


<p><b>Name of Policy:</b> <u>Medical Record Delinquency Policy</u></p> <p><b>Policy Number:</b> 3364-87-03</p> <p><b>Approving Officer:</b> Chief of Staff Medical Director</p> <p><b>Responsible Agent:</b> Medical Director</p> <p><b>Scope:</b> All University of Toledo Campuses</p>	 <p><b>Effective date:</b> 04/12/00</p>
<input type="checkbox"/> New policy proposal	<input type="checkbox"/> Minor/technical revision of existing policy
<input type="checkbox"/> Major revision of existing policy	<input type="checkbox"/> Reaffirmation of existing policy

(A) Policy statement

A deficiency occurs when the required contents of the medical record have not been dictated or authenticated and will result in an incomplete medical record.

(B) Purpose of policy

This policy lists the required components of a medical record and the process that will be used for delinquent medical record completion.

(C) Procedure

- (1) Delinquent Record defined. A deficiency occurs resulting in a delinquent medical record when the required contents of the medical record have not been dictated or authenticated. Incomplete inpatient medical records are considered delinquent 30 days after the patient's discharge. Incomplete ambulatory clinic records are considered delinquent if not dictated or written within 7 days after the patient visit. Required contents in the medical record include:

- (a) For House Officers (As delegated and supervised by the responsible Attending Physician)
  - (i) Written or dictated History and Physical on admission;
  - (ii) Signed and dated progress notes and physician orders;
  - (iii) Signed verbal orders;
  - (iv) Dictated Operative Reports immediately following invasive procedures; and
  - (v) Dictated discharge summaries, including discharge instructions, medications, and follow-up appointments.
- (b) For Attending Physicians

- (i) Written or dictated and signed History and Physical on admission;
- (ii) Signed and dated progress notes and physician orders;
- (iii) Signed verbal orders;
- (iv) Dictated Operative Reports immediately following invasive procedures;
- (v) Dictated discharge summaries, including discharge instructions, medications, and follow-up appointments;
- (vi) Signed Emergency Department Report (by ED Attending physician);
- (vii) Signed Discharge Summary;
- (viii) Countersigned medical student notes;
- (ix) Dictated and signed Operative report (by Attending Surgeon);
- (x) Signed Tumor Staging form, when applicable (by Attending Surgeon);
- (xi) Signed Pre-Anesthesia form (by Attending Anesthesiologist);
- (xii) Countersigned Post-Anesthesia Note in progress notes (by Attending Anesthesiologist);
- (xiii) Signed Consultation Report (by Physician Consultant);
- (xiv) Response documented to Query Letters; and
- (xv) Signed Outpatient ESA Reports.

Remote access to the Electronic Signature Authentication system (ESA) is considered a secondary access with the primary access method as that which is on campus. Lack of availability of the remote access system does not preclude a physician from the responsibility of completing his/her records using ESA on site.

(2) Delinquent Medical Records Notice.

- (a) A member of the Medical Staff, who has one or more available charts having deficiencies two weeks after patient discharge, will be notified by computer generated fax ten days before a fine will be applied.
- (b) Delinquency lists will be sent out to all physicians and residents who will be able to review this online at M:\him\PhysicianSuspensionListing\Current Attending & Resident Suspension List. Individuals requesting access may call Health Information Management (HIM).
- (c) It is advisable that physicians and residents notify HIM prior to vacation to avoid being fined during vacation. Physicians are encouraged to complete all available records prior to leaving for vacation.

(3) Fine for Delinquent Medical Records

- (a) If after ten days from notification, the medical records that were available remain incomplete, the Medical Staff Office / the Residency Office will notify the physician/resident of the application of fines in a letter.

- (b) Delinquent medical records will subject the physician to a \$100 per day fine for each day the records are delinquent payable to the Medical University of Ohio within ten working days.
- (c) Medical record delinquency will also be taken into consideration for the Department’s receipt of funds from the University.
- (4) Non Compliance. Non compliance with this policy will be directed to the Medical Director and Dean of the College of Medicine for resolution. All non-payment of fines will be forwarded to the Attorney General of the State of Ohio for collection.

<p>Approved by:</p>  <p>_____</p> <p>Christopher K. Lynn, M.D. Chief of Staff</p>  <p>_____</p> <p>Ronald McGinnis, M.D. Medical Director</p>  <p>_____</p> <p>Date</p>  <p><i>Review/Revision Completed by:</i> <i>Health Information Management</i> <i>Committee</i> <i>Medical Executive Committee</i></p>	<p><b>Policies Superseded by This Policy:</b></p> <ul style="list-style-type: none"> <li>• <i>MS-003 Medical Record Delinquency Policy</i></li> </ul> <p><b>Review/Revision Date:</b> 09/13/00 12/13/00 06/13/01 09/11/02 11/13/02 02/12/03 11/19/03 05/12/04 03/08/05 07/13/05 06/13/07</p> <p><b>Next review date:</b> 06/13/10</p>
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