

Disaster Recovery for Health Records

Audio Seminar/Webinar
October 4, 2007

Practical Tools for Seminar Learning

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Faculty

Tami Duplantis, RHIA

Tami Duplantis is currently the Southeast District Business Development Manager for iod, incorporated (formerly known as Sourcecorp, Inc.) located in New Orleans, Louisiana. She is a graduate of Louisiana Tech University where she received a bachelors degree in Health Information Management. She has served on the local, state and national levels of LHIMA and AHIMA. Upon return from evacuation after Hurricane Katrina, she was responsible for evaluating hospital medical records, radiology film and other permanent forms of documentation (HR files, Committee Minutes, etc.) for the preservation and/or restoration of information post-disaster.

Clarice P. Smith, RHIA, CHP, CIPP

Clarice Smith is the regional HIM director for Community Health Systems in Franklin, Tennessee. Ms. Smith has over 30 years experience in HIM. She is a past-president of the North Carolina Health Information Management Association, and has been a member of several e-HIM[®] work groups. Ms. Smith is also a frequent speaker and author on electronic health records and disaster recovery topics.

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Where To Begin?



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Types of Disasters

- ♦ **Natural disasters**
 - Hurricanes
 - Tornados
 - Floods
 - Tsunamis
- ♦ **Terrorism**
- ♦ **Sabotage/Vandalism – Internal and External**
- ♦ **Pandemics**
- ♦ **Fire**
- ♦ **System Failure**
- ♦ **Community Infrastructure Failures**
- ♦ **Mass casualties**

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Planning Challenges —Infrastructure

- ◆ **Communications**
- ◆ **Power**
- ◆ **Water/sewer**
- ◆ **Information Systems**
- ◆ **Access to the facility**
 - **Automobile**
 - **Helicopter**



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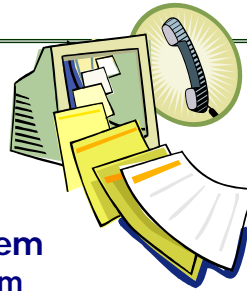
Planning Challenges —Staffing

- ◆ **Availability**
- ◆ **Skill Set**
- ◆ **Support for staff**
 - **Food**
 - **Clothing**
 - **Bathing facilities**
 - **Sleeping facilities**

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Planning Challenges —Communications

- ♦ **Telephones**
 - Land lines
 - Cellular phones
 - Plan for recharging phones
- ♦ **Dictation and transcription system**
 - Hand held records – storage medium
- ♦ **Two way radios**
- ♦ **Faxes**
- ♦ **Emails**
- ♦ **Hand delivery of paper documents**
- ♦ **In-person communication**



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Planning Challenges —Supply Chain

- ♦ **Availability of vendor**
 - Local vs. national
- ♦ **Back-up plan if vendor unavailable**

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Planning Challenges
— Varying Record Formats

- ♦ Paper
- ♦ Electronic
- ♦ Hybrid

Three formats
— Three solutions

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Planning Challenges
— Evacuation of Patients

- ♦ Transfer of records with the patient
- ♦ Dictation and transcription of reports after patient evacuation
 - Data to follow patient?
- ♦ Protection of the original record

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Planning Challenges
—Release of Information

- ♦ **Management of release of information**
 - **Damaged paper documents**
 - **Electronic records availability compromised due to infrastructure issues**

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Planning Challenges
—State and Federal Regulatory Requirements

- ♦ **How to ensure compliance with the standards when the basic infrastructure is compromised**
 - **Well-trained staff**

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Polling Question

During your HIM practice, have you been involved in an actual disaster?

***1 Yes**

***2 No**



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Vulnerabilities

Determine vulnerabilities for each scenario.

For example:

- **Flood – paper records stored on ground floor**
 - **All medical record forms, computer generated reports must contain the name of the facility**
- **Pandemic – limited cross training of staff**
- **Sabotage – computer system not well secured**
- **Mass casualties – inability to manage large volumes of patients**

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Solutions

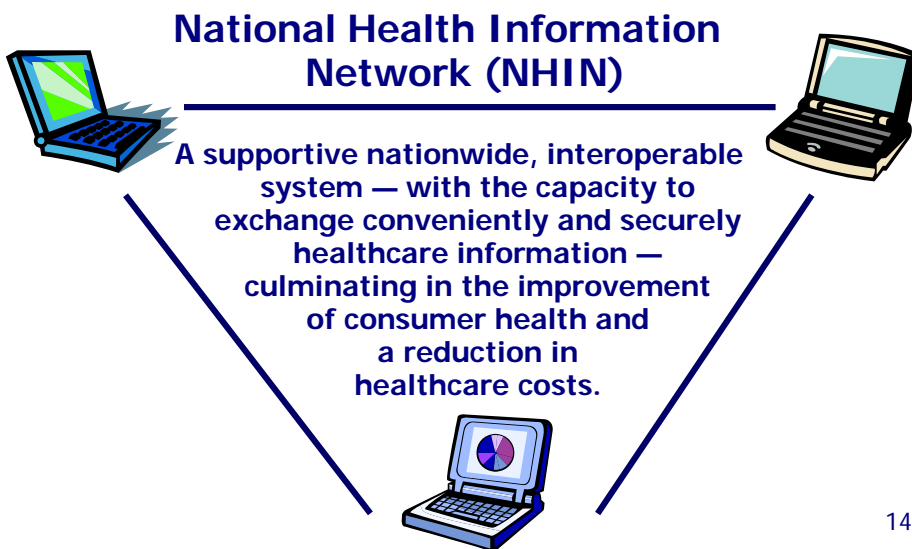
—Fragmented Paper-based System

- ♦ **Government regulations regarding online medical records**
- ♦ **Web-based applications**
- ♦ **Transfer of electronic and paper functions to a new site**
- ♦ **Revert to manual systems if this is even a possibility**

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Solutions

—National Health Information Network

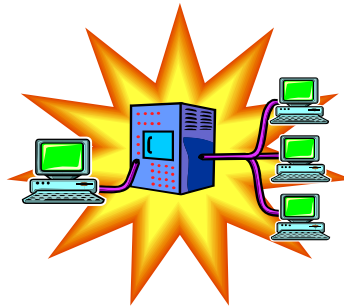


Solutions

—RHIOs

RHIOs

- ◆ Regional data sharing capabilities
- ◆ Back-up options
- ◆ Disaster assistance
- ◆ Data storage
- ◆ HIM’s role?



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Solutions

—Personal Health Record (PHR)

- ◆ Web
- ◆ Paper
- ◆ **Portable USB Device Stores Medical Information**
 Med-InfoChip, resembles a USB "thumb" drive — accessed when plugged into a USB port.
 - “The InfoChip costs \$69.95 for a single-user version and \$99.95 for a double-user version. The device comes with a CD for users who have older computers that require a software drive to use a USB port, the *Globe* reports (Mello, *Boston Globe*, 4/11/07).”
 - Emergency
 - Not password protected
- ◆ How will HIM manage this process?
 - Data capture, storage and transfer.

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Solutions

—Labels and Chips

- ◆ Creighton University Medical Center
- ◆ Prerecorded label information
 - Name
 - Medication type
 - Dosage instructions and
 - Warnings
- ◆ Programmed computer chips
- ◆ Verbally record label information or other speech technology
- ◆ For: Illiterate or vision-impaired patients
- ◆ For more information, go to wizzardsoftware.com.
- ◆ Tap into the database if chip damaged?



Subnotebooks, "Talking" Bottles; Phones and More, Mobile Health Date, April 13, 2005.

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Solutions

—RFID

- ◆ The microchip is inserted under the skin by syringe
 - Takes less than 20 minutes
 - No stitches
- ◆ RFID (Radio Frequency Identification) stores pertinent patient information such as allergies, medications, etc.
- ◆ Hospital/doctor's office scans the identifier (scanning capabilities)



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Solutions
—RFID, Mainstream



- ♦ **Nokia – a cell phone equipped with (RFID) chip containing product and personal information**
 - Universal information card
 - Allows users to transfer information to retailers and other third parties (healthcare implications?)
- ♦ **Club members in Barcelona, Spain – credit card functionality to order and pay for drinks (billing and insurance data?)**
- ♦ **200 people in Mexico's attorney general's office implanted with chips allows access to secure areas containing sensitive documents (hospital staff?)**
- ♦ **Injured soldiers in Iraq tracked – do away with dog tags?**
 - Patient tracking in disaster situations?

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Solutions
—RFID, Mainstream (Continued)

- ♦ **Radio chips used to track bank customers— Embedded chips in bank documents and within bank branch walls track:**
 - customer movements, and
 - preferences inside the branch
 - healthcare implications?
 - Track patients through the organization based on the paper
- ♦ **Video screens**
 - activated when a customer nears, launches a marketing message targeting the customer's identified preferences.
 - healthcare implications?
 - In a disaster, screen launches instructions

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Solutions **—Wireless Technology**

- ◆ Reality
- ◆ Secure devices
- ◆ Secure transmissions
- ◆ Provides mobility in compromised situations such as a fire



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Solutions

(Continued)

Computer sabotage

- Forensics vs. functionality



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Emerging Technology

- ♦ **Extraordinary situations require extraordinary solutions.**
- ♦ **Disasters such as Katrina and the tsunami in Southeast Asia call for wide area solutions.**

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Keys to Success!

- ♦ **Understand the organization's culture**
- ♦ **Implement technology and systems to support initiatives**
- ♦ **Train staff to complete the process in a timely, cost effective manner**
- ♦ **And....**

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Keys to Success!

Communicate!
Communicate!
Communicate!

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Keys to Success!

Test!
Test!
Test!

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Job Duties before Katrina

- ◆ **Release of Information**
 - Manage/Train employees in ROI processes
 - Maintain client relationships
- ◆ **HIPAA/ROI Training**
- ◆ **Scanning/Imaging Systems**
- ◆ **Document Management**

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Job Duties since Katrina

- ◆ **Business development**
- ◆ **Consultant for facilities that experienced damage to ANY of their permanent documentation**
- ◆ **How might your role change during a disaster to accommodate facility's needs?**

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Other Areas

- ♦ **Can you think of other area(s) that you may find medical records/critical information that would need to be secured, to provide either continuing patient care OR facility daily operations?**

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Examples of "other" information you may be asked to manage/track

- ♦ **Shadow records – filed in an off-site clinic**
- ♦ **Outpatient records/ancillary dept. records**
- ♦ **Records checked out to units/other depts.**
- ♦ **Legal files**
- ♦ **Personnel files**
- ♦ **Radiology films**
- ♦ **Committee minutes**

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What Disasters Is Your Region at Risk for?

We dealt with Katrina, Rita and Wilma.

- ♦ **What type of disaster(s) are you at risk for in your area?**

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Other "Real" Disasters

- ♦ **Sprinkler system malfunction**
- ♦ **Pipe bursts and the ceiling (and water) falls in on the legal/any other files**
- ♦ **Tornado taking the roof/wall off your building exposing your department**
- ♦ **Flood**
- ♦ **Other natural and "man-made" disasters**

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JCAHO Reference

The following two slides were submitted by Danielle Berthelot, RHIA in our presentation in at the AHIMA 2006 Annual Convention in Denver. It can be found in “STANDING TOGETHER: An Emergency Planning Guide for America’s Community,” Joint Commission on Accreditation of Healthcare Organizations.

I have included these slides here for your reference.

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Essential Components of Emergency Management Planning

- ◆ Define the community
- ◆ Identify and establish the emergency management team
- ◆ Determine the risks and hazards
- ◆ Set goals
- ◆ Determine current capacities/capabilities

“STANDING TOGETHER: An Emergency Planning Guide for America’s Community,” Joint Commission on Accreditation of Healthcare Organizations

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Essential Components of Emergency Management Planning (Continued)

- ◆ **Develop the integrated plan**
- ◆ **Identify funding sources**
- ◆ **Critique and improve the plan**
- ◆ **Sustain collaboration, communication, and coordination**

"STANDING TOGETHER: An Emergency Planning Guide for America's Community," Joint Commission on Accreditation of Healthcare Organizations

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Damage Control

- ◆ **Minimize damage to records BEFORE a disaster**
 - What can you do to minimize loss of health information if you are *expecting* a disaster situation to occur?
- ◆ **Develop a plan for discharge or transfer records and patients who are being treated DURING the disaster**
 - Will you send originals (*no electricity*) or copies?
 - How will you track where the patients and their information are transferred to? Manual log?

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Damage Control

TRACK and identify the documentation that is the most vital to:

- ◆ Continuing patient care
- ◆ Continuing to operate the facility

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Damage Control

- ◆ **AFTER the disaster:**
 - Regain control of information ASAP
 - Assess damaged information
 - Contact the right company/person to begin the recovery process
 - What medium will you receive your recovered information back in?

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What NOT to Do

- ♦ **Most importantly, if you are not sure of what to do... call a competent vendor (that you trust) and ask questions.**
 - **Call a vendor that can help you with a safe and careful purge, has imaging capabilities, etc.**
- ♦ **Do NOT move records until you are sure you know where they are going. They are too fragile to move too much.**

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Status of the City and Healthcare System —2 Years Later

- ♦ **What steps have been taken to ensure future integrity of all information?**
- ♦ **Impact of lost healthcare infrastructure on local economy (interview with a local economist)**
- ♦ **How has lost information affected facilities, continued patient care, etc.**

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Other Issues to Consider During a Disaster

- ♦ Employee contact/call tree
- ♦ Alternate means of communication (e.g., text messaging, e-mail)
- ♦ Policy for system back-up (off-site)
- ♦ The different role ROI/HIM plays upon return after a disaster (e.g., people moving away and trying to continue care with NO notice)
- ♦ Electronic record role in this situation, MyPHR.com

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Resource/Reference List

- ♦ "STANDING TOGETHER: An Emergency Planning Guide for America's Community," Joint Commission on Accreditation of Healthcare Organizations
- ♦ "HIM Professional Affected by Hurricane Katrina Strives to Make a Difference"; AHIMA Advantage, August 2007
- ♦ "How to Protect Electronic PHI and Keep Critical Operations Going During Power Outage"; HIPAA Security & Privacy Staff Trainer, July 2004
- ♦ "Lessons from Katrina: In the Hurricane's Wake, Lessons for Records Management"; *Journal of AHIMA*, April 2006
http://library.ahima.org/xpedio/groups/secure/documents/ahima/bok1_030965.hcsp
- ♦ Tami Duplantis, RHIA at iod inc.: tduplantis@iodincorporated.com

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Audience Questions



Audio Seminar Discussion



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October 25, 2007
- ◆ **Access and Control in
Electronic Health Records**
November 20, 2007
- ◆ **HIPAA Security: What
Everyone Should Know**
January 17, 2008

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Appendix

CE Certificate InstructionsSee next page

Resources

- "STANDING TOGETHER: An Emergency Planning Guide for America's Community," Joint Commission on Accreditation of Healthcare Organizations
- "HIM Professional Affected by Hurricane Katrina Strives to Make a Difference"; *AHIMA Advantage*, August 2007
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