its certification to the candidate for a period of time to avoid certifying a candidate who poses a direct threat to the health and safety of others. If the ABA determines that deferral of the candidate’s certification is appropriate because the candidate does currently pose a threat to the health and safety of others, the ABA will assess the specific circumstances of the candidate’s history of alcohol abuse or illegal use of drugs to determine when the candidate should write the Board to request issuance of its certification.

5.02 REVOCATION OF CERTIFICATION

A certificate is issued by the Board with the understanding that it remains the property of the Board. Any certificate issued by the Board shall be subject to revocation in the event that:

A. The issuance of such certificate or its receipt by the person so certified shall have been contrary to, or in violation of, any rule or regulation of this Board; or

B. The person certified shall not have been eligible to receive such certificate whether or not the facts making him or her ineligible were known to, or could have been ascertained by, the Board or any of its Directors at the time of issuance of such certificate; or

C. Persons certified shall have made any misstatement or omission of fact in their application for such certificate or in any other statement or representation to the Board or its representatives; or

D. The person certified shall fail to maintain a professional standing (see Section 5.06) satisfactory to the Board.

The Board shall be the sole judge of whether or not the evidence or information before it is sufficient to require or permit revocation of any certificate issued by the Board, and the decision of the Board shall be final. The individual has the right to seek review of such decision (see Section 5.05).

5.03 CERTIFICATION BY OTHER ORGANIZATIONS

The ABA will make no statement about the comparability of the ABA certificate and another organization’s certificate. The ABA will not accept certification by another entity as meeting the requirements for entrance into the ABA examination system for primary certification in anesthesiology or subspecialty certification or recertification.
5.04 RECORDS RETENTION

The ABA retains certain documents pertaining to an individual’s residency training, application for certification, examination opportunities, and examination results (Certification Records) for the sole purpose of determining that its requirements for admission to the examination system, certification, recertification, or Maintenance of Certification are fulfilled.

A complete copy of the Certification Records Retention Policy is available upon written request. The following is a summary of the ABA’s Certification Records Retention Policy:

(1) In the absence of an application for certification, Certification Records pertaining to the ABA entrance requirements are retained for seven years from the date of the most recent correspondence to or from the ABA regarding the requirements.

(2) Certification Records pertaining to an unsuccessful application are retained until the individual submits another application to the ABA or the aforementioned seven-year period expires, whichever occurs first.

(3) Certification Records corroborating the results of a candidate’s examination are retained until six months after the date of the most recent correspondence to or from the ABA regarding the results.

(4) Certification Records pertaining to adverse Board actions, including termination or other sanctions, are retained indefinitely.

(5) Certification Records corroborating a diplomate’s completion of an ABA maintenance of certification program are retained until the diplomate has completed the current MOCA cycle or 10 years, whichever occurs first. All other Certification Records related to an ABA maintenance of certification program, including supporting documentation and evaluation results, are retained until 12 months after the date of the most recent correspondence to or from the ABA regarding the results.

(6) Certification Records pertaining to a candidate’s completion of an ACGME-accredited anesthesiology residency program are retained indefinitely. This Certification Record includes entries that identify the training program, the dates of training and the faculty’s overall evaluation of the resident’s performance during training.

(7) Certification Records for candidates issued an ABA certification are retained indefinitely. These Certification Records include documents and entries attesting that each certification requirement was met.

(8) Certification Records pertaining to requests for examination under nonstandard testing conditions (whether for the entry examination administered by the Joint Council on Anesthesiology Examinations or an ABA examination), including any supporting documentation, evaluations, medical records or expert reports, are retained indefinitely in the individual’s ABA file.

The ABA sees to the secure destruction of the documents in its file for an individual when the period specified for retention of the documents has expired.

5.05 FORMAL REVIEW PROCESS

The only actions of the ABA that are subject to formal review are a decision not to accept an application, a decision not to grant a request for an examination under nonstandard testing conditions, and a decision to revoke a certificate issued by the ABA.

The individual must give the ABA written notification of the intention to seek a formal review within 30 days of receiving notification of the Board’s decision. The individual shall address the notice to the ABA Secretary at
the ABA office and shall set forth the grounds upon which the request for formal review is based. If the individual does not give the ABA written notification of the intent to seek formal review within the time and in the manner prescribed, the individual shall be considered to have accepted the decision of the Board and the decision shall become final.

Upon receipt of notice of a request for formal review within the time and in the manner prescribed, the request will be screened to determine whether or not it meets the standards for a formal review to occur. Minimum criteria for a formal review are grounds that the Board’s action was inconsistent with ABA policies or not supported by the evidence available to the Board when the action was taken. If it is determined that there are grounds for a formal review, the ABA shall form a Review Panel and schedule a hearing. Otherwise, the decision of the Board shall become final.

5.06 PROFESSIONAL STANDING

Professional standing satisfactory to the ABA is a requirement for acceptance as a candidate for ABA certification and for certification, subspecialty certification, and maintenance of certification by the ABA.

Applicants with a medical license that is revoked, suspended or surrendered in lieu of revocation or suspension will not be accepted as a candidate for initial certification in anesthesiology. Applicants with less severe restrictions on a medical license may be accepted into the ABA system, and certification may be deferred until the medical license is unrestricted or the Credentials Committee recommends and the Board approves awarding certification to the physician.

Candidates with a medical license that is revoked, suspended or surrendered in lieu of revocation or suspension may be permitted to take ABA examinations and certification will be deferred until the license is unrestricted. Candidates with less severe restrictions on a medical license may be permitted to take ABA examinations and certification may be deferred until the medical license is unrestricted or the Credentials Committee recommends and the Board approves awarding certification to the physician.

The ABA will initiate proceedings to revoke the certification(s) of diplomates with a medical license that is revoked, suspended or surrendered in lieu of revocation, suspension, inquiry or investigation, upon notice of such action. The ABA has the authority and may decide to undertake proceedings to take action against diplomates with other, less severe medical licensure restrictions (e.g., probation or “conditions”), which may include revocation of the certification.

The ABA incorporates the AMA Code of Medical Ethics, Opinion E-2.06 (June 2000), regarding physician participation in capital punishment into its own professional standing policy. Specifically, it is the ABA’s position that an anesthesiologist should not participate in an execution by lethal injection and that violation of this policy is inconsistent with the Professional Standing criteria required for ABA Certification and Maintenance of Certification in Anesthesiology or any of its subspecialties. As a consequence, ABA certificates may be revoked if the ABA determines that a diplomate participates in an execution by lethal injection.

5.07 RE-ATTAINING CERTIFICATION STATUS

The ABA established an application procedure for diplomates with the designation Certified – Not Clinically Active, Certified – Retired, or Retired to re-attain the designation Certified. There also is a procedure for physicians whose ABA certification is revoked to apply to the ABA to re-attain certification. Interested physicians should contact the ABA office for details about these application procedures.

The ABA considers applications for re-attaining ABA certification on an individualized, case-by-case basis. The ABA may require the applicant to do one or more of the following in order to re-attain certification:

- Pass the ABA Part 1 Examination.
• Pass the ABA Part 2 Examination.
• Undertake continuing medical education.
• Complete additional training acceptable to the ABA.
• Complete other activities as deemed necessary by the ABA.

The ABA may choose to allow an applicant who has been certified in both anesthesiology and one or more anesthesia subspecialties, and who has changed their certification status to “Not Clinically Active,” “Certified – Retired,” or “Retired,” or who has had the certificates “Revoked,” to re-attain those certifications at different times. If an applicant had qualified under temporary criteria for a certificate, the status of which the diplomate has changed to either “Not Clinically Active,” “Certified – Retired,” or “Retired,” or which has been “Revoked,” the ABA may require the applicant to complete additional training or satisfy other additional conditions acceptable to the ABA.

Certifications that are re-attained are subject to the requirements for maintenance of certification and to the ABA rules and regulations, including its Booklet of Information, all of which may be amended from time to time without further notice.

### 5.08 ALTERNATE ENTRY PATH TO PRIMARY CERTIFICATION EXAMINATIONS

The ABA has approved a seven-year pilot program that would allow international medical graduates, certified by the national anesthesiology organization in the country where they trained in the specialty and practicing anesthesiology in the United States, to qualify for entrance into the ABA examination system for initial certification in the specialty at most once via an Alternate Entry Path (AEP). The objective of the pilot program is to encourage outstanding internationally trained and certified anesthesiologists, who come to the United States to become productive research members of U.S. academic anesthesiology programs. To be considered for entry into this program, applicants must have a preexisting track record of significant, sustained scholarship in the areas of discovery and dissemination. The scholarship of discovery is demonstrated by receipt of peer-reviewed funding as a principal investigator or by first- or senior-authored publication of original research in peer-reviewed journals. The scholarship of dissemination is demonstrated by a record of consistent presentations at local, regional or national professional and scientific society meetings or the publication of review articles in peer-reviewed journals and chapters in textbooks. A record of documented achievement in scholarship, rather than the potential for future success, is critical to acceptance into the AEP program, as is the ability of the sponsoring department to provide an outstanding academic environment.

#### A. ALTERNATE ENTRY PATH

International medical graduates interested in using the alternate entry path must complete a total of four years of continuous experience in one anesthesiology department that commences on or after July 1, 2007. The ABA must prospectively approve the four-year program planned for the international medical graduate. At the time the anesthesiology department enrolls the international medical graduate with the ABA, the department must have an ACGME-accredited anesthesiology residency or fellowship training program that has continued full accreditation and a review cycle of three years or more. An anesthesiology department can have no more than two international medical graduates enrolled in the pilot program at one time.

#### B. PROSPECTIVE APPROVAL AND ENROLLMENT PROCESSES

The chair of the anesthesiology department that sponsors the internationally certified anesthesiologist must submit to the ABA a four-year plan, co-signed by the physician, for prospective approval by the ABA Credentials Committee. The ABA must receive the four-year plan no later than four months before the department enrolls the internationally certified anesthesiologist with the ABA and the four-year period of continuous experience commences. The experiences planned for the internationally certified
anesthesiologist will consist of four years of fellowship training, research or faculty experience, or combination thereof. During the four-year period, these anesthesiologists shall demonstrate discovery of new knowledge in the specialty, excellence in teaching and excellence in clinical anesthesiology. The four-year experience must be in the same institution in which the anesthesiology program resides. The four-year plan should be specifically designed and identified for the candidate, including the anticipated research activity.

The department chair also has to submit the following documents with the request for prospective approval of a four-year plan for an internationally trained and certified anesthesiologist:

1. Documentation of the physician’s anesthesiology certification in a country other than the U.S. that was preceded by postgraduate training in anesthesiology that is comparable in duration to training in the specialty provided by ACGME-accredited anesthesiology programs in the U.S.

2. Written verification satisfactory to the Board of the physician’s anesthesiology certification from the certifying body.

3. Evidence satisfactory to the Board that the physician has been awarded a medical or osteopathic degree acceptable to the ABA.

4. Evidence of one of the following:
   a. A permanent (valid indefinitely) certificate from the Educational Commission for Foreign Medical Graduates; or
   b. Comparable credentials from the Medical Council of Canada; or
   c. An active license to practice medicine or osteopathy in one state of the United States or in Canada that is permanent, unconditional and unrestricted.

C. PERIODIC EVALUATION REPORTS

At six-month intervals, the department chair must submit to the ABA attestations that the physician is currently a fellow in an ACGME-accredited program, or is actively engaged in research, or is a faculty member with a full-time primary appointment in the ACGME-accredited program. At the same time, the department chair will provide the ABA with an assessment of the physician’s performance during the preceding six months relative to the ABMS- and ACGME-approved six general physician competencies.

D. REQUIREMENTS FOR ENTRANCE INTO THE ABA EXAMINATION SYSTEM

Before the ABA will accept a physician in the alternate entry path program as a candidate for examination and certification, the physician must complete satisfactorily the four-year program of continuous experience in one anesthesiology department that was planned by the department chair and prospectively approved by the ABA. The ABA will permit physicians to apply for the Part 1 Examination if they will complete the four-year program by the end of the grace period (see Section 2.04.D).

The internationally trained and certified anesthesiologist must apply to the ABA for examination. In addition to submitting the application electronically, the ABA requires that the physician:

1. Have on file in the ABA office attestations from the department chair that the applicant completed satisfactorily the four-year program planned by the department chair and prospectively approved by the ABA Credentials Committee.

2. Provide evidence acceptable to the Board of having an unexpired license to practice medicine or osteopathy in at least one state or jurisdiction of the United States or province of Canada that is permanent, unconditional and unrestricted. Further, every United States and Canadian medical license the applicant holds must be free of restrictions. Applicants must inform the ABA of any conditions or restrictions in force on any active medical license they hold. When there is a restriction or condition in force on any of the applicant’s medical licenses, the Credentials Committee of the ABA will determine whether, and on what terms, the applicant shall be admitted to the ABA examination system (see Section 2.01.A).
(3) Have on file with the Board documentation attesting to the applicants’ current privileges and evaluations of various aspects of their current practice of anesthesiology. Such evaluations will include verification that the applicant meets the Board’s clinical activity requirement by spending, on average, at least one day per week during 12 consecutive months over the previous three years in the clinical practice of anesthesiology and/or related subspecialties. The ABA may solicit such documentation and evaluations from the chair of the anesthesiology department that enrolled the physician in the alternate entry path program and use them in determining the applicant’s qualifications for admission to the examination system. The department’s assessment of the physician’s performance relative to the ABMS- and ACGME-approved six general physician competencies at six-month intervals and the evaluation of the anesthesiology department chair will be used as the basis for assessing admission qualifications.

E. OUTCOME MEASURES TO ASSESS THE PILOT PROGRAM’S SUCCESS

The ABA will judge the success of this seven-year pilot program and the continued ability of departments to participate in the process on the basis of the certification success and subsequent academic productivity of their participants in the alternate entry path. Thus, department chairs should encourage participants in this pilot project to actively participate in department educational activities, and to otherwise retain or gain basic anesthesiology knowledge and experience that would help them to attain ABA certification. Participants must take the In-Training Examination annually.

The ABA will evaluate the success of the pilot program in toto. However, there could be consequences for a specific department’s continued participation in the program if its participants do not achieve ABA certification, do not remain in academic anesthesiology or are not academically productive subsequent to completing the program.

5.09 INDEPENDENT PRACTICE REQUIREMENT

Applicants and candidates for initial ABA specialty or subspecialty certification must be capable of performing independently the entire scope of practice in the specialty or subspecialty without accommodation or with reasonable accommodation.

Applicants and candidates for ABA recertification or maintenance of certification must be capable of performing independently in the specialty or subspecialty, without accommodation or with reasonable accommodation.

The Board will investigate, examine and attempt to resolve any issues regarding an applicant or candidate’s ability to meet the Independent Practice Requirement by investigating and examining relevant information in the ABA record, including any information provided by the applicant or candidate, or submitted by the program director in the applicant’s or candidate’s final evaluation.

The Board routinely reminds all program directors that they will be required to attest to whether a resident meets all of the criteria for admission to the ABA examination system, including the independent practice requirement, at the time residents who are ABA applicants or candidates for certification complete their residency training program.

The Board as part of the application process for ABA examination presents all applicants with the ABA definition of independent practice and asks whether or not they satisfy the requirement, without accommodation or with reasonable accommodation.

The Board routinely advises all applicants and candidates that after successful completion of the examinations for certification, the ABA will make the final determination of whether a candidate meets all of the criteria for certification, including the independent practice requirement. The Board may, at its discretion, gather additional information to assist in making this determination.
5.10 DATA PRIVACY AND SECURITY POLICY

In the course of application, examination, certification, recertification and Maintenance of Certification processes (collectively, “Certification Processes”), the American Board of Anesthesiology, Inc. (ABA) must collect and utilize personal and professional information pertaining to its applicants and diplomates. The ABA has issued this Data Privacy and Security Policy to govern the collection, use, and disclosure of such information. The Policy ensures that the ABA will protect the security and privacy of any information provided to us during the Certification Processes.

The ABA requires that applicants, candidates and diplomates provide certain personal information to be used by the ABA during the Certification Processes. In connection with performing activities relating to the Certification Processes, the ABA uses its best efforts to keep such information confidential and protected and will limit such disclosures to those who have a “need to know” the information in order to properly perform an ABA function or operation relating to the Certification Processes. With respect to external disclosures to third parties, the ABA may disclose certain applicant or diplomat personal information in response to lawful processes (such as a subpoena or court order) and make disclosures to the public regarding the applicant’s or diplomat’s certification status. In making such external disclosures to third parties, the ABA will only disclose such information that is minimally necessary to accomplish the purposes described above and require any receiving party to take proper security precautions, unless such information is already in the public domain. The ABA also may disclose certain applicant or diplomat information to research partners approved by the ABA for the purpose of conducting studies to assess ABA certification processes or to conduct scientific research relating to anesthesiologists, the practice of anesthesiology and/or the education of anesthesiologists.

The ABA maintains physical, electronic and procedural safeguards to protect and secure all personal information in its possession. The ABA’s security measures protect the confidentiality of online communications, examination results, and other data related to the Certification Processes. Examination results and sensitive applicant and diplomat data transmissions are encrypted and stored in secure areas of ABA systems accessible only by authorized ABA personnel with a unique ID and password. ABA database servers used for transactions and communication with applicants and diplomates are located in a restricted, secure area accessible only by authorized personnel. Firewalls and monitoring devices are utilized to prevent unauthorized access via the Internet.

The ABA takes all reasonable precautions to ensure that personal information is never exposed to any unauthorized person. In the unlikely event that an unauthorized party gains access to personal information stored in the ABA’s computer systems, the ABA will notify the affected person(s) without unreasonable delay and consistent with the legitimate needs of law enforcement, pursuant to North Carolina law 75-65 “Protection from security breaches.” In this event, the ABA will take all necessary steps to determine the scope of the breach and restore our systems to a reasonable level of security.

5.11 IRREGULAR EXAMINATION BEHAVIOR

The Board acts to maintain the integrity of its examination and certification process and to ensure the equitable and objective administration of its examinations to all candidates. Information about behavior that the Board considers a violation of the integrity of its examination and certification process is sent to all candidates scheduled for examination. Statistical analyses may be conducted to verify observations and reports of suspected irregularities in the conduct of an examination. The examination of a candidate whose conduct, in the Board’s judgment, violates or attempts to violate the integrity of its examination and certification process will be invalidated and no results will be reported. Furthermore, the candidate will be subject to punitive action as determined by the Board. In that event, the candidate would be informed of the reasons for the Board’s actions and could request an opportunity to present information deemed relevant to the issue and to petition the Board to reconsider its decision.

Irregular Examination Behavior means any conduct that, in the ABA’s sole discretion, may jeopardize the integrity or validity of any ABA examination process or result, including but not limited to cheating,
misappropriating, copying or reproducing any element of an examination for personal use or the use of a third-party without the explicit and specific written consent of the ABA. The ABA considers that Irregular Examination Behavior demonstrates unsatisfactory essential attributes related to the competency of Professionalism.

A. For residents found to have engaged in Irregular Examination Behavior on the Joint Council In-Training Examination:

(1) The ABA will give the resident an unsatisfactory rating for appropriate Essential Attributes and for Overall Clinical Competence on the six-month Clinical Competence Committee report for the training period that included the test date for the In-Training Examination.

(2) The ABA will first consider an application for examination and certification from individuals no sooner than two years after the initial examination for which they otherwise could have qualified.

B. For ABA candidates found to have engaged in Irregular Examination Behavior on an ABA examination:

(1) The ABA will declare the candidate’s application void.

(2) The ABA will not consider an application from the individual for re-admission to the ABA examination system for at least two years.

The above statements do not limit the Board’s ability to impose more severe actions. In its sole discretion, the Board may require an individual who is found to have engaged in Irregular Examination Behavior to wait a longer period of time to apply to the ABA for examination. These decisions are final and not subject to review.

5.12 UNFORESEEABLE EVENTS

In the event of a natural disaster, war, government regulations, strikes, civil disorders, curtailment of transportation facilities or other unforeseeable events which make it inadvisable, illegal or impossible for the ABA to administer an examination to a candidate at the appointed date, time and location, or to conclude a candidate’s examination, the ABA is not responsible for any personal expense the candidate may have incurred to be present for the examination, nor for any such expense the candidate may incur for any subsequent examination.
The ABA supports the intent of the Americans with Disabilities Act. To accommodate individuals with documented disabilities who demonstrate a need for accommodation, the ABA will make reasonable and appropriate modifications to its assessment programs that do not impose an undue burden on its programs or fundamentally alter the measurement of skills or knowledge that the programs are intended to test.

6.01 REQUESTING ACCOMMODATION

Individuals must request examination under nonstandard conditions by submitting the appropriate ABA Request for Test Accommodation form that corresponds to the examination for which accommodation is sought. The ABA only reviews and responds to one examination accommodation request at a time. Individuals seeking accommodation on more than one examination must submit a separate request form for each examination type at the time that they are eligible to take that examination.

Requests for test accommodation on the Part 2 Examination or a subspecialty certification examination should only be submitted after the candidate has passed the Part 1 Examination and not before. The ABA will not consider a request for test accommodation on the Part 2 Examination or a subspecialty certification examination if the individual has not first satisfied the Part 1 Examination requirement.

Request forms must be submitted by the request deadline as published on the ABA website at www.theABA.org. The request form must state the nature of the individual’s disabilities and all the modifications or auxiliary aids being requested. The ABA office must receive all documentation and other evidence substantiating the individual’s disabilities no later than the published documentation deadline. The request form and applicable deadline dates are available on the ABA website. Individuals are highly encouraged to submit their request form and supporting documentation as early in the application process as possible.

All individuals requesting examination under nonstandard conditions should read the ABA Guidelines for Requesting Test Accommodation. The Guidelines are provided for examinees, evaluators, faculty and others involved in the process of documenting an individual’s request for test accommodation. Individuals requesting test accommodation are encouraged to share these guidelines with their evaluator, therapist, treating physician, etc., so that the appropriate documentation can be assembled to support the request for test accommodation. The ABA’s Guidelines are available on the ABA website at www.theaba.org.

Documentation and other evidence of the nature, severity and impact of the individual’s disability must include an evaluation report from the professional who assessed the individual’s disability that explains why the testing results support the specific diagnosis and how the disability limits the individual’s ability to take the examination under standard testing conditions.

Documentation of the individual’s disability must include the results of tests performed when the individual is using mitigating measures (e.g., a medication, assistive device or prosthetic) or compensating behaviors that are available to control or correct the symptoms or limitations of the individual’s disability.

The nature and severity of a disability and its impact on the individual's ability to take the examination under standard testing conditions may change with time. Therefore, the ABA requires that the accompanying assessments of an individual’s disability and resulting functional limitations be based on testing results and evaluations that are sufficiently recent (i.e., generally performed within five years of the examination for which accommodation is requested) to demonstrate the current nature and severity of the disability and its impact on the individual’s ability to take the examination under standard testing conditions.

The ABA reserves the right to verify independently, at its own expense, the nature and severity of an individual’s disabilities and their impact on the individual’s ability to take the examination under standard testing conditions.
All requests for nonstandard testing conditions, including any supporting documentation, evaluations, medical records or expert reports, will become part of, and retained indefinitely in, the individual’s ABA file (whether the request is for the entry examination administered by the Joint Council on Anesthesiology Examinations or an ABA examination, see Section 5.04). The ABA reserves the right to utilize these Certification Records in connection with its determination of whether the applicant or candidate meets the requirements for entrance into the ABA examination system, or the requirements for certification, recertification or maintenance of certification including the independent practice requirement (see Section 5.09).

6.02 CONSIDERING A REQUEST

A committee of the ABA (hereinafter referred to as “the committee”) will consider the individual’s request and the documentation submitted to substantiate the basis for it, if the request and documentation are received by the appropriate deadline dates. If a request is received after the ABA’s published deadline dates, the request will not be considered for the current examination cycle.

At its own expense, the committee may obtain the professional opinion of experts of its choosing regarding the documentation of the individual’s disabilities and the accommodations requested.

The committee will make reasonable accommodations for individuals with disabilities when there is sufficient evidence of a disability that significantly impairs the individual’s ability to take the examination under standard testing conditions. However, auxiliary aids and services, and modifications to the ABA assessment programs, can only be offered if they do not fundamentally alter the measurement of skills or knowledge that the programs are intended to test or result in an undue burden on the ABA programs.

The ABA reserves the right to require an individual to provide additional information to verify the existence of a disability and the need for any modification or aid. The ABA will not delay an examination pending submission of any missing documentation.

The ABA will send the individual a letter of notification of the committee’s action. If the individual’s request is not granted, the letter shall include the basis for the committee’s action. The individual has the right to seek review of such decision (see Section 5.05).
# Filing Deadlines and Test Dates

## Primary Certification

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<tbody>
<tr>
<td><strong>Part 1 Examination</strong></td>
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<tr>
<td><strong>Part 2 Examination</strong></td>
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<td>Apr 7-11, 2014</td>
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## Subspecialty Certification

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<td>Decision Deadline</td>
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## Subspecialty Recertification

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* Tentative dates to be confirmed.