Your participation in this survey is completely anonymous and voluntary. NONE of the answers you give can be connected to you or your name or the organization where you work.

The information you provide in this survey will help us to better understand the challenge of working with medical records and protected health information in our health care system. Thank you!
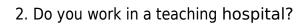
*1. In what type of health care setting are you currently working?
[Note: Acutecare hospital refers to an institution primarily engaged in providing inpatient diagnostic and therapeutic services and care of injured, disabled, or sick persons. It does not include psychiatric, rehabilitation or longterm care hospitals.]

☐ Physician Practice with 5 or fewer physicians (or other clinical practitioners who bill for services)

☐ Physician Practice with 615 physicians (or other clinical practitioners who bill for services)

☐ Physician Practice with 16 or more physicians (or other clinical practitioners who bill for services)

☐ Acutecare Hospital with 25 or fewer beds

☐ Acutecare Hospital with 26  250 beds

☐ Acutecare Hospital with 251 or more beds

☐ Other (please specify)

2. Do you work in a teaching hospital?

Yes          No          I don't know

3. Is the hospital part of a multihospital system or integrated health delivery system?

Yes          No          I don't know

## 4. How long have you been working at your current organization (even if in different roles)?

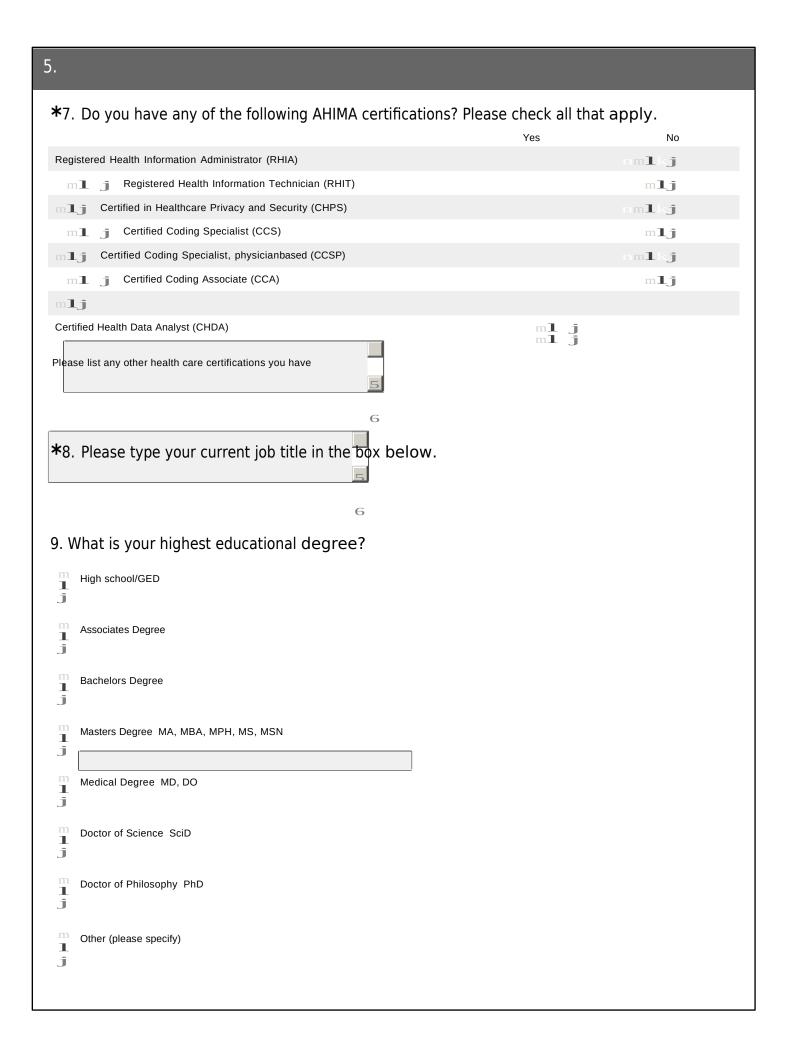- Less than 1 year
- 1 3 years
- 4 10 years
- More than 10 years

## 5. How long have you been working in your current role/job (even if at multiple organizations)?

- Less than 1 year
- 1 3 years
- 4 10 years
- More than 10 years

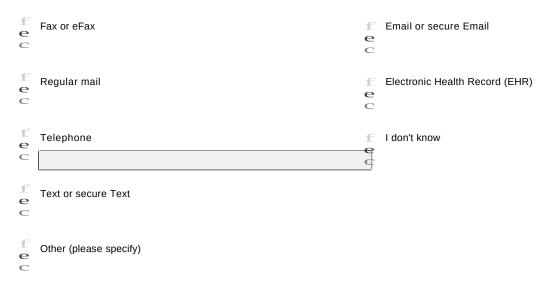6. Which of the following job activities do you currently do in your organization? Please check all that apply.
NOTE: In this question medical records refer to any records (paper or electronic) that include protected health information.

- I am responsible for coding and/or billing for clinical services from medical records.

- I work with and/or manage medical records.

- I am responsible for transferring medical records or protected health information to authorized employees and departments within my organization.

- I am responsible for transferring medical records or protected health information to entities outside of my organization.

- I work in information systems administration.

- I am responsible for the appropriate use and disclosure of health information.

- I am involved in ensuring compliance to HIPAA regulations.

- I am involved in ensuring compliance to HITECH regulations.

- I am responsible for interacting with federal and/or state compliance    authorities on a routine basis.

- I am responsible for ensuring that medical records and protected health information is secure.

- I am responsible for handling the remediation of a security breach at our organization.

- My department is notified of security breaches in the organization that require notification.

- I am an information analyst working with data from medical records.

- None of the above

- Other (please specify)

*7. Do you have any of the following AHIMA certifications? Please check all that apply.

|  | Yes | No |
| --- | --- | --- |
| Registered Health Information Administrator (RHIA) |  | nmlkj |
| Registered Health Information Technician (RHIT) | mlj | mlj |
| Certified in Healthcare Privacy and Security (CHPS) | mlj | nmlkj |
| Certified Coding Specialist (CCS) | mlj | mlj |
| Certified Coding Specialist, physicianbased (CCSP) | mlj | nmlkj |
| Certified Coding Associate (CCA) | mlj | mlj |
| | mlj | |
| Certified Health Data Analyst (CHDA) | mlj | |
| | mlj | |

Please list any other health care certifications you have

5

6

*8. Please type your current job title in the box below.

5

6

9. What is your highest educational degree?

mlj  High school/GED

mlj  Associates Degree

mlj  Bachelors Degree

mlj  Masters Degree  MA, MBA, MPH, MS, MSN

mlj  Medical Degree  MD, DO

mlj  Doctor of Science  SciD

mlj  Doctor of Philosophy  PhD
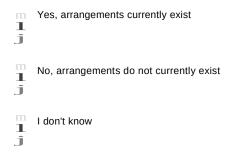
mlj  Other (please specify)

## 6. B. Health Information and exchange

10. When your organization exchanges or shares clinical information with other providers, what mechanisms are used? Please check all that apply. [AHAadapted]

- Fax or eFax
- Email or secure Email
- Regular mail
- Electronic Health Record (EHR)
- Telephone
- I don't know
- Text or secure Text
- Other (please specify)

11. Do any current arrangements exist in your area to share electronic patientlevel clinical information through an electronic health information exchange (HIE) or a regional health information organization (RHIO), regardless of whether your organization participates in it or not? [AHAa]

- Yes, arrangements currently exist
- No, arrangements do not currently exist
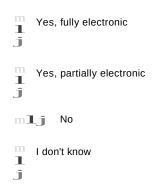- I don't know

12. Are clinical providers in your organization able to electronically search or request a patient's health information (e.g., medications, test results) from sources outside of your organization or system? [AHAa]

- Yes
- No
- I don't know

13. Are clinical providers in your organization able to send and receive secure electronic messages containing patient's health information (e.g., medications, test results) to and from sources outside of your organization or system? [AHAa]

- Yes
- No

mlj

I
don
't
kno
w

14. Does your organization use an electronic medical record (EMR) or electronic health record (EHR) system? [AHA]
Definition: An EMR/EHR is electronically originated and maintained clinical health information derived from multiple sources about an individual's health status and healthcare. An EMR/EHR replaces the paper medical record as the primary source of patient information.

☐ Yes, fully electronic

☐ Yes, partially electronic

☐ No

☐ I don't know

15. Has your EMR/EHR system been certified as meeting
federal requirements for the objectives of Meaningful Use?
[AHAa]

m Yes          m  j          m  I don't know
                  No

16. In general, how would you describe your EMR/EHR system? [AHAa]

m  A mix of products from different vendors

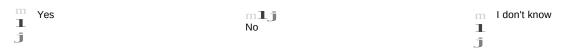m  Primarily from one vendor

m  Primarily an inhouse developed system

m  I don't know

17. Do you have any credentialed EMR/EHR system users who can
access patient records but are not employees of the organization? For
example, a credentialed system user may be at an insurance company,
Health Information Exchange, or Regional Health Information
Organizations.

m Yes          m  j          m  I don't know
                  No

18. Are clinical providers in your organization able to remotely access
the EMR/EHR system? That is, can they electronically access the
system from outside of the organization?

m Yes          m  j          m  I don't know
                  No

19. Does your organization currently require twofactor authentication (e.g., tokens or
biometrics) to access medical records? [AHAa]

m Yes          m  j          m  I don't know
                  No

20. Does your organization have IT systems/applications that record or log access to the EMR/EHR system (i.e., access to patient protected health information)? [Note: The type of information logged by the system could include user name or ID, timestamp, and/or commands issued.]

m Yes

m□j No

m I don't know

## 21. What type(s) of information is logged or recorded? Please check all that apply.
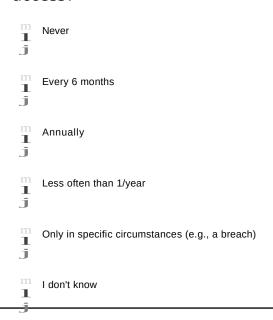
|  | Yes | No | Don't know |
|---|---|---|---|
| Date of access | nmlkj | nmlkj | |
| Time of access | mlj | | mlj |
| | mlj | | mlj |
| Name of the person accessing the record | mlj | mlj | mlj |
| Role of the person accessing the record (e.g., by department or professional role such as "RN") | mlj | mlj | mlj |
| Purpose of access | | | mlj |
| Type of information/field accessed | nmlkj | nmlkj | |
| Action(s) taken (e.g., create/modify/delete) | mlj | mlj | mlj |
| | nmlkj | nmlkj | nmlkj |

Other (please specify)


## 22. For what period of time are logs of EMR/EHR system access kept?

mlj Less than 6 months

mlj 25 36 months

mlj 6 months 12 months

mlj More than 3 years

mlj 13 24 months

mlj I don't know


## 23. How often does your organization review (or audit) the logs of EMR/EHR system access?

mlj Never

mlj Every 6 months

mlj Annually

mlj Less often than 1/year

mlj Only in specific circumstances (e.g., a breach)

mlj I don't know

24. In your opinion, how likely is it that the review of system logs can (be used to) distinguish "accidental" access (i.e., people who opened a record by mistake) from all other access?

| Very likely | | Somewhat likely | | Very Unlikely | | I don't know |
|---|---|---|---|---|---|---|
| n | n | n | n | n | n | n |

25. If your organization wanted to create a list of who accessed a given medical record, would that require gathering system log data from multiple systems?
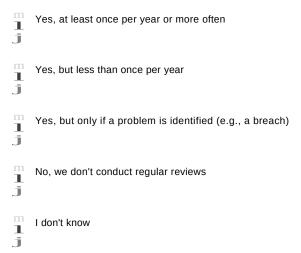
m Yes      m No      m I don't know

26. If your organization wanted to create a list of who accessed a patient electronic medical record over the previous MONTH, how much time would it take to do this?

m Less than 1 hour      m 16  20 hours

m 1  5 hours      m More than 20 hours

m 6  10 hours      m I don't know

m 11  15 hours      m It would not be possible to create such a list.

27. If your organization wanted to create a list of who accessed a patient electronic medical record over the previous YEAR, how much time would it take to do this?

m Less than 1 hour      m 16  20 hours

m 1  5 hours      m More than 20 hours

m 6  10 hours      m I don't know

m 11  15 hours      m It would not be possible to create such a list.

28. Does your organization conduct regular reviews of access to medical records (i.e., who accessed protected health information, when and why, over some period of time)?

- Yes, at least once per year or more often

- Yes, but less than once per year

- Yes, but only if a problem is identified (e.g., a breach)

- No, we don't conduct regular reviews

- I don't know

29. Does your organization allow employees who are also patients in the organization to look at who has accessed their medical record?

- Yes

- No

- I don't know

30. In your opinion, how common is it for people in your organization to "accidentally" access a patient electronic record (e.g., to open a record by mistake)?

| Very common | | Somewhat common | | all) | | I don't know |
|---|---|---|---|---|---|---|

31. In your opinion, how likely is it that an investigation of access to medical records in your organization would be able to distinguish "accidental" access (i.e., people who opened a record by mistake) from all other access?

| Very likely | Somewhat likely | Very Unlikely | I don't know |
|---|---|---|---|

32. In your opinion, how likely is it that an investigation of access to medical records (protected health information) in your organization would be able to clearly identify intentional access to records that is unauthorized (not allowed)?

| Very likely | Somewhat likely | Very Unlikely | I don't know |
|---|---|---|---|

## 12. C. Access to medical records

The next set of questions ask about how your organization handles questions about access to medical records.

33. If you or another employee in your organization who is also a patient expressed concern about (possibly inappropriate) access to your medical record, what kind of actions would be taken by your organization to address those concerns? Please check all that apply.

| | Yes | No | I don't know |
|---|---|---|---|
| Create a list of employees (by name) who accessed the record over a period of time | nmlk | n | n |
| Interview employees about access to the record | mlj | m | m |
| Review IT logs of EMR/EHR system access | nmlk | n | n |
| Meet with the concerned employee | mlj | m | m |
| Provide a list of employee names who accessed the record to the concerned employee | nmlk | n | n |
| Explain the results of an internal investigation to the concerned employee | mlj | m | m |
| The organization has no formal organizational policy to deal with such concerns | nmlk | n | n |

Other (please specify)

_____

## 13.

34. If a patient expressed concern about (possibly inappropriate) access to his/her medical record, what kind of actions would be taken by your organization to address the patient concerns? Please check all that apply.

|  | Yes | No | I don't know |
|---|---|---|---|
| Create a list of employees (by name) who accessed the record over a period of time | n | n | n |
| Interview employees about access to the record | m | m | m |
| Review IT logs of EMR/EHR system access | n | n | n |
| Meet with the concerned patient | m | m | m |
| Provide a list of employee names who accessed the record to the concerned patient | n | n | n |
| Explain the results of an internal investigation to the concerned patient | m | m | m |
| The organization has no formal organizational policy to deal with such concerns | n | n | n |

Other (please specify)

_____

35. On average, in a given month at your organization, how many patients express concern about access to their medical records (e.g., who accessed their records, or why their records were accessed, etc)?

- None

- 1  10 patients

- 1120 patients

- 2150 patients

- More than 50 patients

- I don't know

36. What proportion of patients are satisfied with the actions taken to address their concerns about access to their medical records?

| None of the patients |  | Half of the patients |  | All of the patients | I don't know |
|---|---|---|---|---|---|
| n | n | n | n | n | n |

## 37. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| My organization has policies in place to safeguard protected health information from being seen by anyone not authorized to see it. | nmlkj | | nmlkj | | nmlkj |
| Technology protects patient health information from being seen by anyone not authorized to see it. | mlj | | mlj | | mlj |
| HIPAA does a good job protecting the privacy and security of patient health information. | mlj | mlj | nmlkj | | nmlkj |
| Ethical codes of conduct for health information professionals do a good job protecting the confidentiality of patient health information. | mlj | | mlj | | mlj |
| Ethical codes of conduct for clinical professionals (e.g., doctors and nurses) do a good job protecting the confidentiality of patient health information. | mlj | mlj | | | |

## 38. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| Most patients would be surprised to see how many different people access their medical records during the course of delivering health care services. | mlj | | mlj | | mlj |
| Most patients would not understand a listing of all the different people who accessed their medical records during the course of delivering health care services. | mlj | mlj | mlj | | mlj |
| It is important for patients to be able to find out who has accessed their medical records. | nmlkj | | nmlkj | | nmlkj |
| Patient privacy is more at risk with electronic health records systems (compared to paper records). | mlj | mlj | mlj | | mlj |
| It is important for patients to be able to find out who their medical information has been disclosed to outside of their regular doctor/provider/hospital. | mlj | mlj | | mlj | mlj |
| Patient privacy is at risk with health information exchange between multiple health care providers. | mlj | | mlj | | mlj |

## 15. E. Organizational Characteristics

This last set of questions ask for your opinions about different aspects of your organization. Remember your answers are anonymous  none of your answers can be connected to you, your name, or your organization.

### 39. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| People I work with are direct and honest with each other. | nmlkj | nmlkj | nmlkj | nmlkj | nmlkj |
| People I work with accept criticism without becoming defensive. | mlj | mlj | mlj | mlj | mlj |
| People I work with function as a team. | nmlkj | | nmlkj | | nmlkj |
| mlj — mlj — People I work with constructively confront problems. | | | | mlj | mlj |
| mlj — mlj — mlj — People I work with are good listeners. | | | | | nmlkj |
| mlj | mlj | mlj | mlj | |

### 40. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| Management and staff have a productive working relationship. | mlj | mlj | mlj | mlj | mlj |
| This organization motivates me to put out my best efforts. | mlj | mlj | mlj | mlj | mlj |
| This organization respects its workers. | mlj | mlj | mlj | mlj | mlj |
| This organization treats all staff and management in a consistent and fair manner. | mlj | mlj | mlj | mlj | mlj |
| There is an atmosphere of trust in this organization. | mlj | mlj | mlj | mlj | mlj |
| This organization motivates people to be efficient and productive. | mlj | mlj | mlj | mlj | mlj |

### 41. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| I get enough information to understand the big picture here. | nmlkj | nmlkj | nmlkj | nmlkj | |
| When changes are made, the reasons why are made clear. | | nmlkj | mlj | mlj | |
| I know what is happening in work sections/departments outside my own. | | mlj | mlj | mlj | |
| | nmlkj | nmlkj | nmlkj | nmlkj | nmlkj |
| I have a say in decisions that affect my work. | mlj | mlj | mlj | mlj | mlj |
| This organization values the ideas of workers at every level. | mlj | mlj | mlj | mlj | mlj |

## 42. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| Nonclinical staff often receive incompatible requests from 2 or more people. | ○ | | ○ | | ○ |
| Clinical staff recognize and support the work of non clinical staff in my organization. | ○ | | ○ | ○ | ○ |
| Clinical staff sometimes violate organizational privacy policies in order to do their jobs. | ○ | | ○ | ○ | ○ |
| I sometimes violate organizational privacy policies in order to do my job. | ○ | | ○ | | ○ |
| | ○ | | | | |
| | ○ | | ○ | | ○ |
| | ○ | ○ | | | |

## 43. Please answer how strongly you agree or disagree with the following statements.

| | Strongly Agree | Agree | Neither Agree or Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| This organization is typically able to adapt new standards or procedures, even those forced upon us. | ○ | ○ ○ | ○ | ○ | |
| Leadership articulates a vision for the organization. | ○ | ○ | ○ | ○ | ○ |
| It is hard to make any changes in this organization because everyone is already so busy. | ○ | | ○ | | ○ |
| My job requirements are made clear to me by my supervisor. | ○ | | ○ ○ | | ○ |
| People in this organization see the larger health care system as helpful in meeting the needs of the organization. | ○ | ○ | | ○ | ○ |
| | ○ | | ○ | | ○ |
| | ○ | | | | |

## 16. Thank you!

Thank you for taking the time to complete this survey. The information you have provided will help us better understand the work of health information professionals within hospitals and physician practices.

**44. If you have any additional thoughts or ideas you would like to share, please write them below.**