



Office of Regulatory Compliance

HIPAA Policy 4.5

Title:	Limited Data Sets
Source:	Office of Regulatory Compliance
Prepared by:	Assistant Vice Chancellor for Regulatory Affairs
Approved by:	Vice Chancellor for Research
Effective Date:	July 1, 2013
Replaces:	03/22/03
Applies:	All UCD campuses

Introduction

Purpose

To provide guidance to members of the UCD workforce who wish to provide or use limited data sets for the purpose of research, public health or health care operations.

Reference

45 C.F.R. §164.514(e)

Applicability

This policy applies to the use or disclosure by UCD for the purpose of research, public health, or health care operations of protected health information (“PHI”) which has had certain direct identifiers removed so that the information qualifies as a limited data set. Sharing this information with others does not require an authorization, as long as the conditions set forth below have been met.

Policy

UCD may use or disclose certain types of PHI without the need for an authorization as long as:

1) The following identifiers of the individual, or of the relatives, employers, or household members of the individual have been removed:

- a) Names;
- b) Postal address information, other than town and city, State, and zip code;
- c) Telephone numbers;
- d) Fax numbers;
- e) Electronic mail addresses;
- f) Social security numbers;
- g) Medical record numbers;
- h) Health plan beneficiary numbers;
- i) Account numbers;
- j) Certificate/license numbers;
- k) Vehicle identifiers and serial numbers, including license plate numbers;
- l) Device identifiers and serial numbers;
- m) Web Universal Resource Locators (URLs);
- n) Internet Protocol (IP) address numbers;
- o) Biometric identifiers, including finger and voice prints; and,
- p) Full face photographic images and any comparable images.

The LDS may contain, for example: dates of visits, dates of death, dates of service, town or city, state and zip code.

2) The limited data set may only be used or disclosed for the purposes of research, public health, or health care operations.

3) Before a limited data set may be disclosed, a data use agreement must be in place between the UCD and the limited data set recipient.

Procedures

If the UCD knows of a pattern of activity or practice of the limited data set recipient that constitutes a violation of the data use agreement, the UCD must:

- a) Attempt to end the violation; and
- b) If the attempt is unsuccessful:
 - i) Discontinue disclosure of PHI to the recipient; and
 - ii) Report the problem to the Secretary.

Before a limited data set may be used, the person who wishes to use the limited data set must document in writing that all 16 identifiers (listed above) have been removed.

Please see UCD DUA template found elsewhere on the HIPAA Policies and Forms website. The only authorized signatory for DUAs is the AVC for Regulatory Compliance. All DUAs must be reviewed by the Office of Regulatory Compliance (“ORC”). Any breach of a DUA must be reported as soon as possible to the ORC.