



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 1 of 6

Effective Date: 041403
Board Motion No:

TITLE: DESIGNATED RECORD SET

PURPOSE:

To define the specific information or records that patients may access and amend within their medical and billing files in accordance with the Health Insurance Portability and Accountability Act (HIPAA) and other Federal and state privacy laws.

This policy supports Harris County Hospital District's HIPAA policy and may require development of department specific procedures.

[Key words: Designated Record Set (DRS), Protected Health Information (PHI), Medical Record]

POLICY STATEMENT:

Harris County Hospital District has identified the items included and not included in the Designated Record Set for all patients.

POLICY ELABORATION:

I. DEFINITIONS

- A. Designated record set - means a group of records maintained by or for the facility that is:
- (1) The medical and billing records about patients,
 - (2) The enrollment, payment, claims adjudication and case or medical management record systems maintained by or for a health plan, or
 - (3) Used, in whole or part, by or for the facility to make decisions about patients.

For purposes of this definition, the term "record" means any item, collection or grouping of information that



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 2 of 6

Effective Date: 041403
Board Motion No:

includes PHI and is maintained, collected, used or disseminated by or for the facility; the term “record” includes (a) patient information originated by another healthcare provider and used by the facility to make decisions about the patient, and (b) tracings, photographs, videotapes, digital and other images that may be recorded to document care of the patient.

- B. Protected Health Information (PHI) - is individually identifiable patient health information in any form that is created or received by a healthcare provider, and relates to the patient’s healthcare condition, provision of healthcare, or payment for the provision of healthcare.

II. DESIGNATED RECORD SET:

- A. Inpatient Medical Record
1. Admissions:
 - Face sheet
 2. Death record information:
 - a Death Certificate
 - b Provisional Autopsy
 - c Final Autopsy
 3. Emergency Room Record
 - a Ambulance Run Sheet
 - b Trauma Flow Sheet
 - c Emergency Triage Record
 - d Physician Assessment & Examination
 - e Attending Record
 4. Consent Forms
 5. Pass Evaluation Request
 6. Written/Typed Discharge Summary Report



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 3 of 6

Effective Date: 041403
Board Motion No:

7. OB/ Newborn Record] History & Physical
 8. Doctors Progress Notes
 9. Laboratory reports
 10. Radiology reports
 11. EKG, EEG, Nuclear Medicine
 12. Physical, Occupational, Speech Therapy Notes
 13. Operations Record Room package
 14. Nurses Notes
 15. Psychotherapy Notes
- B. Outpatient Medical Record
1. Outpatient Record / Progress Notes
 2. Visiting Nurse Association documentation
 3. Internal Summary Notes
 4. HCHD Intra-Institutional Transfer and Consultation
 5. OB/ Newborn Record
 6. History Form
 7. Physical Form
 8. Growth Chart
 9. Emergency Room Records (same as for inpatient)
 10. Day Surgery Record
 11. Presumptive Diagnosis/Symptoms Summary Sheet
 12. Outpatient Problem Summary
 13. Medication Profile
 14. Immunization Record
 15. Telephone Communication Record
 16. Flow Charts
 17. Patient Teaching Form
 18. Health Maintenance Form
 19. Psychotherapy Notes
- C. Billing Records
Detailed report including:



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 4 of 6

Effective Date: 041403
Board Motion No:

1. Billed Charges
2. Payments
3. Adjustments

D. Business Associate Records

Records maintained by a Business Associate that fall within the definition of Designated Record Set and that are not merely duplicates of information maintained by the District.

III. INFORMATION NOT IN THE DESIGNATED RECORD SET

A. Health Information generated, collected, or maintained for purposes that do not include decision making about the patient or which is exempt from disclosure to the patient:

1. Data collected and maintained for research.
2. Data collected and maintained for peer review purposes.
3. Data collected and maintained for performance improvement purposes.
4. Data collected and maintained for quality control purposes.
5. Data collected and maintained for compliance purposes.
6. Data collected and maintained by the psychiatric Patient's Rights Officer.
7. Appointment and surgery schedules.
8. Birth and death registers.
9. Surgery registers.
10. Diagnostic or operative indexes.



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 5 of 6

Effective Date: 041403
Board Motion No:

- B. PHI held by clinical laboratories if the Clinical Laboratory Improvements Amendments (CLIA) of 1988, 42 U.S.C. §263 a, prohibit such access. PHI held by certain research laboratories that are exempt from CLIA regulations (164.524).
- C. Information compiled in reasonable anticipation of or for use in a civil, criminal, or administrative action or proceeding. This includes notes taken by the District's employees during a meeting with the District's attorney about a pending lawsuit.
- D. Employer records. All employee health records.
- E. Source Data – interpreted or summarized in the individual's medical record:
 - 1. Pathology slides
 - 2. Diagnostic films
 - 3. Electrocardiogram tracings from which interpretations are derived.
 - 4. Photographs
 - 5. Fetal Monitor Strips

REFERENCES/BIBLIOGRAPHY:

- Policy 3.11.000, HCHD HIPAA Policy
- Policy 3.11.303, Patient's Access to the Designated Record Set
- Policy 3.11.304, Accounting of Disclosures of Protected Health Information

OFFICE OF PRIMARY RESPONSIBILITY:

Office of Privacy Administration.



Harris County Hospital District

POLICY AND REGULATIONS MANUAL HIPAA ADMINISTRATIVE POLICY

Designated Record Set

Policy No: 3.11.307
Page Number: 6 of 6

Effective Date: 041403
Board Motion No:

REVISION HISTORY:

Record revisions below:

Effective Date	Version	Approved by: