

Tulane University

DEPARTMENT: General Counsel's Office -- HIPAA	POLICY DESCRIPTION: Preparation and Maintenance of Designated Record Sets
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APPROVED: April 1, 2003	REVISED: December 1, 2008, July 15, 2009
EFFECTIVE DATE: April 14, 2003	POLICY NUMBER: GC-006

Tulane University Policy on Preparation and Maintenance of Designated Record Sets

SCOPE OF POLICY

This policy applies to Tulane University Medical Group, its participating physicians and clinicians, and all University employees and business units who provide management, administrative, financial, legal, and operational support to or on behalf of Tulane University Medical Group and have been designated as part of the Tulane University HIPAA Health Care Component.

STATEMENT OF POLICY

Under federal health information privacy regulations, patients have the right to inspect, copy, and request amendment of protected health information in "designated record sets" maintained by the Tulane University Health Care Component. A patient's designated record set means all records maintained by or for the Tulane University Health Care Component that are medical records, billing records, or records that are used to make decisions about patients. The privacy rule states that covered entities are required to document "the designated record sets that are subject to access by individuals." This policy identifies which records are part of a designated record set that are maintained by or for the Tulane University Health Care Component.

IMPLEMENTATION OF POLICY

A designated record set may include records in a variety of formats. Examples are:

- handwritten notes
- x-rays
- print-outs or readings from equipment
- index or note cards
- typed letters or memos
- handwritten letters
- electronic database documents or spreadsheets
- electronic mail
- information on microfiche, diskette, or compact disc

The designated record sets maintained by the Tulane University Health Care Component include:

- Medical records maintained by the Tulane University Medical Group for all HIPAA-applicable clinics, per Attachment A.
- Billing records maintained by the Tulane University Medical Group at:
 - TUMG/Faculty Practice Plan Physician Billing Office
- Any other group of records maintained by the Tulane University Medical Group to make decisions about individual patients.

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Some Tulane University Medical Group physicians and/or clinicians may maintain a separate copy of a patient's medical record information (so-called "shadow charts") while the Tulane University Hospital and Clinic (or other hospital) maintains the original. The original medical record is part of the designated record set maintained by the hospital on behalf of the applicable organized health care arrangement that includes Tulane University Medical Group. Tulane University Medical Group permits its clinicians to maintain shadow records only if the record is an exact duplicate of the information in the hospital record. As such, access to this information is not covered by Tulane University Medical Group policies and procedures but is subject to the policies and procedures of the applicable organized health care arrangement in which Tulane University Medical Group participates.

All patients' requests for designated record sets that include hospital maintained medical records should be referred to the applicable hospital. Conversely, hospitals that participate in an organized healthcare arrangement with Tulane University Medical Group should refer patient requests for designated record sets to Tulane University Medical Group for access to any patient records that are not maintained by the hospital but that are covered by a Joint Notice (for example, physician billing records).

If there are any questions regarding whether or not a record is part of a designated record set, seek assistance from the Privacy Official.

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Attachment A

- Tulane Orthopaedic Clinic – Covington
- Tulane Dermatology Clinic – Covington
- Dr. James McKinnie's Cardiology Clinics
- Tulane Psychology Testing Center
- Tulane Community Health Center at Covenant House
- Tulane Community Health On the Road
- New Orleans Children's Health Project (Mobile Medical Unit)
- Tulane Pediatric Mobile Mental Health Unit
- The Drop-In Clinic at Covenant House
- The Drop-In Center
- Tulane Community Health New Orleans East (Adults)
- Warren Easton Senior High School – School-based Health Center
- Walter L. Cohen High School – School-based Health Center