



Management of Program Records

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WHAT THIS IS NOT...

Session on State & Federal requirements

OR...

Records Management 101

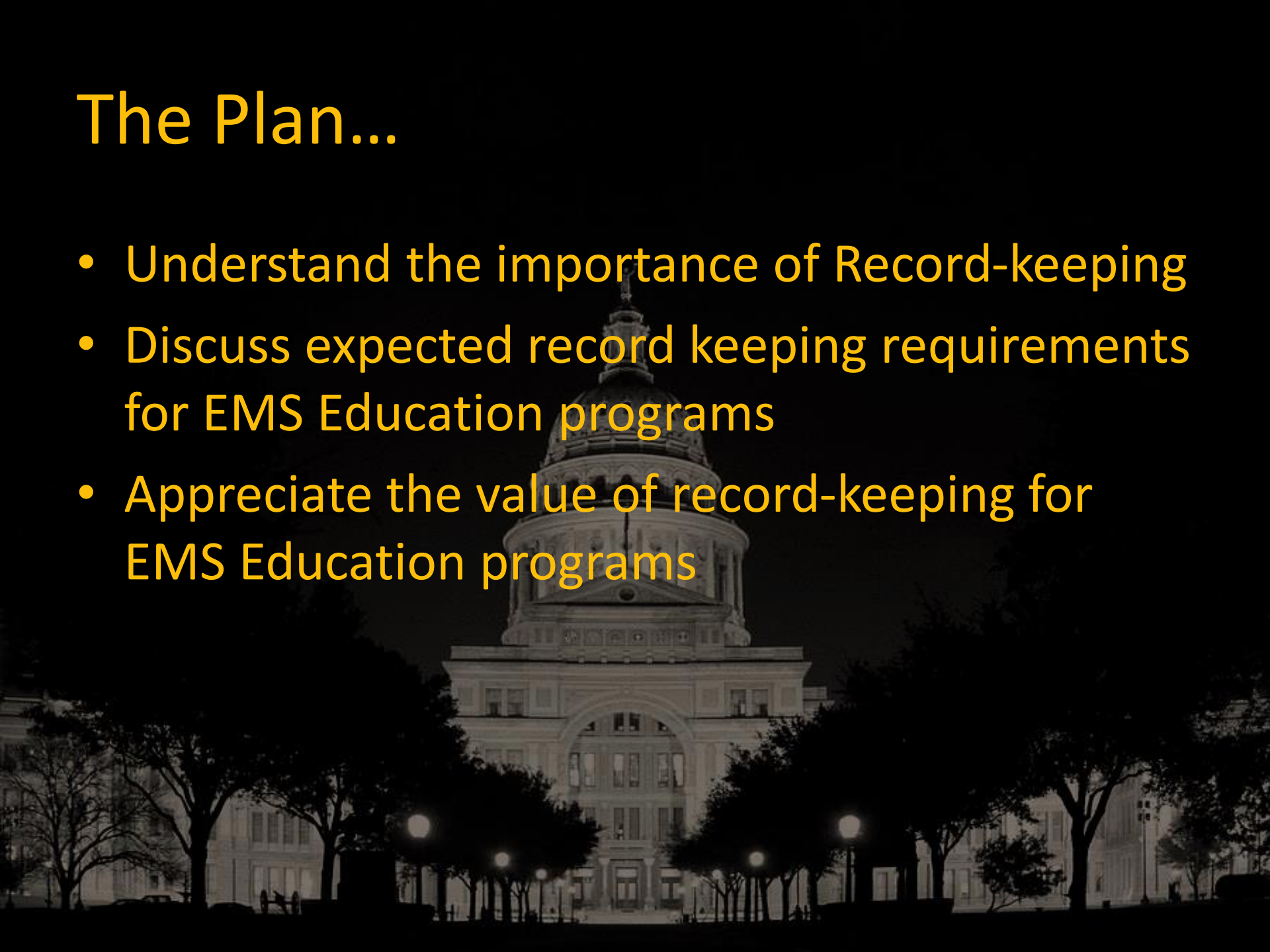


WHAT THIS IS...

Overview of records management as it relates to
the EMS Education program

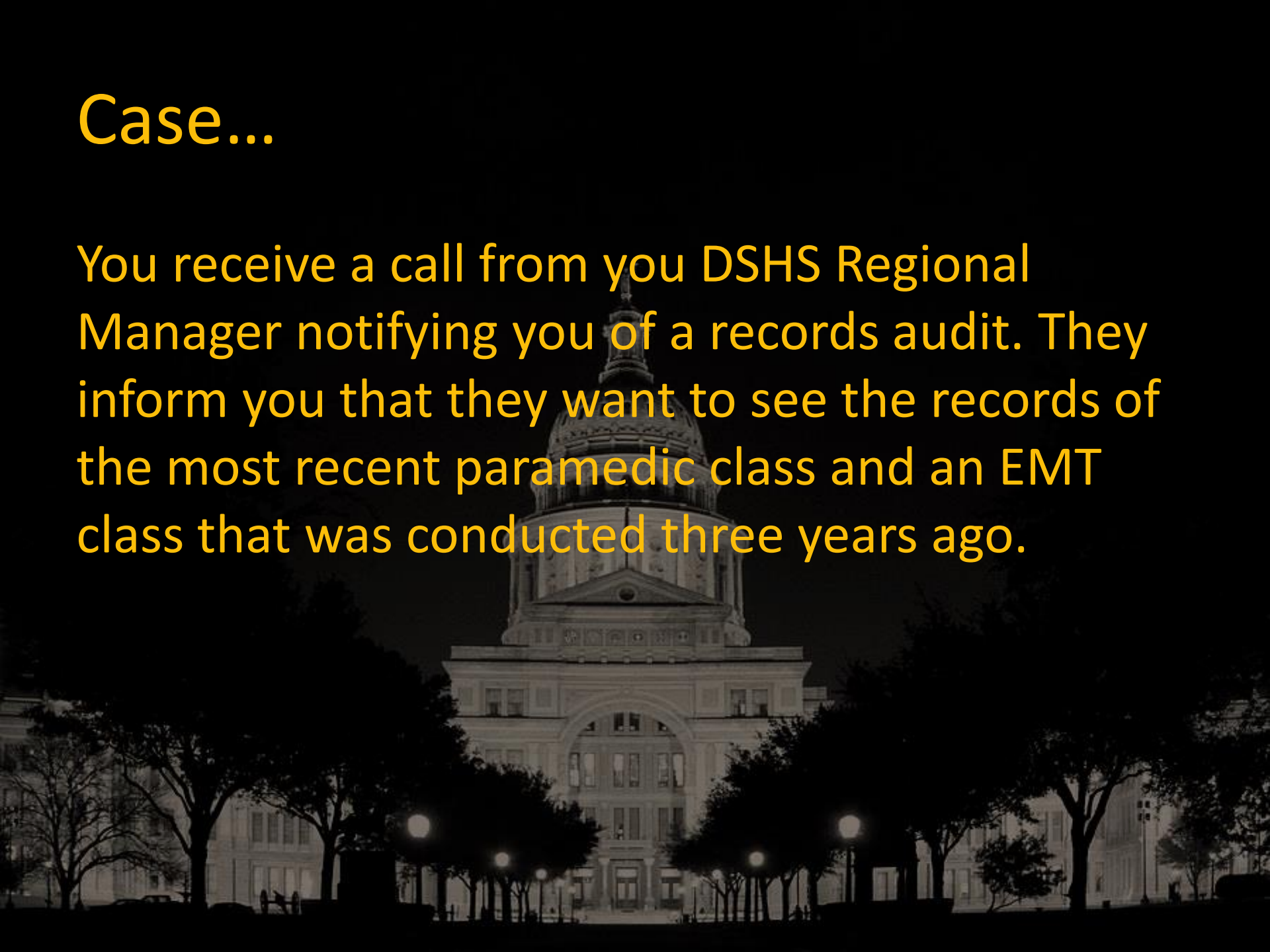
The Plan...

- Understand the importance of Record-keeping
- Discuss expected record keeping requirements for EMS Education programs
- Appreciate the value of record-keeping for EMS Education programs



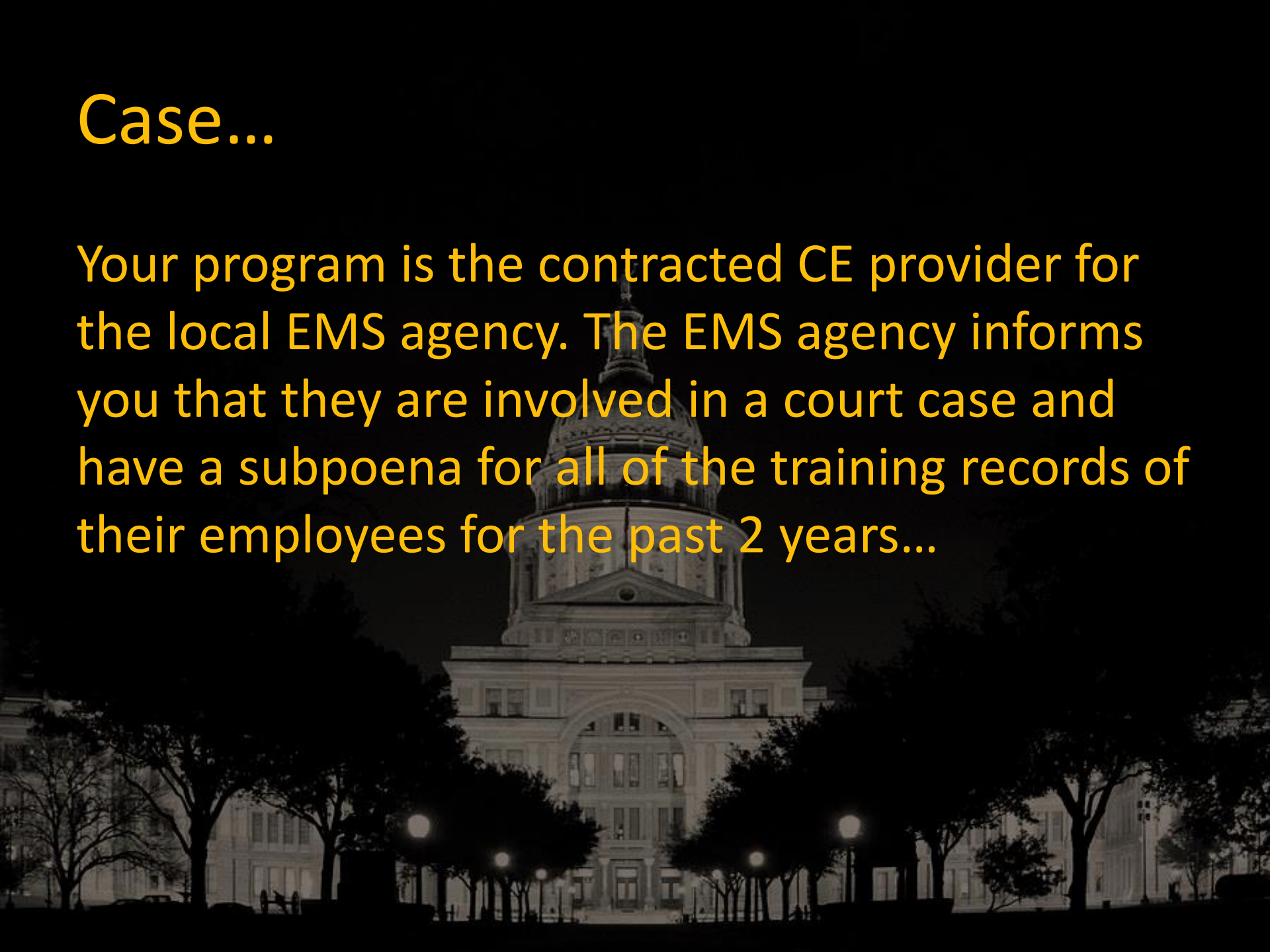
Case...

You receive a call from you DSHS Regional Manager notifying you of a records audit. They inform you that they want to see the records of the most recent paramedic class and an EMT class that was conducted three years ago.



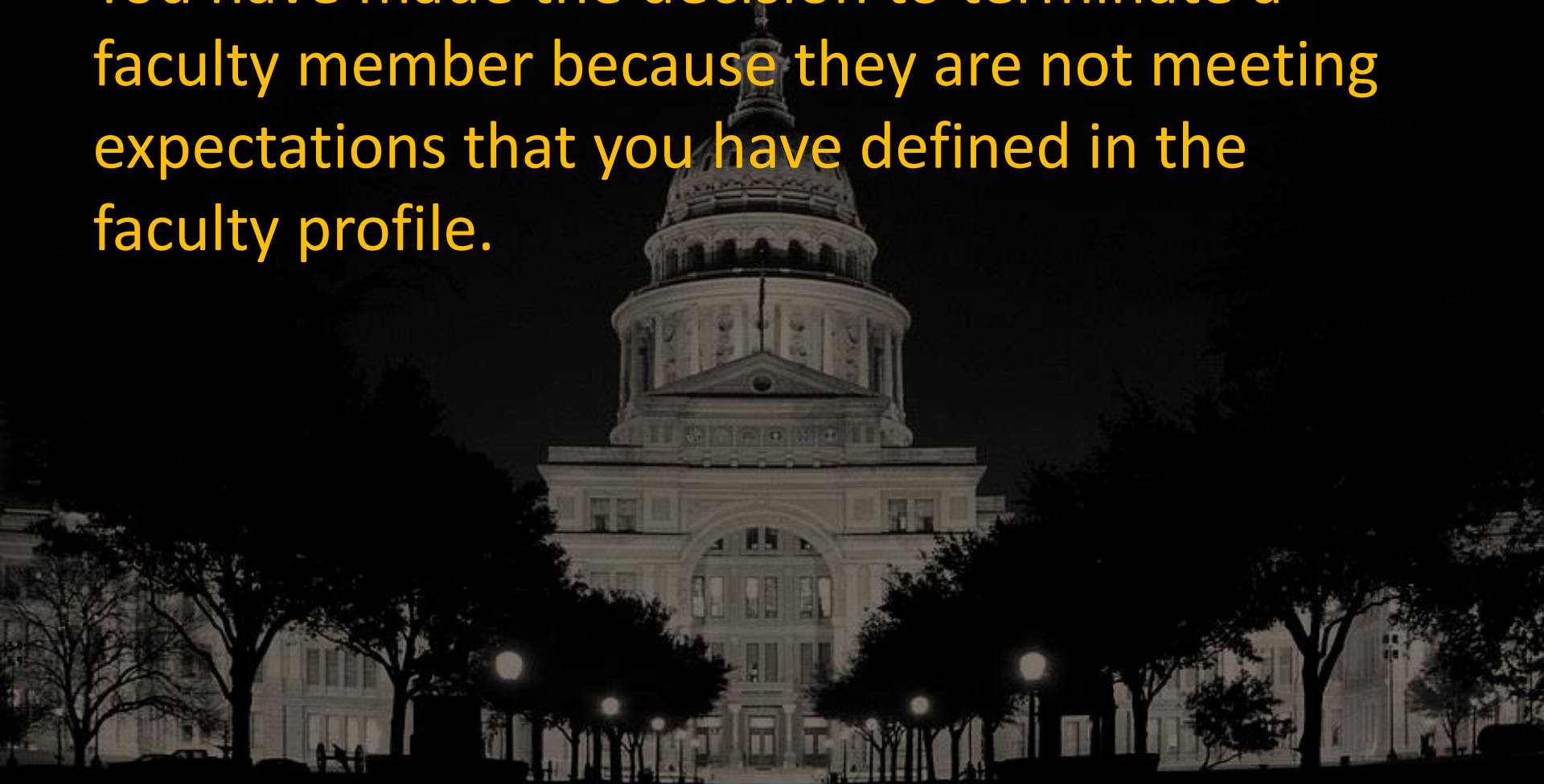
Case...

Your program is the contracted CE provider for the local EMS agency. The EMS agency informs you that they are involved in a court case and have a subpoena for all of the training records of their employees for the past 2 years...



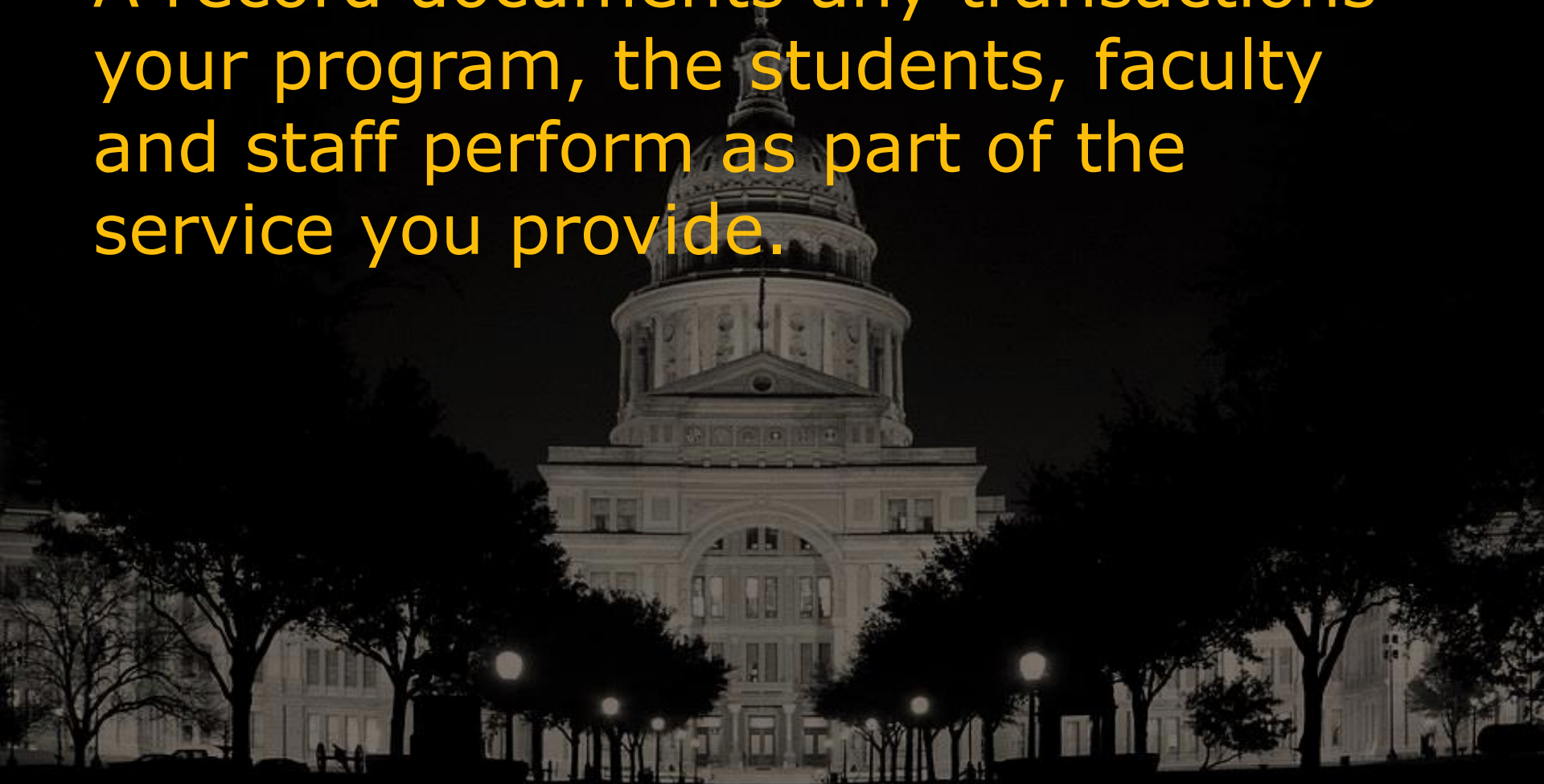
Case...

You have made the decision to terminate a faculty member because they are not meeting expectations that you have defined in the faculty profile.



What Is a Record?

A record documents any transactions your program, the students, faculty and staff perform as part of the service you provide.



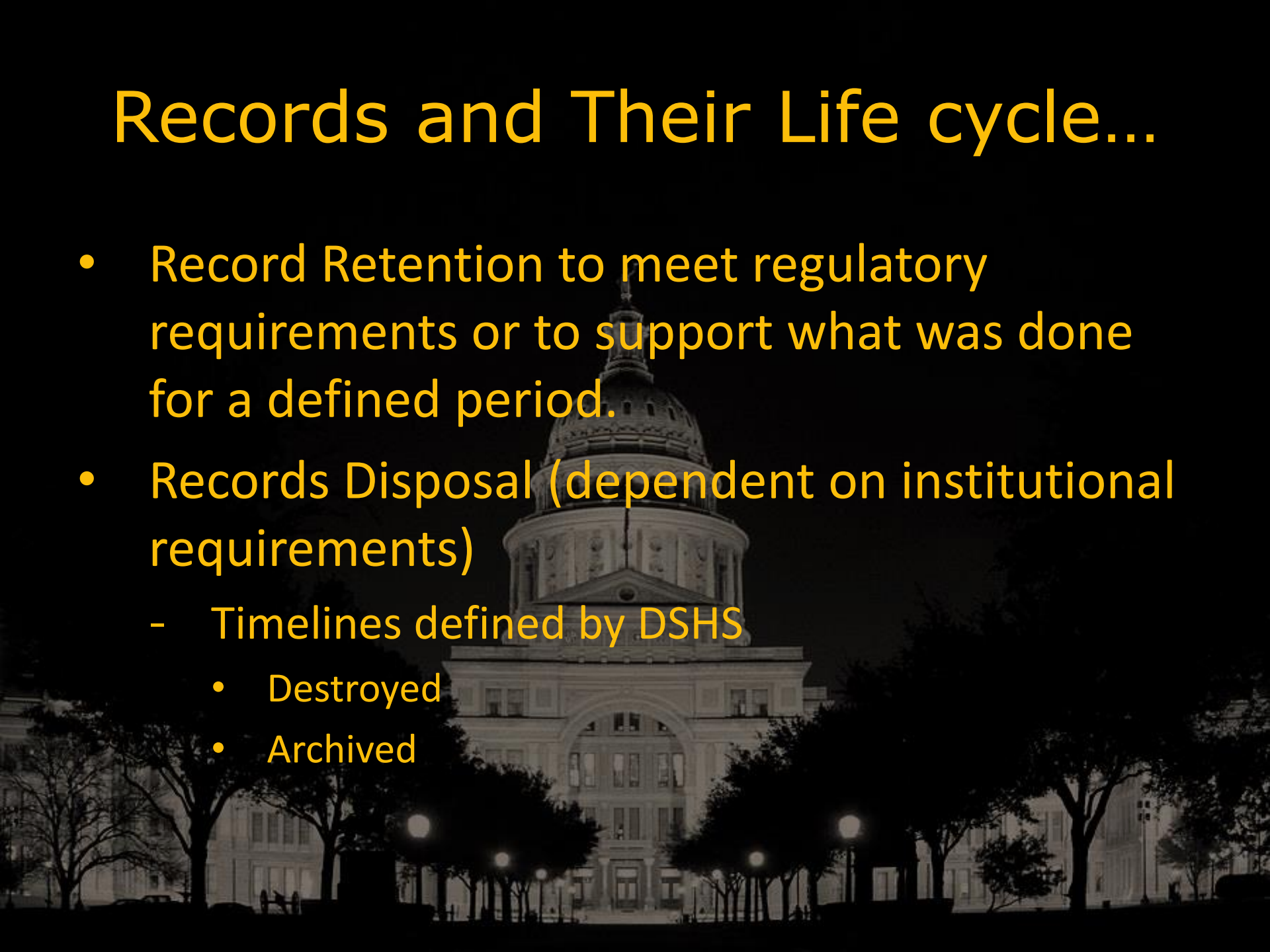
Records and Their Life cycle...

- Created as a result of the service provided
 - Initial Education
 - CE Programs
- Active Records
 - Current ongoing programs



Records and Their Life cycle...

- Record Retention to meet regulatory requirements or to support what was done for a defined period.
- Records Disposal (dependent on institutional requirements)
 - Timelines defined by DSHS
 - Destroyed
 - Archived



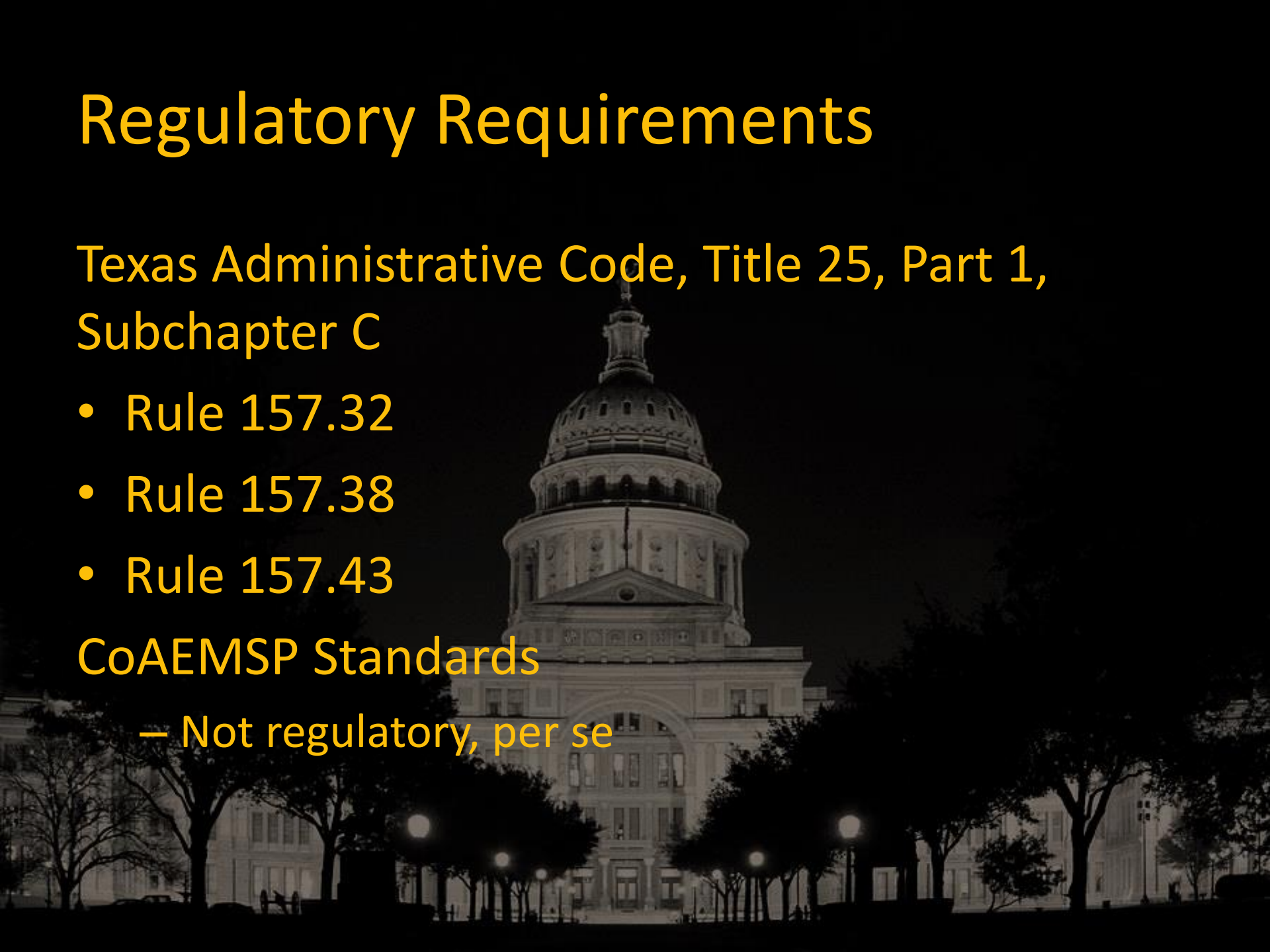
Regulatory Requirements

Texas Administrative Code, Title 25, Part 1,
Subchapter C

- Rule 157.32
- Rule 157.38
- Rule 157.43

CoAEMSP Standards

– Not regulatory, per se



157.32 – Ed. Program/Course Approval

An EMS Education Program shall meet national education training standards that address at least the following areas:

- *(8) academic and administrative policies, procedures and records requirements;*



157.38 – Continuing Education

(h) (1)(K) Program records...shall be maintained by the provider for a minimum period of five years from the date of the program completion and shall include target audience, objectives, and documentation of instructor qualifications, teaching strategies and materials, evaluation instruments and results, and a list of names of participants

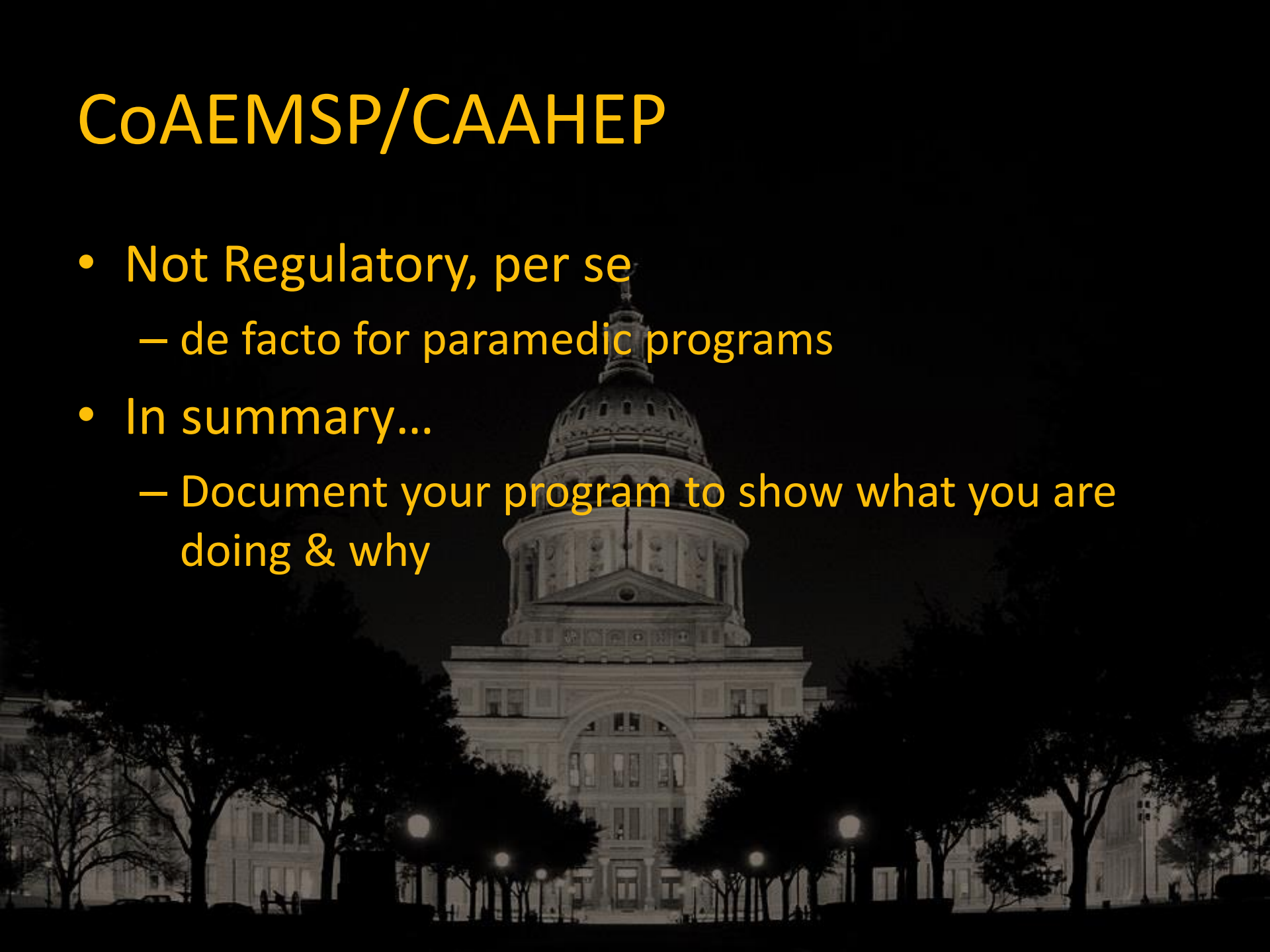
157.42 – Course Coordinator Certification

(h)(13) in cooperation with the training program, maintain all course records for a minimum of five years;



CoAEMSP/CAAHEP

- Not Regulatory, per se
 - de facto for paramedic programs
- In summary...
 - Document your program to show what you are doing & why



Who Is Responsible for Records?

- Ultimately...
 - Course Coordinator

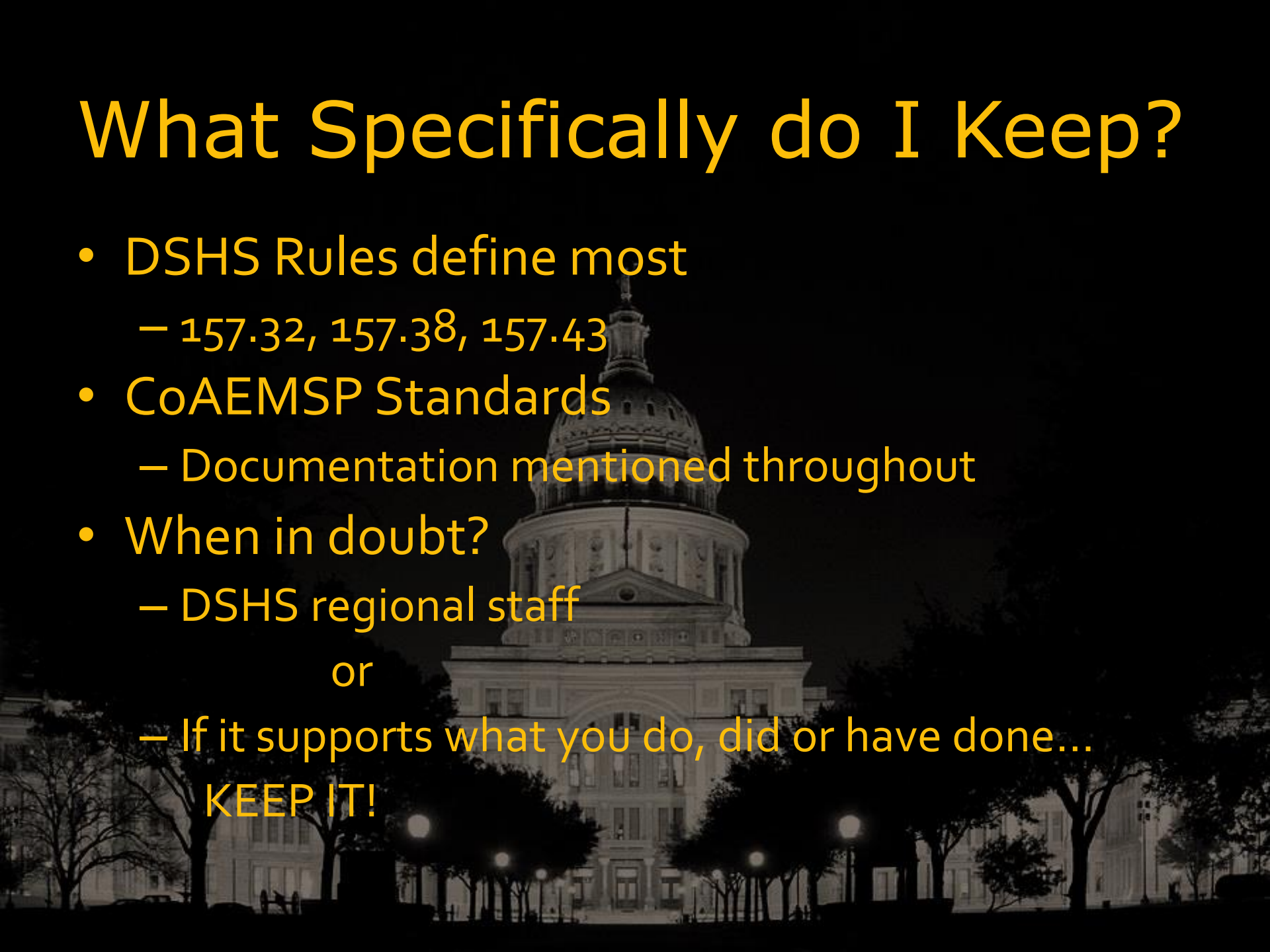
However...Everyone in the program plays a significant role

It may be in your job description!



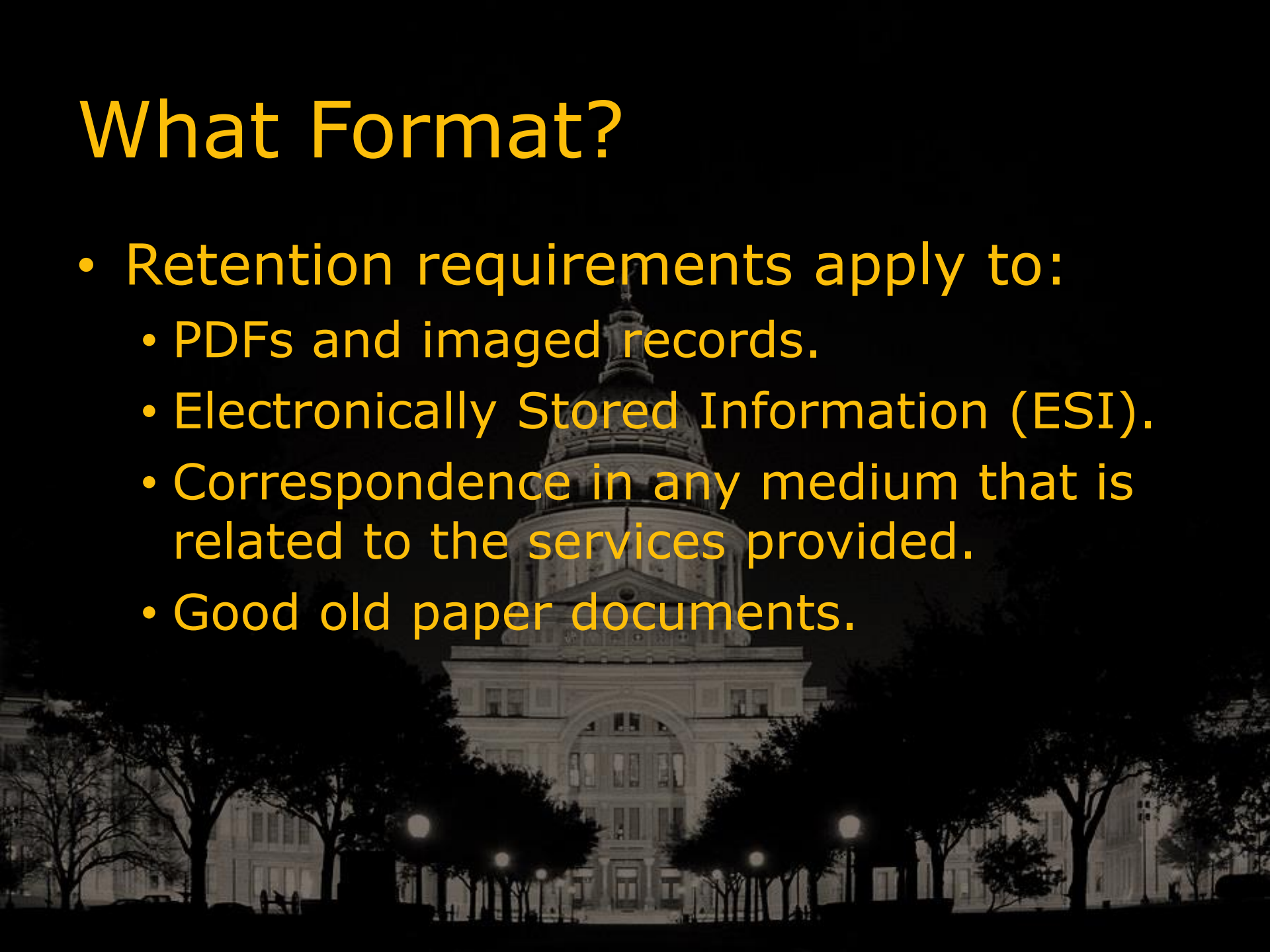
What Specifically do I Keep?

- DSHS Rules define most
 - 157.32, 157.38, 157.43
 - CoAEMSP Standards
 - Documentation mentioned throughout
 - When in doubt?
 - DSHS regional staff
 - or
 - If it supports what you do, did or have done...
- KEEP IT!**



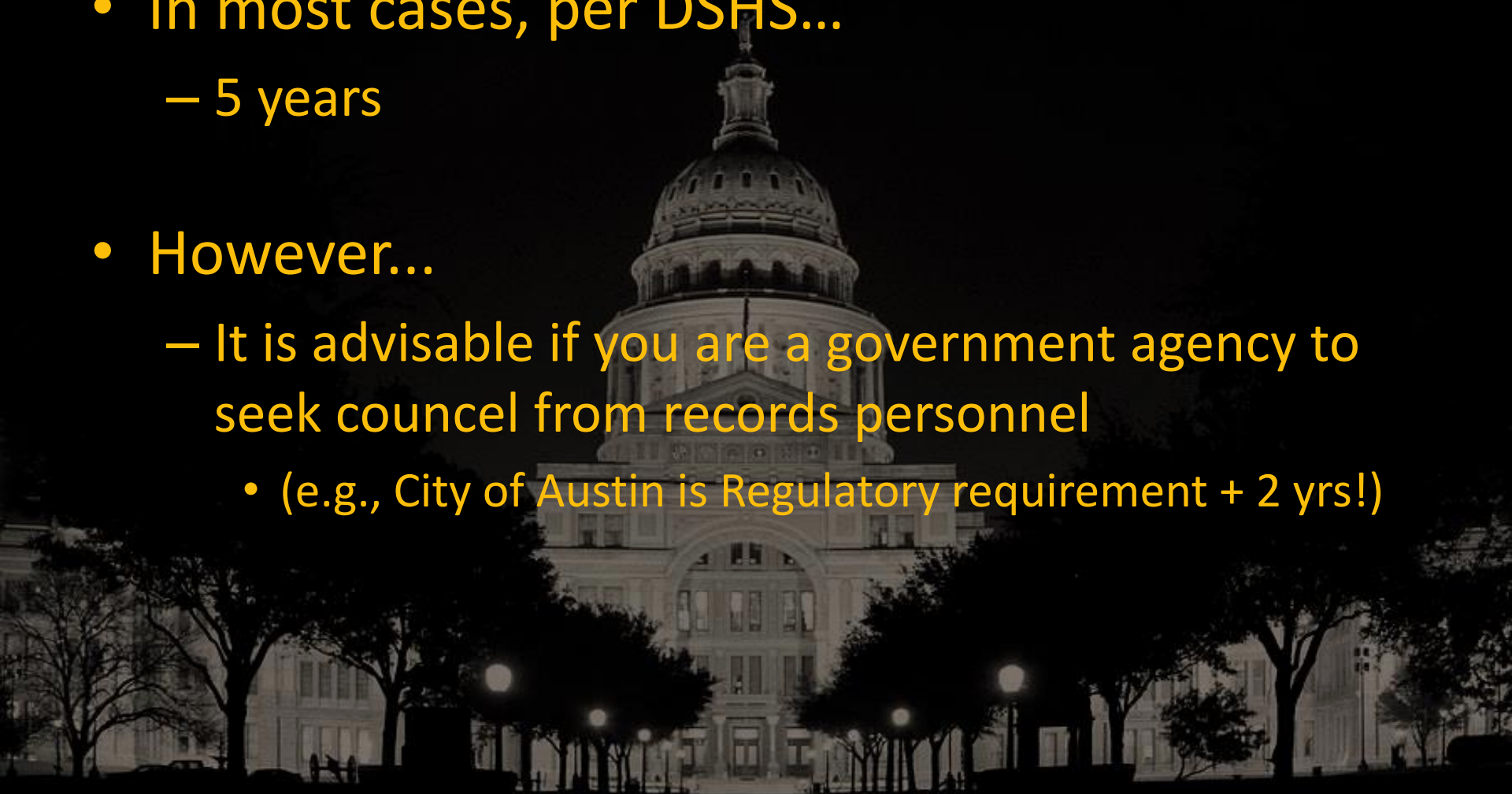
What Format?

- Retention requirements apply to:
 - PDFs and imaged records.
 - Electronically Stored Information (ESI).
 - Correspondence in any medium that is related to the services provided.
 - Good old paper documents.



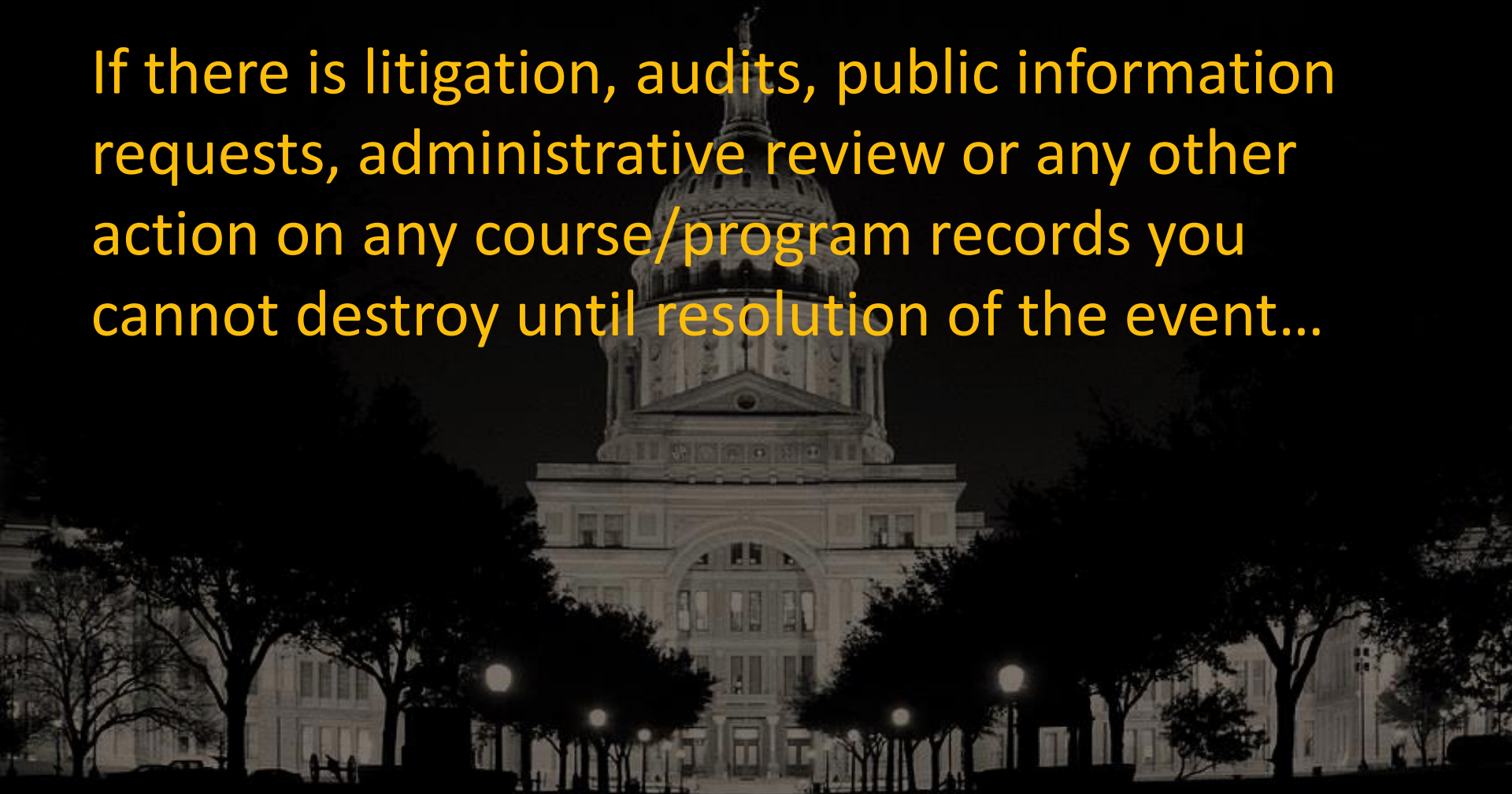
How Long do I Have to Keep Them?

- In most cases, per DSHS...
 - 5 years
- However...
 - It is advisable if you are a government agency to seek counsel from records personnel
 - (e.g., City of Austin is Regulatory requirement + 2 yrs!)



A Word of Caution...

If there is litigation, audits, public information requests, administrative review or any other action on any course/program records you cannot destroy until resolution of the event...



Best Practices



- Appoint a Records Boss
 - Empower them
- Standardized system
 - Reproducible in any format
 - Digital or Paper
- Define a retention schedule
 - AND...Stick to it!!

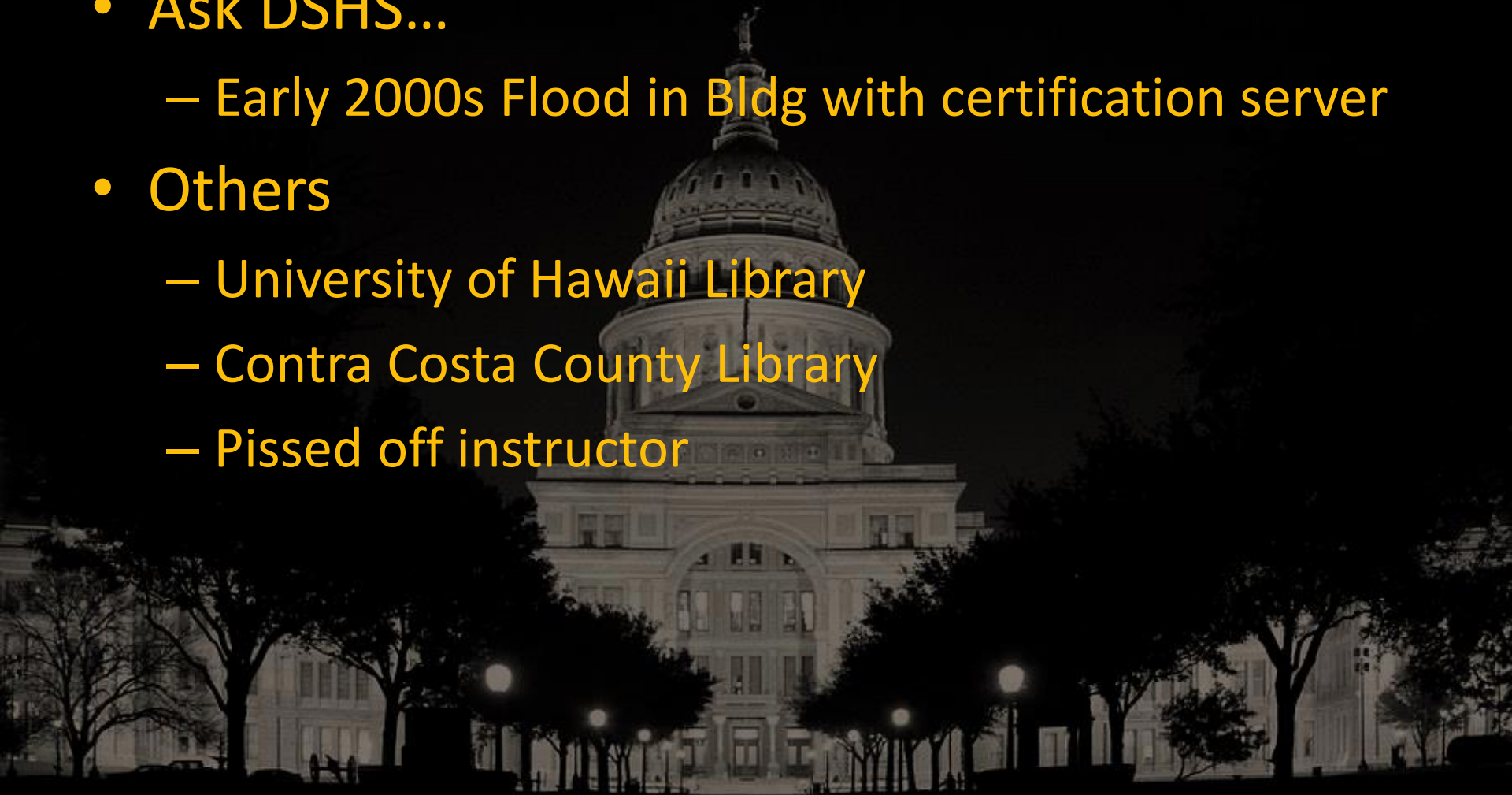
Best Practices



- Define vital records
 - What is REQUIRED to be compliant
 - And, well...to be able to conduct business
 - What is your Plan B?
- Have a disaster/recovery plan
 - You're still responsible for the records
 - Or
 - Documentation of why records not available/recoverable

A Word on Disaster Recovery

- Ask DSHS...
 - Early 2000s Flood in Bldg with certification server
- Others
 - University of Hawaii Library
 - Contra Costa County Library
 - Pissed off instructor



University of Hawaii – Flash Flood



Council of State Archivists, "Safeguarding a Nation's Identity," Emergency Preparedness Initiative, February 2007. © 2007 Council of State Archivists.

Contra Costa County, California – Fire



Council of State Archivists, "Safeguarding a Nation's Identity," Emergency Preparedness Initiative, February 2007. © 2007 Council of State Archivists.

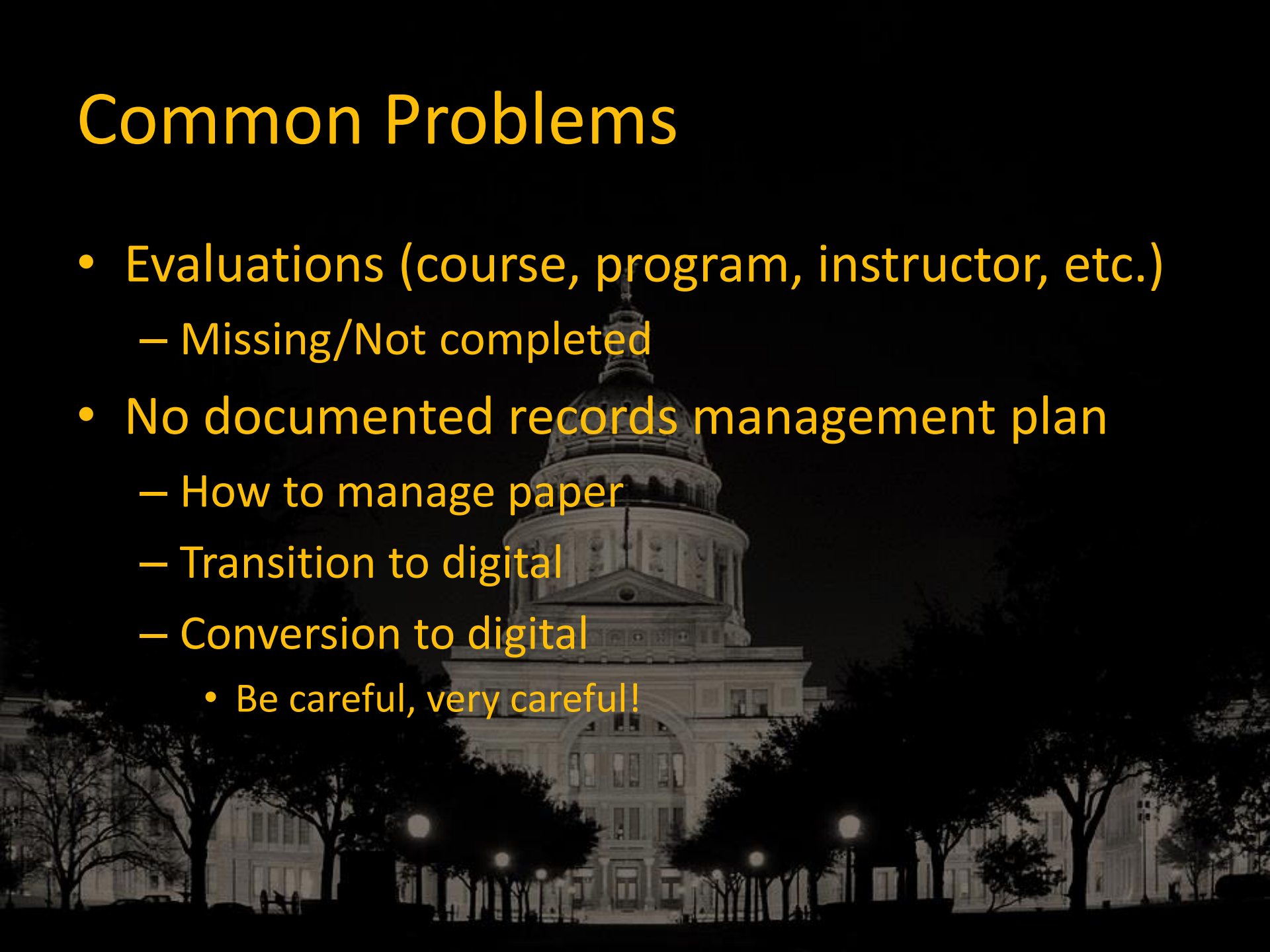
Common Problems

- Forms
 - Multiple versions of forms
 - Forms demonstrated but not used
 - Incomplete (Think...)
 - Skills, clinical documentation
 - Didactic competencies



Common Problems

- Evaluations (course, program, instructor, etc.)
 - Missing/Not completed
- No documented records management plan
 - How to manage paper
 - Transition to digital
 - Conversion to digital
 - Be careful, very careful!



Take Home Points

- Know the rules
 - Never assume your interpretation is correct
- Appoint someone to oversee the records
- Define your records
- Standardize your records
- Have a disaster/recovery plan
 - Proverbial “Plan B”

A black and white photograph of a vinyl record player. The turntable is in the center, with a stack of records below it. A tonearm is positioned over the turntable. The lighting is dramatic, with strong highlights and deep shadows. The word "QUESTIONS?" is overlaid in large, bold, yellow letters on the left side of the image.

QUESTIONS?

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