NYU LONG ISLAND SCHOOL OF MEDICINE

NYU Winthrop Hospital

Checklist of required elements of CME Compliance for Regularly Scheduled Series Activities

Applies to	Required Item to audit	Standard to Be Met
Yellow Zone items apply to All recognized Regularly Scheduled Series (RSS)	**a) Session Created in CloudCME? for EVERY SESSION**	Sessions are created in CloudCME prior to your series approval. Coordinator is required to cancel, add, or move dates as needed, by updating CloudCME accurately. If you cancelled or rescheduled any sessions on the audit list, **TELL YOUR AUDITOR BEFORE WE BEGIN THE AUDIT.**
	b) Planning Committee Disclosures filed?	Disclosure forms are required once per year for all Winthrop staff who had a planning role, including the series administrative coordinator (yourself)**, every 12 months and when a planning member acquires any new Financial relationship.** BEFORE each session occurs so that disclosures are communicated to learners. Retroactive disclosure is NON-COMPLIANT.
	c) Electronic Attendance Uploaded for EVERY SESSION?	Electronic Attendance must be provided the template provide by the CME office. Signature sheets and non-template excel are not acceptable. Attendance must be provided within 7 days after session. Missing credits will delay your department's credentialing. CME will not respond to "credentialing emergencies" caused by series coordinator's non-compliance or tardiness in this area.
	d) Conflict of Interest Resolution Form Completed for EVERY SESSION?	Conflict of Interest Resolution Forms must cover individuals (Speakers/planners/staff) who disclose financial relationships with an ACCME-defined Commercial Interest (such as pharma, Dx and device manufacturers).
	e) RSS Communication Flyer was created and filed FOR EVERY SESSION?	Session promotion flyer sent to attendees containing disclosures information (and "nothing to disclose" for applicable individuals)
	f) Internet Consent to record speaker was signed?	Speaker video consents exist where applicable
	g) Slide presentation was saved for audit, for EVERY SESSION	Speaker slides should contain a slide listing disclosing relationships or stating "Nothing to Disclose", as the SECOND slide following the title slide.

Applies to	Required Item to audit	Standard to Be Met
Green zone items apply to: **Rounds/Lectures/Speakers only; not required for Case Conferences, M&M, Tumor Boards, Journal Clubs**	**h) Confirmation Letter Sent to Speaker? for EVERY SESSION**	**A Complete speaker Letter must be saved to Shared Drive. You must provide the folder location to your CME auditor.**
	i) Session-Specific Learning Objectives posted in a CloudCME Session listing for EVERY SESSION?	**Learning Objectives for each speaker should appear on session flyer (item e above) as well as on the CloudCME database.**
	j) Speaker Disclosures Filed for EVERY SESSION?	**Disclosure forms are required for each speaker BEFORE each session occurs so that disclosures are communicated to learners. Retroactive disclosure is NON-COMPLIANT.**
	k) Reviewer Attestation/Content Validation Form present for EVERY SESSION?	**A qualified clinical content reviewer must sign and date the attestation form after validation clinical content, and reviewing commercial balance and conflict resolution**
Blue zone items apply to: M&M, Tumor Boards, Case Conferences	**l) Quarterly Retrospective Competencies documented?**	**Only required 1x per quarter, but must list a series-level learning objective and specific competencies, as well as topic listing for each session in the series during the quarter.**
NOTE: Please retain copies of all speaker slides, as evidence that speaker disclosure, conflict resolution, and clinical content validation steps occurred		

Responsibilities of the CME Field Agent regarding Audit

1. **As the CME Field Agent or administrator who signed your series RSS Accreditation Assent letter, you are responsible for making sure that all documentation is present** in locations directed by the CME office (folders on the F:/ Drive; stored within CloudCME, etc) as well as **for maintaining your training and awareness of compliance requirements** issued by the CME Office.
2. **Items must be saved in correct locations by NOT later than 7 days after the Calendar Quarter ends** so that CME staff can begin your audit.
3. If required session documentation is not present in the agreed, or if CME staff cannot find it, that **session will be marked non-compliant.**
4. After the Audit concludes, the CME office will report our audit findings to you, **and you will be expected within 48 hours, to address or explain any non-compliance areas).**
5. ***Non-compliant sessions or **missing documentation may result in your CME series being decertified from awarding any CME credit for one quarter, as penalty for non-compliance.*****