



Continuing Education Training Coordinator (CETC) Handbook

2021

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I. Purpose of the CETC Handbook

The purpose of this Continuing Education Training Coordinator (CETC) Handbook is to provide guidance to training coordinators as they begin the process of developing a training. A training coordinator is the individual applying for the CE or CME's and usually the individual overseeing the training event. The following, as outlined in the CME/CE Application, describes the procedure to be followed for planning, coordinating, implementing, and evaluating learning activities for Continuing Medical Education (CME) or Continuing Education (CE) credits. Not all trainings will qualify for CME or CE credits. The requirements outlined in the application are imposed by each of the governing agencies for which HCA is a member.

As noted on the first page of the CE Application the procedure for applying for CME/CE credits included the following steps:

1. Complete the Continuing Education Application Form (Form 600.02).
2. Submit Form 600.02 to the Behavioral Health Training Services (BHTS) "BH Training Request" email inbox as stated below. The application must be submitted at least 60 days prior to the training.
3. Submit curriculum vita/resume of the presenter(s).
4. Submit a brief bio for each presenter.
5. Submit timed agenda for presentation.
6. Submit the presentation (e.g. PowerPoint).
7. Submit draft promotional material for learning activity (such as a flyer, email, brochure, etc.)
8. Submit the Financial Interest Disclosure Forms if applying for CME credit(s).

After these steps are met submit the completed application and all required supporting documentation to:

Send To: BHTrainingRequest@ochca.com

Subject: CE Application Completed

This CETC Handbook is designed to provide more specific direction on why this information is required in order to properly evaluate training activities for CME/CE credits.

The purpose of HCA's Continuing Education Program is to provide licensed professionals with continuing education, as required by their licensing boards, to ensure they are up to date with current best practices. All trainings must be created to meet an identified training need or practice gap in order to qualify for Continuing Medical Education (CME) or Continuing Education (CE) credits, specific objectives of each training must be identified related to observable changes expected in clinicians which would result in improvements in competence or performance and ultimately lead to improvements in outcomes for the people served. Trainings must be unbiased, balanced, and based on current research in evidence-based practices, community-based practices, laws and regulations, or updated practice guidelines. CME and CE trainings need to advance the education of these licensed professionals beyond what they received in their graduate school training.

The Orange County Health Care Agency (HCA) is approved by several organization for continuing education credits.

- 1) The California Medical Association (CMA) - provide CME credits to physicians.

- 2) The American Psychological Association (APA) - to provide CE credits for psychologists
- 3) The California Association of Marriage and Family Therapists (CAMFT) - to provide CE credits for Licensed Marriage and Family Therapists, Licensed Clinical Social Workers, Licensed Educational Psychologists, and Licensed Professional Clinical Counselors
- 4) The California Board of Registered Nursing (CBRN) - to offer CE credits for Registered Nurses.
- 5) All Alcohol and Other Drug (AOD) Counselor Certification organizations are required to accept County Behavioral Health training program certificates as continuing education hours.

II. CME Program: Mission Statement and Purpose

The OCHCA CME Program's mission is to provide high quality CME educational activities to physicians offering evidence-based and innovative approaches in the prevention, diagnosis, and treatment of physical and behavioral health disorders, which leads to increased competence or performance which can be applied in clinical practice and improve the quality of care. All trainings will be provided with due sensitivity and understanding of the cultural and linguistic needs of clients and practitioners.

The Orange County Health Care Agency (OCHCA)'s CME committee has had consecutive accreditation cycles since restarting in 1998. When a department within HCA wishes to develop a CME activity, they must identify a Continuing Education Training Coordinator (CETC), who has familiarity with the requirements of CME accreditation, and submits applications for each presentation to the CME committee.

The CME committee consists of members from various divisions within OCHCA and diverse cultural backgrounds. The chair convenes meetings of the CME committee and prepares reports, such as the annual report to the agency Director. The committee is responsive to the educational needs of the agency and accepts applications for CME programs from all programs within the agency. The committee will review and provide assistance with the application process for each presentation.

Learning activities may be reviewed and approved by either CME Committee members or by Content Area Experts. The Content Area Experts are physicians identified as experts in their specific program or division. All learning activities must be reviewed and approved by the CME Committee or by Content Area Experts in order to earn CME credits.

CME Committee members, including the Chair, CME Coordinator, CME Committee Members, and/or staff are able to attend trainings about CME training activities or conferences provided by California Medical Association (CMA) or the Accreditation Council for Continuing Medical Education (ACCME). Attending these events keeps the OCHCA's CME program up-to-date on the evolving world of CME Accreditation.

The OCHCA CME Program has 3 measurable goals:

1. Create and provide educational activities in a variety of formats to accommodate different learning styles which address the identified needs or practice gaps of the physicians.
2. Provide learners with up-to-date, evidence-based, peer-reviewed scientific information about the prevention, treatment, and management of physical health and behavioral health issues. Innovative approaches will also be examined to increase the body of knowledge in these areas.
3. Measure the learning that results from the CME activities in either competence or performance of the physicians we serve.

Expected Results of the Program

The expected direct result of our CME program is to expand the competence or performance of practicing physicians regarding current clinical practices and new research in prevention, intervention, and management of physical and behavioral health issues. The expected indirect result of meeting clinicians' educational needs is improved patient outcomes. Our level of achievement of the expected direct result is assessed by survey evaluation forms that are an integral part of every CME activity. The evaluation questionnaire is used to assess the quality of the activity and its relevance to the physician's interactions with patients and others in the prevention, treatment, and management of mental and physical health issues. Commitment-to-change assessments are used to provide data on whether our participants are translating the information provided into their practices, and if not, to identify the barriers to change. Annual program evaluation reports examine data from individual activities and the program as a whole. The results assist us in continually improving our program to meet identified needs or practice gaps. We are developing new procedures to quantify the changes/improvements brought about by our learning activities.

III. CE Program: Mission Statement for CE Credits

The CE Program is managed by the CE Coordinator. The CE Coordinator is responsible for overseeing the CME and CE programs and ensuring compliance with criteria/rules/standards of each of the accrediting agencies. The CE Coordinator will attend trainings and conferences as needed to stay current with those standards of the accrediting agencies.

The mission of the Orange County Health Care Agency (OCHCA), Behavioral Health Services (BHS), Behavioral Health Training Services (BHTS) Program is to provide the highest level of excellence in clinical training to psychologists and other mental health professionals of the OCHCA and collaborating agencies in order to create and support a service system which promotes the achievement of optimal mental health for the citizens of Orange County.

IV. APA Committee

The APA Committee provides oversight of the APA program to ensure compliance with the APA Standards for Continuing Education programs. Members of the APA Committee review each training which is designed to meet the needs of psychologists for CE credits.

Administrative Support

OCHCA's administrative support is reflected in the Continuing Education Accreditation for HCA Programs. This is P&P (03.01.01) in the Behavioral Health Services Policy & Procedure Manual. Additionally, HCA's umbrella Policies & Procedures have an entire section related to personnel and financial issues. Our CME/CE program was designed to support the mission of our agency—the mission statement of the Orange County Health Care Agency is as follows:

In partnership with the community, protect and promote the health and safety of and families in Orange County through:

- Assessment and planning
- Prevention and education
- Treatment and care

V. Needs Assessment

In order to be considered for CME or CE credits the need for a training must be clearly identified. This identified need would be a professional practice gap—which is the difference between present knowledge, skills, competence, practice, performance or patient outcomes and an ideal or optimal level of service. Although this section is on the second page of the CME/CE Application it is the very first consideration. The need for the training must be based on at least one of the following:

- a) Demonstrated Needs – From QI data, committee studies of care, county data, national trends from national data, professional literature review, US health data
- b) Expressed Needs – From requests submitted on participants' activity evaluation forms, surveys of potential participants, informal verbal comments, patient problems, consensus of licensed professionals
- c) Presumed Needs Assessment – New methods of diagnosis, treatment, or technology, input from experts regarding advances in medical knowledge, regulatory changes affecting patient care

After the need has been identified a training is designed to fill that need. This includes the selection of trainer, teaching methods, and content of the training. Trainings must be developed with the goal of improving participant's competence or performance with the expectation of improving outcomes for the people they serve.

VI. Selection of Trainer(s)

The selection of the trainer is very important. It is essential for the trainer to have expertise in the field related to the contents of the training—over and above the specific content of the training so they have a thorough understanding of the subject matter. This expertise can be acquired through education, training, and experience. The CV or resume' for each presenter is required to be submitted with the application so the qualifications of each trainer can be established prior to the training. People receiving services can provide training especially related to meeting the needs of communicating with them and providing patient centered care.

VII. Development of Objectives

The content of a training is developed to meet the identified needs/practice gap. It is organized around learning goals covering the content of the training. This information regarding the content of the training and what participants are expected to learn is provided to potential learners prior to registering for the training. People can make informed decisions regarding participating in the training. These learning goals are provided as a brief description of the training.

The learning objectives are the expected outcomes of the training. How will participants be able to demonstrate the learning they have achieved as a result of the training? Learning objectives describe behaviors so they are action oriented. Learning information is not enough to meet an identified need. Understanding how the information learned can be put to use results in change in the competence of the learner. Actually changing behavior and implementing what was learned is a change in performance. Such changes in performance would be expected to improve outcomes. While the intention for every

training is to meet identified needs in order to improve outcomes the minimal level of change accepted is related to competence.

VIII. Development of Curriculum for an Activity

The curriculum for any learning activity must be designed to fill a need or practice gap of professionals. In order to qualify for continuing medical education (CME) credits material must be designed to produce changes in learner abilities as related to desirable physician attributes (Criterion 6 in ACCME Accreditation requirements). The following are lists of topic areas which would related to these Competencies or Core Competencies:

ACGME/ABMS Competencies

- Patient Care
- Medical Knowledge
- Practice-based Learning and Improvement
- Interpersonal and Communication Skills
- Professionalism
- System-based Practice

Institute of Medicine (IOM) Core Competencies

- Provide patient-centered care
- Work in Interdisciplinary teams
- Employ evidence-based practice
- Apply quality improvement
- Utilize informatics

Curriculum related to other licensed professionals must be designed to increase their competence by adding to their education which prepared them for licensure, be relevant to improving their practice and providing care, and be evidence-based (based on current research or studies including accepted community practices.) Trainings may also meet these criteria by presenting current information addressing legal or ethical standards.

IX. References Used as Basis of Training

Reference are required in order to demonstrate the support for the information/curriculum provided in the learning activity. All of the approving agencies require us to collect information on the evidence used as the basis of each training. The preference is for journal-based articles on research conducted on the effectiveness of any therapy, intervention, or assessment used to help people attain optimal mental health functioning. References need to be journal-based articles published within the past 5 years (or up to 10 years for accepted that are related to evidence-based practices or community based practices. Trainings related to changes in laws and regulations also need to be related to current changes. Internet sites frequently have references for the information they provide in their articles. It is important to use the source information rather than what is written in an article. Books can also include

useful information but there is a strong preference for journal based, peer reviewed articles on current research. For example a manual for a certain type of therapy would be one solid reference.

Trainings may be designed to address changes in legal and ethical standards under which licensed professionals are required to operate and receive training or information in order to maintain their licenses.

X. Selection of Training Methods

The selection of training methods requires careful consideration. The training coordinator should consider what method will produce the outcomes expected in terms of maximizing learning and producing changes in learner competence or performance which should lead to improved outcomes for the people served by the licensed clinicians. While lecture based training methods are acceptable, other methods are encouraged to facilitate success in meeting the learning objectives. Active participation in training leads to more robust learning in participants and is encouraged for all training modalities. Training modalities include lecture (with or without power-point slides), interactive discussion, skills trainings, audio-visual segments, roll play, or blended approaches.

XI. Selection of Setting

The selection of the setting or format for a training is an important consideration. The setting of the training must be conducive to ensuring the success of the training in meeting the learning objectives. Trainings which include opportunities for, and promote, active participation are preferred over static trainings.

XII. Selection of Target Audience

Each of the accrediting agencies require identification of the target audience. In order to be approved for CME or CE credits a training must be created with the needs of the licensed professionals in mind. Trainings can include other people as part of the target audience as long as the primary focus is on meeting the identified needs of those receiving CME or CE credits. Each of the approving bodies requires the identification of the target audience to ensure the training is relevant and will meet the CME or CE requirements of the state for maintaining licensure.

XIII. Responsibility of Continuing Education Training Coordinator After Activity

After a learning activity occurs the training coordinator is responsible for collecting and returning the following information for our records:

1. Completed Sign-in sheets or other verification of participation
2. Evaluation forms (either paper evaluations or other versions—such as online submissions).
3. Disclosure of relevant financial relationships for every person having control over the content of a learning activity (the training coordinator is responsible for ensuring disclosure of relevant financial interests prior to the start of an activity and documenting this disclosure.) The disclosure must also be made even if there are no relevant financial interests to disclose. The

documentation of disclosure can be any of the following:

- a. Attestation of disclosure—a form stating the disclosure was made
- b. A copy of the full disclosure as made to participants prior to the activity
 - i. Full disclosure statement as written and provided to participants
 - ii. Copy of PowerPoint presentation including full disclosure at start of activity prior to content.

XIV. References

- a. California Medical Association (CMA) Accreditation website --
<https://www.cmadocs.org/cme/accreditation>
- b. Accreditation Council for Continuing Medical Education (ACCME) Accreditation website
<https://www.accme.org/publications/accme-accreditation-requirements>
- c. Continuing Education Accreditation for HCA Programs P&P's (Section 03.01.01)
<https://www.ochealthinfo.com/bhs/png>
- d. Desirable Physician Attributes— including Institute of Medicine (IOM) Core Competencies, ACGME/ABMS Competencies, and ABMS Maintenance of Certification (the following links provide examples of competencies)
[https://www.massmed.org/Continuing-Education-and-Events/CME-Accreditation-for-Institutions/Desirable-Physician-Attributes-\(pdf\)/](https://www.massmed.org/Continuing-Education-and-Events/CME-Accreditation-for-Institutions/Desirable-Physician-Attributes-(pdf)/)

<https://pedialink.aap.org/File%20Library/About%20AAP%20CME/Desirable-Physician-Attributes.pdf#:~:text=Definitions%20of%20Desirable%20Physician%20Attributes%20%20%20%28ACGME%2C,%20problems%20and%20the%20promotion%20of%20health%29%20>

<https://accme.org/accreditation-rules/accreditation-criteria/criterion-6>

Attachments

1. BHS P&P



Health Care Agency	Section Name:	Human Resources
Behavioral Health Services	Sub Section:	Staff Development
Policies and Procedures	Section Number:	03.01.01
	Policy Status:	<input type="checkbox"/> New <input checked="" type="checkbox"/> Revised

	SIGNATURE	DATE APPROVED
Chief of Operations Behavioral Health Services	_____	_____

SUBJECT: Continuing Education Course Approval for HCA Programs

PURPOSE:

This procedure outlines the process to obtain approval from the Health Care Agency (HCA) Continuing Education program for offering Continuing Education (CE) or Continuing Medical Education (CME) credits (also known as hours) for learning activities. Continuing Education learning activities update licensed clinicians' knowledge and skills consistent with established accreditation standards. Licensed clinicians are required by their licensing boards to obtain Continuing Education credits in order to renew their licenses.

POLICY:

The Health Care Agency shall provide Continuing Education for its employees and Behavioral Health Services' (BHS) Behavioral Health Training Services (BHTS) program shall obtain accreditation in order to provide for these Continuing Education Courses when appropriate.

SCOPE:

This Policy & Procedure applies to all HCA staff members requesting HCA accreditation approval for Continuing Education courses.

REFERENCES:

[Policies and Procedures for American Psychological Association Approval of Sponsors of Continuing Education for Psychologists:](http://www.apa.org/ed/sponsor/about/policies/policy-manual.pdf)
<http://www.apa.org/ed/sponsor/about/policies/policy-manual.pdf>

[California Association of Marriage and Family Therapists \(CAMFT\) Continuing Education Provider Information:](https://www.camft.org/CE-Provider/CE-Provider-Resources) <https://www.camft.org/CE-Provider/CE-Provider-Resources>

California Medical Association (CMA) Continuing Medical Education (CME) Accreditation Requirements (May, 2019)
<https://www.cmadoocs.org/Portals/CMA/files/public/CME%20Accreditation%20Requirements.pdf>

California Board of Registered Nursing (BRN) Continuing Education for License Renewal
<https://www.m.ca.gov/licensees/ce-renewal.shtml>

<https://www.m.ca.gov/odfs/applicants/cep-app.pdf>

FORMS:

Please contact the Behavioral Health Training Services program at 714-867-5800, BH Training Request BHTrainingRequest@ochca.com, or visit <https://intranet.ochca.com/bhs/bhts/> for updated copies of these forms:

CE Application form

Disclosure of Relevant Financial Relationships form for presenters

Disclosure of Relevant Financial Relationships form for planners and committee members

Documentation of Verbal Disclosure to Learners

PROCEDURE:

- I. The application process, the notification of course approval and the final documentation are outlined in this procedure. The BHTS program is the part of HCA which oversees the accreditation process with various CME/CE approval agencies. As part of the BHTS program, the Continuing Education Coordinator (CEC) will review and ensure CE courses meet or exceed requirements for the education content and satisfies the format required by the State. Below is a listing of available CME and CE accreditations.
 - A. CME credits for Physicians through accreditation by the California Medical Association (CMA)
 - B. CE credits for Psychologists through accreditation by the American Psychological Association (APA)
 - C. CE credits for Licensed Clinical Social Workers (LCSWs) & Licensed Marriage Family Therapists (LMFTs), Licensed Professional Clinical Counselors (LPCCs), and Licensed Educational Psychologists (LEPs) through accreditation by the California Association of Marriage and Family Therapists (CAMFT)
 - D. CE credits for Nurses (RNs) through accreditation by the California Board of Registered Nursing (BRN)
 - E. CE credits for Alcohol and Other Drug (AOD) Counselors through compliance with California Code of Regulations section §13055 of Chapter 8, Division 4, Title 9
- II. Application Process

- A. HCA staff identifies training needs and develops the Continuing Education course to be submitted for approval through the Continuing Education Coordinator (CEC.)
- B. The Continuing Education Training Coordinator (CETC) is responsible for following the procedures outlined in the CE Application and submitting the application packet to the CEC.
- C. If approval is desired for several available disciplines, such as physicians and psychologists, the BHTS program coordinates the application process.
- D. In planning a Continuing Education course, the CETC should consider all of the following information which may be used to complete an application for continuing education credits.
 1. How did HCA determine there was a need for this program? There are typically three reasons to offer continuing education presentations.
 - a) HCA has a *Demonstrated Needs Assessment* – From QI data, committee studies of care, county data, national trends from national data, professional literature review, US health data
 - b) HCA staff have *Expressed Needs* – From requests submitted on participants' activity evaluation forms, surveys of potential participants, informal verbal comments, patient problems, consensus
 - c) HCA has a *Presumed Needs Assessment* – New methods of diagnosis, treatment, or technology, input from experts regarding advances in medical knowledge, regulatory changes affecting patient care
 2. What are the learning goals for the program?
Learning goals relate to the purpose of the program. What topics will be covered and how will they be taught? How will the program address the identified needs?

Describe the program:
 - (1) Briefly and broadly describe the program (e.g., diagnosing, treating, one illness vs. many, basic science vs. clinical, etc.).
 - (2) Pragmatically decide on a format such as lecture discussion, panel, etc. which would facilitate achievement of the learning goals

3. What are the measurable learning objectives for this HCA program? If the learning goals are achieved what will the participants be able to do with the information learned? What behaviors will demonstrate their understanding of the material presented and its application? Accordingly, the objectives are typically written (using words like "identify," "describe," "list," "explain," "demonstrate"), so that they describe measurable behaviors or outcomes the participant will be able to demonstrate or achieve upon completion of the program.

4. Are cultural/linguistic issues relevant for this program?

Demonstrate how cultural/ethnic information/data are used either for demographic overview of the issue or to establish therapeutic relationships, diagnosis/treatment, or enhance clinical care processes. If these issues are not addressed what is the evidence to suggest they are not relevant?

4. How will this program's effectiveness be evaluated?

All trainings need to be evaluated by some method related to their effectiveness and relevance to the target audience(s). For CE and CME trainings specific evaluations are to be used and are provided by the CE program office.

E. The following items must be submitted together for the review process to start:

A CE Application and all supporting documentation are due to CEC at least sixty (60) calendar days before the course date. A completed CE Application must include the following:

- a) Clear and concise description of course content and objectives with time estimates
- b) Current resume of each speaker
- c) Copies of presentations and handouts
- d) Financial statement outlining cost and funding for program (for conferences)
- e) Posttest (required for online/enduring materials trainings)
- f) A draft Advertisement or Notice of Course to include:
 - (1) Title of the course

- (2) Name(s) of presenter(s) and their qualifications and affiliations
- (3) Description of the course (including learning objectives)
- (4) Intended audience
- (5) A timed agenda which outlines course content in moderate detail and identifies all non-instructional time such as breaks or meals
- (6) Course objectives in behavioral terms
- (7) Required credit designation statements regarding all relevant CE approval agencies—see section g) below.
- (8) CMEs can only be advertised after they have been granted. They are never to be advertised as in process, applied for, or any other type wording.
- (9) The number of actual training hours of continuing education credit as outlined below
- (10) Information on requests for Accommodations

For example:

Accommodations: If you need a disability-related reasonable accommodation/alternative format for this training event, please contact BHSwet@ochca.com beforehand.

- (11) Grievance Policy

For example:

For any grievance concerning the Orange County Health Care Agency's Continuing Education Program, please write to the Workforce Education & Training Program at 600 W. Santa Ana Blvd., Suite 510, Santa Ana, CA 92701 or call (714) 667-5600.

- (12) Information on when and how CE certificates will be provided to participants

For example:

Course completion (CE) certificates will be provided immediately at the end of the training in exchange for a completed evaluation.

- (13) A posttest must be used to evaluate participant learning for enduring materials courses such as asynchronous trainings

g) Course Accreditation Statement for each accrediting body:

- (1) For CME directly-sponsored activities:

The Orange County Health Care Agency is accredited by California Medical Association (CMA) to provide continuing medical education for physicians.

The Orange County Health Care Agency designates this live activity for a maximum of [insert # of hours of actual training/ AIA PRA Category 1 Credit(s)]™. Physicians should only claim credit commensurate with the extent of their participation in the activity.

This credit may also be applied to the CMA Certification in Continuing Medical Education.

- (2) For CME Joint Providership Activities:

This activity has been planned and implemented in accordance with the accreditation requirements and policies of the California Medical Association (CMA) through the joint providership of Orange County Health Care Agency and the [name of non-accredited provider]. The Orange County Health Care Agency is accredited by the CMA to provide continuing medical education for physicians.

The Orange County Health Care Agency designates this live activity for a maximum of [insert # of hours of actual training/ AIA PRA Category 1 Credit(s)]™. Physicians should only claim the credit commensurate with the extent of their participation in the activity.

This credit may also be applied to the CMA Certification in Continuing Medical Education.

- (3) For Psychologists:

The Orange County Health Care Agency is approved by the American Psychological Association to offer continuing education for psychologists.

The Orange County Health Care Agency maintains responsibility for the program.

- (4) For Nurses:

Provider approved by the California Board of Registered Nursing, Provider #1509, for [insert # of hours of actual training] contact hours.

- (5) For Licensed Therapists (LMFTs/LCSWs/LPCCs/LEPs):

The Orange County Health Care Agency is approved by the California Association of Marriage and Family Therapists to sponsor continuing education for LMFTs, LCSWs, LPCCs, and/or LEPs (Provider # 62340). This course meets the qualifications for [insert number of hours] hours of continuing education credit for LMFTs, LCSWs, LPCCs, and/or LEPs as required by the California Board of Behavioral Sciences.

The Orange County Health Care Agency maintains responsibility for this program and its content.

- (6) For Alcohol and Other Drug (AOD Counselors):

These Continuing Education Hours comply with section §13055 of Chapter 8, Division 4, Title 9 of the California Code of Regulations concerning renewal of an Alcohol or Other Drug (AOD) Counselor Certification. All certifying organizations shall accept as continuing education hours of training provided by any county governmental agency

F. Course is planned with another organization (outside of HCA):

1. The CETC needs to obtain an agreement from all agencies involved regarding who is responsible for content, presentation, monitoring, record keeping, advertising, financial arrangements and administrative decisions.
2. In order to "joint-sponsor" a course for continuing education credit, if the co-sponsoring provider is not accredited, then HCA must assume responsibility for the content and planning of the activity.
3. In cases where the other organization is also a continuing education provider with the same accrediting body, then the agreement must clarify which of the two co-sponsoring organizations shall accept and maintain responsibility for the activity.

III. Notification of Course Approval

- A. Educational programs offered by HCA are not accredited automatically. Each course offering requires application to the CEC.
- B. The CETC shall be notified in writing that the course is approved or if further documentation or preparation is needed.
- C. The CETC shall receive a certificate for the attendees for distribution at the time of the course.
- D. The CETC shall also receive an attendance sign-in/sign-out list and an evaluation form.
- E. Courses can be approved for a maximum of one calendar year, and may be repeated within that calendar year if the program is identical in content, length and instructor. The approval may be extended beyond one year if the content of the course is the same, the information is still current, and an approved instructor is facilitating the course.

IV. Final Documentation

- A. After each course the CETC must submit final documentation to CEC. The final documentation must include:

1. Course attendance sheets with each participant's name and license number (these attendance sheets must be separated by license type: CME, APA, MFT/LCSW, RN, ARF/RCFE)
2. Completed evaluation forms
3. Copy of results of post-test (if applicable—mostly for enduring materials).
4. Disclosure of relevant financial relationships, documentation of verbal disclosure to learners, filled out by CETC who was in attendance

V. Record Requirements

A. The CEC must keep the following records for at least four years:

1. Syllabi for all courses
2. Time and location of courses
3. Course advertisements
4. Instructors' vitae or resumes
5. Attendance rosters with the names of those who attended the course (and license numbers of licensees who completed the course.)
6. Sign-in and sign-out sheets
7. Documentation of the disclosure of relevant financial relationships (or lack of such relationships) for instructors or anyone in control of course content—such as documentation of verbal disclosure to learners filled out by CETC who was in attendance or of information provided to attendees prior to start of training.

B. The CEC is required to make the records available to accreditation boards if audited.

C. Audits are on a random basis to ensure compliance with criteria of each accrediting body.

D. It is the CEC's responsibility to apply for re-accreditation and to submit all documentation to the accreditation boards prior to the expiration date.

Accreditation is approved varying lengths of time for each type of license.

VI. CME Committee for the CME Program for doctors

- A. This committee is comprised of physicians and administrators in the Health Care Agency.
 - 1. By design, other Continuing Education Training Coordinators sit on this committee to facilitate coordination between all accreditation functions.
 - 2. Each activity is reviewed by the CME Committee and/or expert content reviewers to ensure activities meet criteria for CME credits.
 - B. The CME committee meets as needed to review the CME Program, and to ensure that all activities approved for CME credits meet the criteria of the California Medical Association.
- V. APA Committee is the CE Program for psychologists
- A. This committee is comprised of psychologists and other clinicians and administrators within HCA.
 - B. The committee reviews course applications and meets as needed to review the performance of HCA as an approved provider of APA continuing education activities.
- VII Commercial support guidelines:
- A. To identify potential conflicts, the CETC shall notify the speaker of the need to have a full disclosure at the time of the presentation, and then asking the speaker to disclose this information prior to the event. This is particularly relevant to CME activities.

Disclosures must be made regarding the presenter(s) and anyone having control over the content of the course—such as program planners and committee members.
 - B. If the speaker is unable to make an unbiased presentation, then continuing education credit is not granted for this presentation, or a different speaker is found for the chosen topic.
 - C. Presentation material is reviewed prior to the presentation and commercial references are removed.
 - D. The CETC will assure that the disclosure does occur, and submit documentation of this at the end of the program using the form, "Disclosure of Relevant Financial Relationships, Documentation of Verbal Disclosure to Learners."

2. Joint Providership Agreement Form



Joint Providership Agreement

Participants:

This is an agreement between _____ (“Collaborative Provider”) and County of Orange, through its Health Care Agency, (“Provider”) for a Joint Providership of Continuing Education and Continuing Medical Education training and credits.
Name of Organization

Purpose:

This Joint Providership Agreement is entered into for the purpose of setting forth Provider’s and Collaborative Provider’s commitments in planning and presenting a training, which includes Continuing Education (CE) or Continuing Medical Education (CME) credits, through the event titled _____ for _____ (“Training”) [provided pursuant to Contract

{ _____ }
Name of Event/Training Target Audience Contract Reference if applicable

Participation Commitments of Collaborative Provider:

Collaborative Provider:

1. Will ensure that it is not and will not become an ACCME accredited provider while this Joint Providership Agreement is in effect.
2. Will ensure that it is not and will not become a commercial interest, or be owned or controlled by a commercial interest, as that term is defined by the CMA and the ACCME, while this Joint Providership Agreement is in effect. A commercial interest is defined by the California Medical Association (CMA) and the Accreditation Council for Continuing Medical Education (ACCME) as “any entity producing, marketing, re-selling, or distributing health care goods or services consumed by, or used on, patients. The ACCME does not consider providers of clinical service directly to patients to be commercial interests - unless the provider of clinical service is owned, or controlled by, an ACCME-defined commercial interests.”
3. Will not use a commercial interest to provide a CME activity to learners (examples of such CME activities includes the distribution of self-study CME activities or arranging for electronic access to CME activities).
4. Will provide documentation of receipt of funds from any commercial interest and any expenses of those funds as requested by Provider.
5. Will ensure all terms, conditions and purposes of commercial support from a commercial interest is documented in a signed, written agreement with the commercial interest and ensure Provider is included in the written agreement, even if the support is given directly to Collaborative Partner.
6. Will assist in the collection of disclosure information regarding financial relationships with commercial interests for all people involved in the Training having any control or influence over the content of the Training, including planners, developers, instructors, and reviewers. Financial relationships are defined as, “financial relationships in any amount, which occurred in the twelve-month period preceding the time that an individual was asked to assume a role controlling content

Joint Providership Agreement (rev. 10.29.20)

of the CME activity.⁶ Disclosure information must include the financial relationships with commercial interests of spouses/partners in the same time period.

7. Will ensure disclosure of all relevant financial interests of all people having any control or influence over the content of the training to participants of the Training. This disclosure will include reference to people who do not have any relevant financial interests to disclose. This disclosure needs to happen prior to start of training and must be documented. The disclosure may not include corporate logos or slogans.
8. Will follow the decisions and directions of Provider regarding the resolution of any conflicts of interest posed by people having any relevant financial relationships prior to participation in any aspect of the Training.
9. Will assist in the collection of information related to evaluating the Training for CE or CME credits, including obtaining CV's/resume's for speakers/curriculum developers, learning objectives, references, training materials and handouts.
10. Will ensure that the timeline for advertising and payment of the Training are followed according to Provider's policies.
11. Will be responsible for controlling, tracking, and reporting (as needed) all funding provided for the Training.
12. Will provide all final advertising flyer, registration material, promotional and marketing materials and any other CME activity materials and brochures no less than forty-five (45) days before the first day of the Training, unless Provider provides written consent for a shorter time period. All such material (print and online) must be reviewed and approved by Provider before publication and/or distribution.
13. Will collect and transmit copies of sign-in materials and post event evaluations to Provider within seven (7) days of conclusion of the Training.
14. Will comply with all of Provider's⁷ and ACCME's policies and standards related to training for CE and CME credits and all ACCME accreditation requirements.
15. Will provide any information or perform any action requested by Provider to help Provider ensure all criteria of the accrediting agencies are followed, as provided in Paragraph 4 under Participation Commitments of Provider below.

Participation Commitments of Provider:

Provider:

1. Will coordinate the collection of required materials and documents in order to evaluate a Training for CE or CME credits and maintain records of these materials and documents.
2. Will provide sign-in material and post training evaluations and will maintain records of participation, evaluations, and other training-related materials transmitted by Collaborative Provider after conclusion of the Training.
3. Will attend the actual Training provided by Collaborative Provider, in Provider's sole discretion.
4. Will ensure all criteria of the accrediting agencies are followed, including standards for commercial support. Accrediting agencies may include the California Medical Association (CMA), the Accreditation Council for Continuing Medical Education (ACCME), the American Psychological Association (APA), the California Association of Marriage and Family Therapists (CAMFT), and the California Board of Registered Nursing (BRN).
5. Will ensure all content of training is free from influence from commercial interests, as that term is defined by the CMA and the ACCME. This includes all decisions related to the Training, such as: (a) Identification of CME needs; (b) Determination of educational objectives; (c) Selection and

⁷ NCA P&P 03.01.00 "Continuing Education Accreditation for NCA Programs"

presentation of content; (d) Selection of all persons and organizations that will be in a position to control the content of the CME; (e) Selection of educational methods; and (f) Evaluation of the activity. A commercial interest is defined by the California Medical Association (CMA) and the Accreditation Council for Continuing Medical Education (ACCME) as "any entity producing, marketing, re-selling, or distributing health care goods or services consumed by, or used on, patients. The ACCME does not consider providers of clinical service directly to patients to be commercial interests - unless the provider of clinical service is owned, or controlled by, an ACCME-defined commercial interests."

6. Will assist in the development, and provide final approval of, the final advertising flyer, registration material, promotional and marketing materials and any other CME activity materials and brochures, all of which will utilize the following ACCME approved statement:

"This activity has been planned and implemented in accordance with the accreditation requirements and policies of the California Medical Association (CMA) and the Accreditation Council for Continuing Medical Education (ACCME) through the joint providership of the Orange County Health Care Agency and the (name of nonaccredited provider). The Orange County Health Care Agency is accredited by the CMA provide continuing medical education for physicians."

Term of Agreement: This Joint Providership Agreement will remain in effect from _____ to _____

Effective Date

_____. However, Provider may choose to terminate this Joint Providership Agreement immediately

End Date

if (1) Collaborative Provider fails to meet any requirements of this Joint Providership Agreement, as determined by Provider; (2) a conflict of interest is created at any time while this Joint Partnership Agreement is in effect; or (3) Collaborative Provider demonstrates unlawful or unethical practices.

Signatures:

Collaborative Provider

Provider

Agency Name

County of Orange, Health Care Agency
Agency Name

Agency Designee

Signature

Signature

Date

Date

3. Letter of Agreement for Commercial Interest



Continuing Medical Education (CME)
Letter of Agreement for Commercial Support

Between
Orange County, Health Care Agency, and _____

This Letter of Agreement for Commercial Support is an agreement between the Commercial Interest named below ("Commercial Interest") and County of Orange, through its Health Care Agency, ("Provider") for financial contributions to a Continuing Medical Education activity.

Definitions:

Commercial Interest: Any entity producing, marketing, re-selling, or distributing health care goods or services consumed by, or used on, patients.

Commercial Support: Financial, or in-kind, contributions given by a Commercial Interest which is used to pay all or part of the costs of a Continuing Medical Education activity.

CME Activity Title: _____ Date: _____

Location: _____

Commercial Interest
Name/Branch: _____

Contact Person: _____

Address: _____

City, State, Zip: _____

Telephone: _____

Fax: _____

Email: _____

The Commercial Support for the named CME activity will be used for the following purpose: (to be completed by Provider)

1. Unrestricted educational grant in the amount of \$ _____

2. Restricted grant in the amount for

a. Speaker(s)

i. _____

ii. _____

For: (check one) All expenses Travel only Honorarium only

Honorarium amount: (as determined by course director) \$ _____

b. Catering function support: \$ _____

c. Other: (specify) _____ in the amount of \$ _____

Conditions for Commercial Support

This Letter of Agreement sets forth the terms, conditions, and purposes of the Commercial Support provided by Commercial Interest.

1. Provider and Commercial Interest agree to abide by all requirements of the Accreditation Council for Continuing Medical Education (ACCME) Standards for Commercial Support of Continuing Medical Education (www.accme.org).
2. Commercial Interest shall provide Commercial Support in the amount set forth above to Provider promptly upon execution of this Letter of Agreement.

Independence

1. Provider is responsible for and will make all of the following decisions free of the control of Commercial Interest: (a) Identification of Continuing Medical Education (CME) needs; (b) Determination of educational objectives; (c) Selection and presentation of content; (d) Selection of all persons and organizations that will be in a position to control the content of the CME; (e) Selection of educational methods; (f) Evaluation of the activity.
2. Commercial Interest will not assume the role of non-accredited partner in a joint sponsorship relationship.

Resolution of Personal Conflicts of Interest

1. Provider and Commercial Interest will jointly ensure and document that everyone who is in a position to control the content of an education activity has disclosed to Provider all "relevant financial relationships" with Commercial Interest, with "relevant financial relationships" being defined as "financial relationships of any amount, which occurred in the past 12-month period preceding the time that the individual was asked to assume a role controlling content of the CME activity and that relate to the content of the educational activity."
2. Provider maintains a multidisciplinary CME committee to identify and resolve all conflicts of interest prior to the education activity being delivered to learners. Commercial Interest will comply with the CME committee's directions related to conflicts of interest as condition of providing the Commercial Support.

Appropriate Use of Commercial Support

1. Provider will make all decisions regarding the disposition and disbursement of Commercial Support. Commercial Interest shall have no involvement in such decisions.
2. Provider will not accept, and Commercial Interest will not require Provider to accept, advice or services concerning teachers, authors, or participants or other education matters, including content, from Commercial Interest as conditions of receiving the Commercial Support.
3. Provider must have full knowledge and prior approval of all relevant commercial support associated with a CME activity and Commercial Interest agrees to provide prior notice of all of its relevant commercial support.
4. Provider and Commercial Interest will complete and jointly sign this Letter of Agreement prior to Commercial Interest providing any Commercial Support for any CME activity—joint sponsors may also sign this agreement. This Letter of Agreement must be signed by Provider even if the support is given directly to the joint sponsor and not to Provider.
5. Written policies and procedures of Provider governing honoraria and reimbursement of out-of-pocket expenses for planners, teachers, and authors will be followed by Provider and Commercial Interest.
6. Provider, the joint sponsor, or designated educational partner must pay directly any teacher or author honoraria or reimbursement of out-of-pocket expenses in compliance with Provider's written policies and procedures. Commercial Interest shall not make any such payments.
7. No other payment shall be given to the director of the activity, planning committee members, teachers or authors, joint sponsor, or any others involved with the supported activity.

Appropriate Management of Associated Commercial Promotion

1. Arrangements for commercial exhibits or advertisements will not influence planning or interfere with the presentation, nor will Commercial Interest condition the provision of Commercial Support for CME activities on such arrangements.
2. Product-promotion material or product-specific advertisement of any type is prohibited in or during CME activities. The juxtaposition of editorial and advertising material on the same products or subjects is not permitted. Live (staffed exhibits, presentations) or enduring (printed or electronic advertisements) promotional activities must be kept separate from CME. For print, advertisements and promotional materials will not be interleaved within the pages of the CME content. Advertisements and promotional materials may face the first or last pages of printed CME content if these materials are not related to the CME content they face and are not paid for by Commercial Interest for the CME activity. For computer based, advertisements and promotional materials will not be visible on the screen at the same time as the CME content and not interleaved between computer 'windows' or screens of the CME content. For audio and video recording, advertisements and promotional materials will not be included within the CME. There will be no 'commercial breaks.' For live, face-to-face CME, advertisements and promotional materials cannot be displayed or distributed in the educational space immediately before, during, or after a CME activity. Provider does not permit representatives of Commercial Interest to engage in sales or promotional activities while in the space or place of the CME activity.
3. Educational materials that are part of a CME activity, such as slides, abstracts, and handouts, will not contain any advertising, trade name or product-group message and Commercial Interest will not condition the Commercial Support on the educational materials containing such information.
4. Print or electronic information distributed about the non-CME elements of a CME activity that are not directly related to the transfer of education to the learner, such as schedules and content descriptions, may include product-promotion material or product-specific advertisement.
5. Commercial Interest may not be the agent providing the CME activity to learners, e.g., distribution of self-study CME activities or arranging for electronic access to CME activities.

Content and Format without Commercial Bias

1. Provider is committed to ensuring the content and format of a CME activity and any related materials promote improvements or quality in healthcare. Provider and Commercial Interest agree that the CME activity will not promote any specific proprietary business interest of Commercial Interest.
2. Commercial Interest agrees that presentations must give a balanced view of therapeutic options and the use of generic names will contribute to this impartiality. Commercial Interest will not condition the Commercial Support on the use of Commercial Interest's trade name in the CME educational material or content, even if such material or content does contain one or more trade names.

Disclosures Relevant to Potential Commercial Bias

1. Provider will ensure that the source of support from Commercial Interest is disclosed to the learners in all CME activities supported by the commercial funds prior to the start of the activity.
2. This disclosure will not include the use of a trade name or a product-group message. The acknowledgment of Commercial Support may state the name of Commercial Interest but will not include corporate logos or slogans.

This Letter of Agreement constitutes the entire agreement between the parties relating to the Commercial Support referenced above and supersedes all other agreements, express or implied, between the parties as to its subject matter. This Letter of Agreement may be modified only by a writing signed by both parties which states it is an amendment to this Letter of Agreement. This Letter of Agreement shall be governed by and construed in accordance with the laws of the State of California.

**Continuing Medical Education (CME)
Letter of Agreement for Commercial Support**

AGREED

Commercial Interest
Representative (name)

Signature

Date

Course Director (name)

Dept.

Signature

Date

CME Department Director
or Designee (name)

Signature

Date

SAMPLE

4. CE Application Form



Behavioral Health Training Services HCA Continuing Education (CE) Application

GUIDELINE

This guideline outlines the process to obtain credits for Continuing Education courses through the Health Care Agency (HCA). Continuing Education courses update licensed clinicians' knowledge and skills to provide consistency with established accreditation standards.

PLEASE NOTE: CE credits should not be advertised until after they have been approved through the CE process. Any publicity that mentions Continuing Medical Education (CME) credit must contain the accreditation statement identifying the accredited provider, as well as the credit designation statement listing the number of AMA PRA Category 1 Credit(s)[™] offered for the activity. There are no exceptions to this rule.

PURPOSE

To provide a uniform and consistent guide line for processing all new Continuing Education Applications

PROCEDURE

1. Complete the Continuing Education Application Form (Form 600.02).
2. Submit Form 600.02 to the Behavioral Health Training Services (BHTS) "BH Training Request" email inbox as stated below. **The application must be submitted at least 60 days prior to the training.**
3. Submit curriculum vita/resume of the presenter(s).
4. Submit a brief bio for each presenter.
5. Submit timed agenda for presentation.
6. Submit the presentation (e.g. PowerPoint).
7. Submit draft promotional material for learning activity (such as a flyer, email, brochure, etc.)
8. Submit the Financial Interest Disclosure Forms if applying for CME credit(s).

Submit the completed application and all required information to:

Send To: BHTrainingRequest@ochca.com
Subject: CE Application Completed

MD-CME Cat I

Psychologist (APA)

RN (CEP 15019)

LMFT/LCSW (CAMFT 62340)

AOD & CADAAC

Date Submitted:

**COUNTY OF ORANGE HEALTH CARE AGENCY (HCA)
Continuing Education (CE) Application Form 600.02**

Name of Person Requesting CE Credits

Phone

Department

Postal Address

Street Address

City

CA
State

Zip Code

Activity Information

Training/Conference Title

Program Date

Program: Start Times

End Times

Hours Requested

On-Going

Type of Program

Physical Facilities

Instructors

Name	Title	Organization/Institution	Commercial Product to be Discussed
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

This Program Is: HCA Program or Joint Providership (Enter joined provider(s) names below)

Brief Program Description:

Educational Component Addressing Cultural and Linguistic Competency: (Are cultural/ethnic or linguistic information or data used to establish therapeutic relationships, diagnosis/treatment, enhance process of clinical care?)

Target Audience: (Must indicate why this material is appropriate for the training level and scope of practice of the licensed practitioners indicated? If this activity is for CME, a significant portion of attendees must be physicians) - (Criterion 4)

%
Physicians

%
Allied Health Professionals

%
Others

Behavioral Health Training Services

Needs Assessment: (Identify gaps in current practice / outcomes and desired practice / outcomes) – [Criterion 2]

- Specific QI data
- Committee studies of care
- County data
- National trends from national data
- Professional literature review
- US health data

Describe how the needs for this training were assessed and how it will meet those needs:

Measurable Objectives: (Describe MEASURABLE behaviors or desirable attributes the attendee will demonstrate / achieve upon completion of the program, OR what change in patient outcomes is expected. Use words like "Identify," "describe," "list," "demonstrate." – [Criterion 5 & 6])

- 1)
- 2)
- 3)

Teaching Methods: (Take into account the setting, objectives, and desired results of the activity.)

- Lecture
- Skills Training
- Other:
- PowerPoint Slides
- Audio-Visual Segment(s)
- Interactive Discussion
- Roll Play

References for Content Covered:

Method of Evaluation:

How will HCA measure subsequent outcomes – [Criterion 3]

- HCA Standard Evaluation Form is used
- Additional Evaluation Method is used - Please describe

How will HCA convey to attendees the absence or possibility of conflict of interest

- In writing prior to presentation
- Verbally prior to presentation

Submit attestation that conflict of interest disclosure was conveyed – [Criterion 7]

Application Submitted by:

Name

Title

Date

6. CME Checklist for committee members



HCA Continuing Education Committee

Andrew Inglis, MD, CME Chair | Atur Tarabnia, MD | Angela Yu, MD | Kenneth (K.C.) Pickering, Psy.D.

CME Activity Review & Planning Checklist

Course # CME 20- Course Title _____

Below is a checklist to assist you in reviewing the application and any attachments. Please review the application, add your comments, and mark your recommendation at the bottom. **Return this memo with your response within 5 business days.**

- Two-Page Program Planner's Application**
 - Program Identification** - The top of the application should list: Name and address of Training Coordinator (CETC), Program title, Program location, Hrs = program length
 - Speaker and indication if commercial product to be discussed**
 - Program Description** - This may be part of two-page application if only 1 hour. If over 1 hr, should show length of time per section
 - Cultural competency** - cultural / ethnic info or data used to establish therapeutic relationships, diagnosis / treatment, enhance process of clinical care
 - Target audience** – Planned for physicians, & significant portion of attendees must be physicians
 - Demonstrated Needs Assessment?** – From QI data, committee studies of care, county data, national trends from national data, professional literature review, US health data
 - Expressed Needs Assessment?** – From requests submitted on participants' activity evaluation forms, surveys of potential participants, informal verbal comments, patient problems, consensus
 - Presumed Needs Assessment?** – New methods of diagnosis, treatment, or technology, input from experts regarding advances in medical knowledge, regulatory changes affecting patient care
 - Learning Objectives** - Measurable behaviors or outcomes that the attendee will demonstrate or achieve (Using words like "identify", "describe", "list", "explain", "demonstrate") related to desirable physician attributes/competencies from IOM or ACGME/ABMS
- Presenter's Disclosure** for each speaker & method to communicate to learners before activity
- Up-to-date Speaker's CV** demonstrating background of sufficient expertise to teach this program
- Financial Statement** - Costs of program (if substantial); may be part of application if only 1 hour
 - Identify program as non-commercial (not a paid advertisement for a product)
 - If in cooperation with another organization, signed agreement re: who is responsible for content, presentation, monitoring, record keeping, advertising, financial arrangements and administrative decisions (must include signature of any commercial interest involved.)
- Handouts** that will be used in program if used
- Program Advertisement or Notice** - All advertisements must include appropriate CME reference

CME Committee Member/Reviewer Recommendations

- Yes, this program is acceptable** **No, this program is NOT acceptable**
- Yes, this program is acceptable with provision that** _____

CME Committee Member/Reviewer Printed Name: _____

CME Committee Member/Reviewer Signature Date