

Request for Records Disposition Authority

Records Schedule Number **DAA-0513-2014-0003**

Schedule Status **Approved**

Agency or Establishment **Indian Health Service**

Record Group / Scheduling Group **Records of the Indian Health Service**

Records Schedule applies to **Major Subdivision**

Major Subdivision **Office of Information Technology**

Minor Subdivision **Health Information Management**

Schedule Subject **Health Information**

Internal agency concurrences will be provided **No**

Background Information **The Health Information Management (HIM) Program of the Indian Health Service (IHS) is responsible for managing health information. Health information professionals along with health care providers, managers, and staff, are responsible for the creation, maintenance, preservation, disposition and confidentiality of health information for IHS patients. HIM staff is deployed in Indian Health Services, Tribal Health Programs, and Urban Health Programs (I/T/Us) and are dispersed in 12 Areas throughout the United States. As vital members of the health care team, HIM professionals are responsible for the integrity of data stored in the Electronic Health Record (EHR), a Resource and Patient Management System (RPMS) application, the disclosure of patient data, and the safeguarding of sensitive information. In addition, HIM members serve as a nexus to clinical, operational, and administrative functions, all of whom depend on health information to perform their jobs. Lastly, health information professionals provide support to ensure compliance with the medical, administrative, ethical and legal aspects of managing and protecting patient health information.**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 5 | 0 | 5 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0513-2014-0003

| Sequence Number | |
|-----------------|---|
| 1 | Health Records File. Paper. Disposition Authority Number: DAA-0513-2014-0003-0001 |
| 2 | Health Records File. Microform. Disposition Authority Number: DAA-0513-2014-0003-0002 |
| 3 | Health Records File. Electronic Health Record. Disposition Authority Number: DAA-0513-2014-0003-0003 |
| 4 | Master Patient Index. Paper. Disposition Authority Number: DAA-0513-2014-0003-0004 |
| 5 | Patient Identification Card. Disposition Authority Number: DAA-0513-2014-0003-0005 |

Records Schedule Items

| Sequence Number | | | | | | |
|-----------------|---|--|-----------------|--------------|----------------|--|
| 1 | <p>Health Records File. Paper.</p> <p>Disposition Authority Number DAA-0513-2014-0003-0001</p> <p>Patient files that reflect all episodes of medical care or service received by an individual from a healthcare provider. The records document diagnostic examinations and definitive medical, surgical, psychiatric, and dental care. The files may contain, but not be limited to the following information: patient identification data, patient history, physical examination report, progress notes, e-mail correspondence via DIRECT/Personal Health Record (PHR), physician orders, discharge summary, consultations, clinical ancillary (i.e., laboratory, radiology, etc.), consultation reports, medical and surgical treatment notes and reports, contract care summary, immunization status, behavioral health assessments, and dental and eye data. Also includes administrative data such as billing records which contain claims information.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td>IHS Item 3-3-1</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-513-92-004</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of the calendar year.</p> <p>Transfer to Inactive Storage Transfer to a Federal Records Center (FRC) files that have been inactive for 3 years.</p> <p>Retention Period Destroy 75 year(s) after last episode of care or date of death.</p> <p>Additional Information</p> | | Manual Citation | Manual Title | IHS Item 3-3-1 | |
| Manual Citation | Manual Title | | | | | |
| IHS Item 3-3-1 | | | | | | |

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GAO Approval Not Required

Health Records File. Microform.

Disposition Authority Number DAA-0513-2014-0003-0002

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

| Manual Citation | Manual Title |
|-----------------|--------------|
| IHS Item 3-3-1 | |

GRS or Superseded Authority Citation N1-513-92-004

Disposition Instruction

Retention Period Retain the master microform record for 75 years after last episode of patient care. Future microfilming of patient files shall be in accordance with NARA standards and requires approval by the IHS Records Management Officer (RMO).

Additional Information

GAO Approval Not Required

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Health Records File. Electronic Health Record.

Disposition Authority Number DAA-0513-2014-0003-0003

Represents a systematic collection of electronic health information about individual IHS patients. Data is pulled from other RPMS applications and also entered manually. Contains records from 2002 to the present.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

| Manual Citation | Manual Title |
|-----------------|--------------|
| IHS Item 3-3-1 | |

GRS or Superseded Authority Citation **N1-513-92-004**

Disposition Instruction

Retention Period **Destroy/delete 75 years after last episode of patient care or date of death.**

Additional Information

GAO Approval **Not Required**

Master Patient Index, Paper.

Disposition Authority Number **DAA-0513-2014-0003-0004**

The MPI captures the names of all patients who have ever been admitted to or treated in an IHS healthcare facility. The paper based card file system is arranged alphabetically by the patient's last name and serves as a locator system to identify active, inactive and deceased patient records. IHS Form 198 is used to record MPI data. The following data is captured on the form: • Name • Unit number • Address • Birth date • Social Security Number • Tribe • Degree of Indian blood • Birthplace • Sex • Religion • Name of Father, Mother • Date of first outpatient visit • Inpatient admission dates (admitted, discharged)

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

| Manual Citation | Manual Title |
|-----------------|--------------|
| IHS Item 3-3-4 | |

GRS or Superseded Authority Citation **N1-513-92-004**

Disposition Instruction

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| | |
|--|---|
| Retention Period | Destroy card 75 years after last episode of care or when no longer needed. |
| Additional Information | |
| GAO Approval | Not Required |
| Patient Identification Card. | |
| Disposition Authority Number | DAA-0513-2014-0003-0005 |
| Identification card created when health records file is established. Contains patient identification which includes patient name, date of birth, and health record number (HRN). | |
| Final Disposition | Temporary |
| Item Status | Active |
| Is this item media neutral? | Yes |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | No |
| Disposition Instruction | |
| Retention Period | Destroy upon transfer of inactive patient file to a Federal Records Center. NOTE: DO NOT SEND CARD TO FEDERAL RECORDS CENTER. |
| Additional Information | |
| GAO Approval | Not Required |

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

| Date | Action | By | Title | Organization |
|------------|------------------------|--------------------|---|--|
| 06/27/2014 | Certify | Christopher Forney | Records Management Officer | Indian Health Service - Division of Administrative Services |
| 11/12/2014 | Submit for Concurrence | Katherine Kim | Archivist | National Archives and Records Administration - Records Management Services |
| 11/12/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 11/13/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 11/13/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |