

UConn HEALTH

POLICY NUMBER: 2016-01

January 12, 2016

POLICY: MEDICAL/DENTAL PATIENT RECORDS: TRANSPORTATION OF PAPER AND OTHER MEDIA RECORDS

PURPOSE: To provide a written policy for transporting paper and other media medical/dental patient records within UConn Health and all satellite locations.

POLICY STATEMENT: The protection of patient confidentiality is an important priority for UConn Health.

As legal custodians of medical/dental records of UConn Health patients, proper care will be exercised to assure that during transportation, paper records/other media and their contents are:

- properly safeguarded,
- securely maintained at all times.

Access or use of paper or other media patient records for transport is only allowed for treatment, payment or healthcare operations. Therefore, intrusion into these records for curiosity purposes will at no time be tolerated and appropriate disciplinary action will result.

Paper records/other media records shall not be left unattended or available for public viewing at any time and must be secured to prevent access by unauthorized persons. Records will not be removed from UConn Health unless it is deemed necessary to provide patient care. Records will not be removed from any building except by personnel authorized to transport records according to this transportation policy. If extenuating circumstances warrant a deviation from this policy, alternatives for transport of records must be approved by the Director of HIM.

SCOPE:

This policy applies to all UConn Health workforce members and UConn Health Business Associates who must transport medical/dental records in any format/media in the performance of their duties. Records of Correctional Managed Health Care patients of UConn Health are included in this policy, while records under the jurisdiction of the Department of Correction are exempted.

DEFINITIONS:

Other media: tapes, CD/DVDs or films that aren't electronically transferred from one location to another, but must move in hard copy format.

POLICY:

I.) Transporting records or other media:

1. Transporting records in personal vehicles is prohibited:

UConn Health faculty and staff who must handle paper records or other media may not transport them in personal vehicles, remove them from UConn Health premises or personally carry them from one building location to another. UConn Health may contract with vendors for record/other media transport. These vendors will be considered Business Associates. In these cases, transportation of records/other media will be handled according to the written contract agreement.

2. Transporting records within the same building:

a. In extenuating circumstances for urgent patient care purposes, employees may obtain permission from the Health Information Management (HIM) Department to transport records personally between UConn Health locations in the same building.

b. Under no circumstance should a patient be given his/her own record or other media to transport from one clinical service area to another.

3. Transporting records between building locations:

Records being transported between building locations (including satellite locations) will be the responsibility of a contracted courier service and will be transferred in zipped bags or closed bins designated for this purpose. Courier service vehicles are locked at all times when records are in an unattended vehicle.

II) Logging and tracking records movement:

1. All records leaving the HIM Department must be properly signed out reflecting the patient's name, medical record number, name of person or clinic requesting records and date sent.

2. Authorized personnel to whom records are signed out, will be responsible for returning the record (s) at the end of the workday. Clinical staff must notify the HIM department if records, once received, are then sent to another clinical location rather than being returned to HIM, so that the record tracking system can be updated accordingly.

3. All records returned to the HIM Department will be properly logged back into the department and re-filed.

III) Special situations:

Depositions/Court Orders: Under no circumstances may a provider responding to a deposition or court order print out and transport a patient record for these purposes. All such requests must be processed by HIM.

Elena Albini (Signed)

1/27/16

Elena Albini
Director of Medical Records

Date

Anne Diamond (Signed)

2/3/16

Anne Diamond
Chief Executive Officer
John Dempsey Hospital

Date

Anne Horbatuck (Signed)

2/3/16

Anne Horbatuck, RN, MBA
Interim Vice President, UMG

Date

Steven Lepowsky (Signed)

2/8/16

Steven Lepowsky, DDS
Sr. Associate Dean for Education and Patient Care
Assoc. Professor and Chair, Division of General Dentistry

Date

NEW POLICY: 1/12/16

Replaces Hospital Administrative Policy: 12-011 "Transportation of Medical Records" issued
4/91 reviewed 6/97, 7/01 and revised 3/94, 2/00, 7/05, 9/08, 3/12