

POLICIES AND PROCEDURES
TOPIC: Record Locator Service
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I. BACKGROUND AND PURPOSE

The purpose of this policy is to describe the establishment and operation of a Record Locator Service by the WVHIN. The purpose of the Record Locator Service is to match a Patient identified in an Inquiry based upon Personal Demographic Information contained in the Master Patient Index, as well as to perform other authorized exchanges of Protected Health Information.

II. POLICY

One of the primary functionalities of the Health Information Exchange sponsored by the WVHIN is to allow a Participating Organization to issue a formal request, or Inquiry, for the disclosure of Protected Health Information of a Patient for a Permissible Purpose. Assuming that the Inquiry is a proper one, there must be a means by which the Patient identified in the Inquiry can be matched to a Patient contained in the Master Patient Index. An Inquiry must therefore contain Personal Demographic Information to be compared against the Personal Demographic Information maintained in the Master Patient Index. The Record Locator Service will then analyze the data in the Inquiry against the data in the Master Patient Index using advanced probabilistic formulas and algorithms.

If, based upon such advanced probabilistic formulas and algorithms, a match is found for a Patient who has not Opted-Out of the Health Information Exchange, then the Record Locator Service will perform a search for all Protected Health Information that is currently maintained by other Participating Organizations which corresponds to that Patient match. All, some, or none of this Protected Health Information will then be exchanged, depending on the following factors:

- ▶ the existence of an appropriate Treatment or Payment relationship between the Patient and the Participating Organization submitting the Inquiry
- ▶ the Inquiry’s limited Permissible Purpose
- ▶ the type of Protected Health Information (including Sensitive Health Information) available to be exchanged.

As will be described in the procedures which follow, each of these factors can influence the ultimate response to the Inquiry.

If, based upon such advanced probabilistic formulas and algorithms, a match is found for a Patient who has Opted-Out of the Health Information Exchange, then the Record Locator Service will not perform a search for any Protected Health Information.

The Record Locator Service will be utilized to match Patients in order to exchange Protected Health Information for Public Health Reporting regardless of whether the Patient has elected to Opt-Out or to participate in the Health Information Exchange.

III. PROCEDURES

A. Patient Procedures.

None

B. Participating Organization Procedures.

1. Any Inquiry submitted by a Participating Organization for the disclosure of Protected Health Information of a Patient for a Permissible Purpose must include as many of the following data fields as is available:

- (i) full name, including first, middle, and last name, and any designations such as Jr., Sr., II, III, etc;
- (ii) full Social Security number;
- (iii) full address, including street number, suite or apartment number, post office box, city, and state;
- (iv) zip code;
- (v) date of birth;
- (vi) gender;
- (vii) telephone number(s);
- (viii) driver's license or state identification number; and
- (ix) Health Plan beneficiary or account numbers.

2. The WVHIN may expand or contract this list of Personal Demographic Information as it deems necessary and appropriate from time to time.

3. An Inquiry may only be undertaken for a Permissible Purpose. Inquiries must be submitted electronically.

4. A Participating Organization may submit an Inquiry to the WVHIN's Health Information Exchange for the Protected Health Information of a Patient for the Permissible Purposes of Treatment, Emergency Treatment, or Payment if it has an existing Treatment or Payment relationship to the Patient, either through direct care activities or referral from another Health Care Provider or Health Plan. In the case of an Inquiry for the Permissible Purpose of Limited Health Care Operations, the Participating Organization must have either an existing or prior Treatment or Payment relationship with the Patient, and the Protected Health Information being sought must pertain to such relationship.

5. When submitting an Inquiry under Paragraph 4 above, a Participating Organization must certify electronically to the WVHIN that it has the appropriate Treatment or Payment relationship with the Patient, and must also certify the Permissible Purpose for which the Protected Health Information is sought.

6. Any Protected Health Information obtained by a Participating Organization through the WVHIN's Health Information Exchange as a result of an Inquiry must be used only for the Permissible Purpose for which it was sought. An Inquiry for the Permissible Purpose of Treatment or Emergency Treatment must be limited to the Protected Health Information of the Patient who is the subject of the Inquiry (except in the case of mother/infant).

7. Participating Organizations must comply with the Minimum Necessary policies and procedures when submitting an Inquiry for the exchange of Protected Health Information for the Permissible Purposes of Payment and Limited Health Care Operations, but not for Treatment or Emergency Treatment (see Policy and Procedure Document Number 1400). Minimum Necessary policies and procedures do not apply to any form of Treatment or Emergency Treatment.

8. Participating Organizations seeking the exchange of Sensitive Health Information must comply with the Sensitive Health Information policies and procedures (see Policy and Procedure Document Number 102), and where necessary, must obtain the specific authorization of the Patient.

9. Participating Organizations seeking the exchange of Protected Health Information for Payment purposes shall comply with Policy and Procedure Document Number 1404.

10. Participating Organizations seeking the exchange of Protected Health Information for Limited Health Care Operations purposes shall comply with Policy and Procedure Document Number 1405.

11. If a Participating Organization determines that a false match has been made by the WVHIN's Record Locator Service, then it will immediately notify the WVHIN. For purposes of this Policy and Procedure, the term "immediately" means within the same business day.

C. WVHIN Procedures.

1. The WVHIN will equip its Record Locator Service with advanced probabilistic formulas and algorithms designed to match a Patient in an Inquiry with a Patient in the Master Patient Index with an extremely high degree of accuracy. False positive matches should not exceed 1 per 100,000 Inquiries.

2. An Inquiry may only be undertaken for a Permissible Purpose. All Inquiries must be submitted electronically.

3. For a Patient matched by the Record Locator Service who has not Opted-Out of the Health Information Exchange, Protected Health Information will be shared in response to an Inquiry from a Participating Organization for the Permissible Purposes of Treatment, Emergency Treatment, or Payment if there is an existing Treatment or Payment relationship with the Patient, either through direct care activities or referral from another Health Care Provider or Health Plan. In the case of an Inquiry for the Permissible Purpose of Limited Health Care Operations, the Participating Organization must have either an existing or prior Treatment or Payment relationship with the Patient, and the Protected Health Information being sought must pertain to such relationship.

4. The WVHIN will require that all Inquiries for the Permissible Purposes of Payment or Limited Health Care Operations must comply with the Minimum Necessary policies and procedures (see Policy and Procedure Document Number 1400). Minimum Necessary policies and procedures do not apply to any form of Treatment or Emergency Treatment.

5. The WVHIN will require that all Inquiries seeking the exchange of Sensitive Health Information are in compliance with the Sensitive Health Information policies and procedures (see Policy and Procedure Document Number 102). The WVHIN will rely solely upon each Participating Organization to electronically tag Sensitive Health Information in order to protect it from disclosure and otherwise comply with the laws governing such information.

6. For a Patient who has Opted-Out of the Health Information Exchange, no Protected Health Information will be shared for any Permissible Purposes except Public Health Reporting.

7. If the WVHIN determines that a false match has been made by its Record Locator Service, then it will immediately notify the Participating Organization who submitted the Inquiry and received the mismatched Protected Health Information. For all false matches, the WVHIN will also follow its Breach Notification policies and procedures (see Policy and Procedure Number 1500) to determine what other Participating Organizations, if any, need to be notified.

8. To the extent feasible given the functionality of the Master Patient Index and the Record Locator Service incorporated within it Health Information Exchange, the WVHIN will seek to utilize national best practices for maintaining the integrity of all Personal Demographic Information contained therein, including the merging of duplicate entries and the timely updating of new information.