

# Baystate Health

## Policies and Procedures: Division of Academic Affairs

### Individuals Reviewing Policy

Hal B. Jenson, MD, MBA  
Senior VP for Academic Affairs

Joanna Barnett, MBA, RN  
Director, Continuing Education

**Policy: BH-AA-CE-2.17**

**Effective Date: 03/1997**

### **SUBJECT: Record Keeping and Maintenance**

#### **I. Policy**

Baystate Health Continuing Education (BHCE) utilizes a system of confidential record storage that permits retrieval of essential information by authorized personnel only.

#### **II. Purpose**

Baystate Health Continuing Education (BHCE) abides by the standards/operational requirements for recordkeeping and maintenance of its accrediting bodies.

#### **III. Scope**

All required records are maintained electronically and/or hardcopy format for a minimum of six years in a secure and confidential manner for each continuing education activity offered by BHCE.

#### **IV. Procedures**

1. Essentially, master files of each Educational Design are stored electronically or chronological hard copy in file cabinets. Recent records (2 years and less) are maintained in the main office and older records are archived in secure storage off campus. Records older than six years are purged.
2. The records named here are maintained. Such records include but are not limited to:
  - Title, location and date of the educational activity.
  - Number of credit hours/contact hours assigned.
  - Names, titles and expertise of persons responsible for planning the activity and presenters/content experts of the activity.
  - Conflict of interest disclosures for all planners and presenters/content experts including successful resolution if a real or perceived conflict identified.
  - Evidence that the audience was made aware of any financial relationships with commercial companies prior to the start of the educational activity.
  - Description of the needs assessment, including method and findings.
  - Description of the target audience and how identified.
  - Location(s) and date(s) of the activity.
  - Names and addresses of the participants and number of credit hours/contact hours awarded to each.
  - Purpose/goal statement.

- Learning objectives and content outline.
  - Teaching/learning strategies including resources, materials, delivery methods and learner feedback mechanism.
  - Requirements for successful completion and how audience was made aware of same (ANCC).
  - Process or methods used to verify attendance.
  - Sample of the certificate\* awarded to participants.
  - Copy of syllabus or handouts.
  - Copy of the evaluation tool and the summative evaluation.
  - A sample of all marketing/promotional materials,\* including brochure, flyer, announcement (electronic and hard copy).
  - If applicable, documentation of how co-provided responsibilities were divided.
  - If applicable, documentation of how audience made aware of commercial support and how program integrity was maintained for an activity receiving commercial support.
  - Official accreditation statement included.
3. The confidential record storage systems permits easy retrieval of essential information by authorized personnel only: Continuing Education staff, Director, Education Specialists, Program Coordinators and Systems Administrator.
  4. In addition to the master files, a relational database for the following information: title and date of activity, location, subevents or workshops within the main activity, faculty data including disclosures, commercial support, if any, type and amount of credit, names, addresses of each attendee and associated fees. This database is password protected and accessible to BHCE staff. This database is backed up in keeping with Baystate Health Information Systems policies.
  5. Security is maintained through a combination of cabinet locks, door and store room locks, and password protected electronic computer files. On the rare occasion that limited records must go off-site, they are delivered in a secure manner to a responsible party for use by an authorized designee for a specific purpose and time-limited period.

**References**

Guidelines of the Accreditation Council for Continuing Medical Education  
 American Nurses Credentialing Center's Commission on Accreditation/Massachusetts  
 Association of Registered Nurses  
 American Psychological Association

**Effective Date: 03/1997**

**Revision Dates**

<b>7/1998</b>	<b>4/2001</b>	<b>11/2002</b>	<b>3/2003</b>	<b>4/2008</b>		
---------------	---------------	----------------	---------------	---------------	--	--