



Digital Compliance Management: save Space, Improve Accessibility and Accuracy

Presenters



Rick Joslin, IRCC
Senior Solutions Architect, FSI

- Helping healthcare systems enhance service operations and maintenance management through strategic CMMS implementation.
- 40+ years of experience in roles ranging from technician to director and compliance surveyor.
- Supported nearly 500 healthcare organizations in optimizing resource use and regulatory compliance.
- 12-year U.S. Marine Corps veteran with expertise in utilities/engineering, maintenance management, and air traffic control.



Stephen McTigue
Senior Account Executive

- Helping organizations improve service management, resource use, and regulatory readiness through cloud-based CMMS solutions.
- Over 20 years of experience in software solutions with key roles at Brightly (Dude Solutions), Upkeep, Constant Contact, and Time Warner.
- Expertise in driving operational efficiencies across industries with a focus on environment of care and compliance support.
- U.S. Army National Guard veteran, having served six years with the 110th Cavalry Squadron; holds a B.S. in Psychology from Fitchburg State University.

FSI: A Brief Introduction



10.6 Million
Work Orders
Closed in 2024

1300+
Hospitals
Using CMMS

99.4%
Customer
Retention

Healthcare-centric CMMS, built for, and by, Healthcare professionals

- Scalable, robust platform designed to address the complex, evolving needs of large nationwide IDN's.
- Industry leading tools to ensure TJC and DNV compliance.
- Direct healthcare experience in Facilities and HTM/Biomed.
- A robust community; an extension of your team
 - Monthly support and educational webinars
 - Annual on-site User Conference – free for all customers
 - FSI Neighborhood – 24/7 learning community



Agenda

- Why Paper Binders?
- Perceived Benefits vs. Reality
- Retention Requirements
- How to Replace Paper Asset Histories
- Electronic Binders for Compliance Documentation



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Traditional Paper Binders

Why Paper?

Perception is often the enemy of reality...



Comfort (I like using binders)

I use them because

- We've been doing it this way forever
- This is what I was taught by my team
- I'm not a computer whiz
- No big bother for me
- No limited connectivity
- ?????



They're easy (really?)

All I have to do with paper is:

- Locate and print the work order
- Record all my activity on it
- Find the hole punch and punch the paper
- Find the records room
- Locate the binders on the asset/location
- Locate the right year binder
- Add the paper to the binder

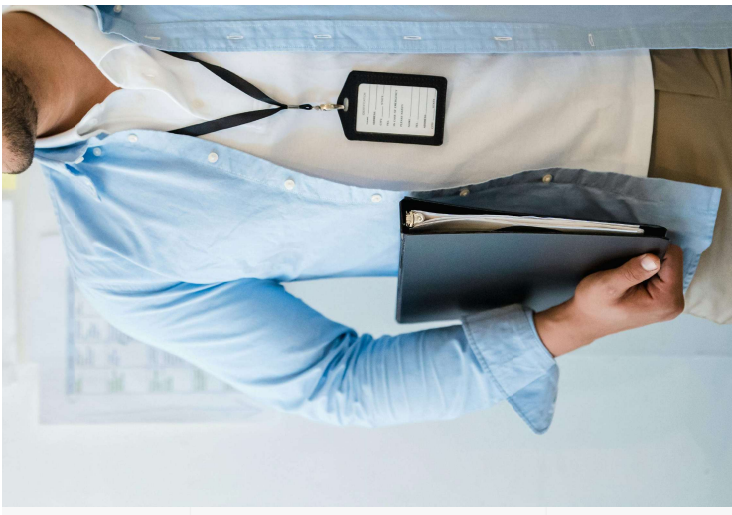
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Perceived Benefits

- Availability
- Centralized location
- Physical object
- I don't have need a computer to do it
- It's easier to find the record I need by flipping pages
- I can always make a copy for whomever needs one
- Long history available



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Paper Binder Reality

Restricted Access

Often binders are placed in multiple, controlled locations and not available to general staff.

Locating the Record

Most fixed SSAs have multiple binders spanning decades or more, making it difficult and time consuming to locate a needed record.

Internal Records

Many internal activities are not put into binders, especially reactive records (hot/cold, leaks, lube, noises).



Common Issues

External Records

Most often, vendor records are not included in history.

Double Work

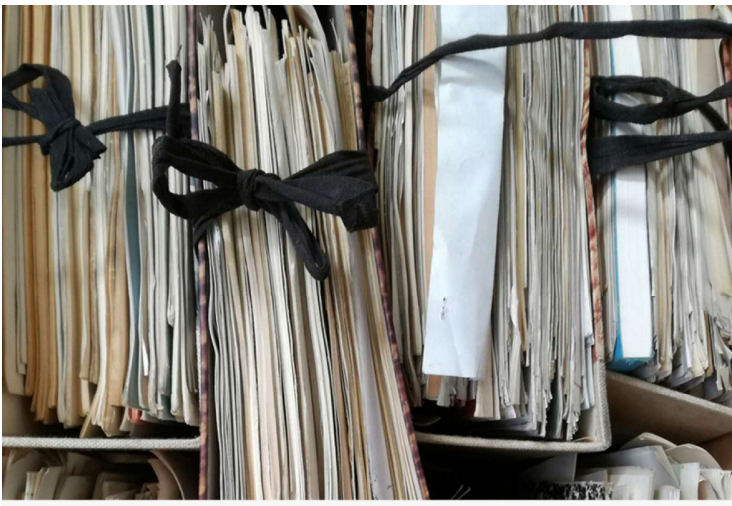
Compliant CMMS platforms create and maintain retrievable records suitable for any compliance and documentation needs.

Preferences

Often older staff prefer paper/manual processes; younger staff are often adept at technology; less willing to follow paper processes.

Stack-and-Pack

Due to high workload, papers are often stacked for processing later by administrative personnel, delaying access.



Costs

Material Costs

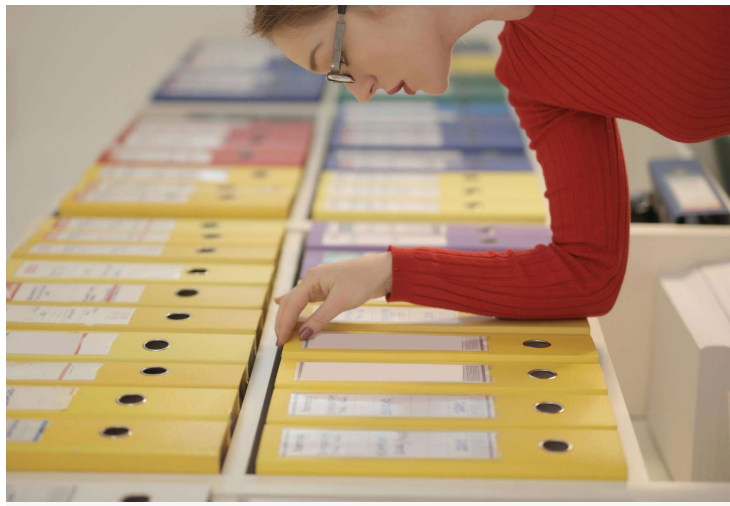
Paper, ink, binders, tabs

Cost of Space

Binders require space allocation that is eliminated from productive use. That space needs fire protection, physical security, climate control.

Manpower Costs

Assumption: 5 min. each record (print, collect, file) * 1000 records/month = 83+ hours/month; @\$20/hr = \$19,920/year





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Documentation Requirements & Norms

Document Retention Guidelines



Most regulations contain their own records retention requirements:

- NFPA 10: 12 months (inspection tags); Fire extinguishers have 6- and 12-year maintenance requirements and the latest would be required if asked.
- NFPA 25 4.3.4: "As-built system installation drawings, hydraulic calculations, original acceptance test records, and device manufacturer's data sheets shall be retained for the life of the system."
- NFPA 78 5.3.4.1 "The AHJ should retain all electrical inspection documentation in a secure manner for a time period designated by AHJ requirements."

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Document Retention Guidelines



- No *prescribed* service/maintenance record retention policy, but they recommend keeping records that cover back to the prior survey.
- TJC references many NFPA regulations that have retention criteria in them, deferring to those requirements.
- Has language surrounding AEM and program review requirements.



Document Retention Guidelines



- Regulations for Clinical Laboratory Improvements Amendments (CLIA) program **42 CFR § 425.314(b)(2)** - Audits and record retention. This is under the financial umbrella of regulations (not equipment).
- The language reads: "To maintain such books, contracts, records, documents, and other evidence for a period of 10 years from the final date of the agreement period or from the date of completion of any audit, evaluation, or inspection, whichever is later, unless..."



Document Retention Guidelines



- No specific guidelines on retention
- Incorporates ISO 9001 (QM) which has language around review and improvement processes (no hard-and-fast rules).
- Has language surrounding AEM and program review requirements.

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Document Retention Guidelines



LABORATORY RECORD PERIOD OF RETENTION (2 years)

- Discontinued procedures
- Method Performance Specifications
- Equipment Maintenance and Function Checks
- Calibration and Calibration Verification
- Control Procedures (e.g., daily QC records)
- Remedial Action - errors in reported results (both the original and corrected report)

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Document Retention Guidelines



Differing requirements based on equipment type (i.e.: **29 CFR 1910.217(e)(1)(i)**)

Pediatric Sites

States differ on window of litigation regarding pediatric patients; some states allow until 21st birthday for lawsuits involving newborn/pediatric events.

- Maintenance/service records should be kept/accessible up to 21 years
- FDA defines the pediatric population as up to 21 years of age for medical devices



Document Retention Guidelines

Internal Documentation Management Policy

WRITE YOUR OWN DESTINY BY DEVELOPING, IMPLEMENTING, AND SUSTAINING A DOCUMENT MANAGEMENT POLICY.

- Few regulatory agencies define comprehensive retention requirements
- Local AHJ could have definitions, so check with them
- All agencies allow for Document Management policies
- Include retention timeframes based on conditions:
 - Incident response
 - Failure analysis
 - AEM (3-5 yrs on all included asset categories)
 - Critical/High Risk
 - Pediatric/Behavior Health
- Retain at least the last two (2) cycles of each PM frequency.
 - Annual PMs = 2 years
 - 5-year PMs = 10 years





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Replace Paper Histories

Why Replace Paper?

(In general)

Processing: 3 min./WO to login, search, locate * 20 WOs/day = 60 min/day/tech
Printing: 1000 WO/month * Supplies



Accuracy

Technicians often save paperwork for the end of the day, leading to inaccuracies caused by distractions and mixed memories. Processing all document markups at the time of performance virtually eliminates these issues.



Availability

Having near real-time availability of data allows leadership to make properly-informed decisions, provide complete updates to others, and ensure personnel aren't overloaded with assignments.



Efficiency

Applying all changes to at the time of performance, often only once, can reduce the time needed in half. While performing an action (PM) if the resource completes the work order while at the asset, there is no need to open and process the record a second time.

Why Electronic Binders?



Cost

Eliminate cost associated with maintaining paper binders.



Accessibility

Whoever, whenever, wherever; the right people can access the information from where they are, reducing costs of access.



Targeted Accuracy

Get the records you need, when you need them, without giving away the keys due to over-sharing of information.

Surveyors want what they ask for in a concise, accessible, and understandable format. Their job is to ensure you're doing your job.

Too much information leads to questions; the more questions the greater the risk of exposing an unknown issue.



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Electronic Binders (eBinders) for Compliance



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Regulatory Dashboards – Admin Console

Regulatory Dashboards are first setup in the Admin Console > Reports

Reports

Email Reports
(Classic) Regulatory Dashboards
Regulatory Dashboards
Electronic Binders

Header		Footer
 DNV - PE.2, SR.8	Fire Detection, Notification, Protection, and Suppression Systems, Inspection and Testing	The organization shall comply with the conditions of participation set forth in 42 CFR Section 482.15(e) regarding the implementation of emergency and standby power systems based on the organization's emergency plan.
 DNV - PE.6, SR.5	Emergency Generators:	
 DNV - PE.6, SR.4	Gas & Vacuum Systems	Emergency Generators are inspected weekly and exercised under load for 30 minutes per month and shall be in accordance with NFPA 99.
 K Tag Requirements: K144		Required Automatic Sprinkler Systems are continuously maintained in reliable operating condition and are inspected and tested periodically. K62: 19.7.6, 4.6.12, NFPA 11, NFPA 25, 9.7.5.
 K Tag Requirements: K62		Portable Fire Extinguishers shall be provided in all health care occupancies in accordance with 9.7.4.1, NFPA 10.
 K Tag Requirements: K64		
 Standard EC.02.03.05	Fire Alarm Testing and Inspection	
 Standard EC.02.05.07	Emergency Power Systems are Maintained and Tested	
 Standard EC.02.05.09	Medical Gas System	



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eBinder Listing – Admin Console

eBinders are setup next in the Admin Console > Reports

Description	Dashboard	Next Run Date	Frequency
 DNV - PE.2, SR.8, 9-2.6 - Sprinkler System Testing	DNV - PE.2, SR.8	4/1/2023	Quarterly
 DNV - PE.2, SR.8, 1-6.2, 1-6.3, 4-3.1 Fire Extinguisher - Monthly Inspection	DNV - PE.2, SR.8	3/1/2023	Monthly
 DNV - PE.6, SR.5, SR.5b - Emergency Generators	DNV - PE.6, SR.5	3/1/2023	Monthly
 K Tag K144: EMERGENCY GENERATORS	K Tag Requirements: K144	3/1/2023	Monthly
 K Tag K62: AUTOMATIC SPRINKLER SYSTEMS	K Tag Requirements: K62	3/1/2023	Quarterly
 K Tag K64: FIRE EXTINGUISHERS	K Tag Requirements: K64	3/1/2023	Monthly
 TIC - IC.02.03.05 EP 1, 5, 10 Sprinkler - Water	Standard EC.02.03.05	3/1/2023	Quarterly
 TIC - IC.02.03.05 EP 2 - Sprinkler System Semi-annual	Standard EC.02.03.05	3/1/2023	Semi-Annually
 TIC - IC.02.03.05 EP 3, 4, 19 Fire Alarm Testing	Standard EC.02.03.05	9/30/2023	Yearly
 TIC - IC.02.03.05 EP 9 - Sprinkler System Annual	Standard EC.02.03.05	9/1/2023	Yearly
 TIC - IC.02.03.05 EP 9 - Sprinkler System Quarterly	Standard EC.02.03.05	4/1/2023	Quarterly
 TIC - IC.02.05.07 EP 1 - Battery Lights	Standard EC.02.05.07	3/1/2023	Monthly
 TIC - IC.02.05.07 EP 15 - Fire Extinguisher Inspections	Standard EC.02.03.05	3/1/2023	Monthly
 TIC - IC.02.05.07 EP 4 - Emergency Generator	Standard EC.02.05.07	3/1/2023	Monthly
 TIC - Offsites - EC.02.05.07 EP 1 - Battery Lights	Standard EC.02.05.07	3/1/2023	Monthly

Reports

Email Reports
(Classic) Regulatory Dashboards
Regulatory Dashboards
Electronic Binders



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eBinders Record

Edit Electronic Binder	
Description* Bettis Tower - EC-02.03.09 EP.1, 5, 10 Sprinkler - Water	
☐	
Frequency* Quarterly	
Next Due Date * 8/1/2022	
Document Status elinder - Needs Reviewed	
Document Attributes Compliance Report	
Document Description & File Name: Select First Month of Quarter	
Location * Level 2	
Location * Medical Center - Bettis Tower	
Status * Active	

[Cancel](#)
[Save](#)

eBinders Reports in Documents

eBinders reports will be displayed in the Documents folder initially selected.

[illegible]

eBinders Report in Documents

Edit Document

Upload New Version

Download Current Version

File Name

Beltis Tower - EC 02.05.07 EP 1 - Battery Lights - Jan 2022

Description

Beltis Tower - EC 02.05.07 EP 1 - Battery Lights - Jan 2022

Status

eBinder - Reviewed

Current Version

1 - Updated: 6/9/2022 11:20:01 AM by Electronic Binder Generated

Attributes

Add Attribute

Compliance Report

Linked Records

Add Link

Regulatory Dashboard Element: Standard EC.02.05.07 - EP 1

Cancel

Save

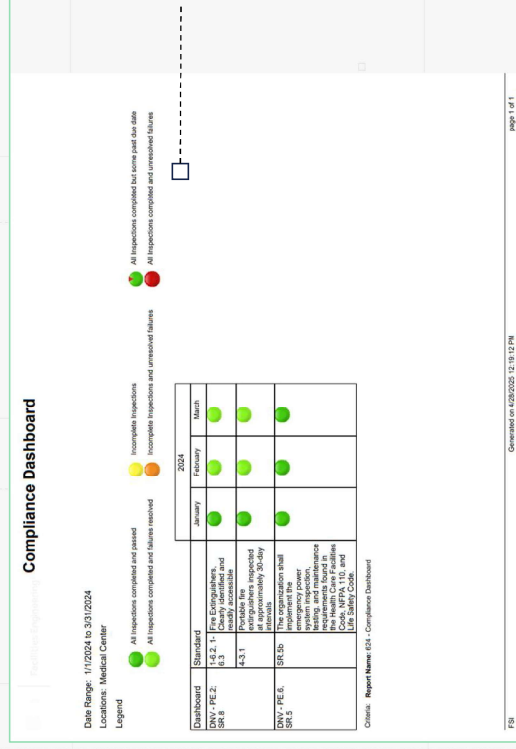
Update each eBinders report with the current Status, Attribute(s) and Linked records.

eBinders Report

FSI Electronic Binder									
Work Orders Completed between: 1/1/2022 - 1/31/2022									
Report Level: Level 2									
Location: Medical Center - Bellis Tower -									
Procedure Maintenance Details									
Procedure Name: Battery Lighting - Monthly									
Frequency: Monthly Every 1 Month(s)									
PM #: 10000									
Procedure Maintenance Instructions									
Push the test button for 30 seconds. Is the device operating, visible and oriented correctly? If the light is self testing, is it clear of obstacles?									
Asset and Work Order Details									
Total Assets with Procedure									
Schedule									
Total Assets Failed									
Total Assets Passed									
Total Parent Work Orders									
Total Child Work Orders									
Parent Work Order									
Parent Work Date Created									
Work Order Location									
Assigned To									
Work Order Status									
Completed Date									
WO Grouping									
# of CWOs									
1									
Complete									
Asset Status									
Active									
Description									
LIGHT - EGRESS									
Completed Date									
Assigned To									
Work Order Status									
Cancelled									
Work Order Description									
Battery Light Failure									
Child WO									
1									
Linked Assets									
3950855 LSMT07861									
Battery Light Failure									

The Electronic Binder report provides an overall summary of the assets tested and the resulting Parent/Child work orders that a surveyor can review.

eBinders Report



The Electronic Binder report provides an overall summary of compliance with each section of the regulation being reviewed that a surveyor can review.

Access compliance documents & dashboards in seconds

Pass inspections and stay compliant at all times while minimizing the need for bulky physical documentation.

Digitize physical documentation

Store your data digitally in eBinders and have your entire facility history at your fingertips, and quickly print exactly what you need for inspections.

Search documents on-demand

Easily filter files by date, PM types, custom attributes, location, status, compliance indicators, and more.

Run automatic reports

Let all your reports run at the same time every month and set statuses based on review needs.

Cut down on errors

eBinders automatically use a standardized naming conventions after every automatic report.

Save significant time on reviews

Cut down on physically running reports and organizing binders to focus on getting inspection-ready.

Access organized digital binders

Create binders for TJC, DNV, local inspections, EPs, buildings, and more.

Q&A



Thank you

