



# Standard Guide for Data Capture through the Dictation Process<sup>1</sup>

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## 1. Scope

1.1 This guide identifies ways to improve the quality of healthcare documentation through the dictation process. This guide will assist dictating authors (physicians, physician assistants, nurses, therapists, and other healthcare professionals) in facilitating their use of dictation in the healthcare environment, that is, hospital, clinic, physician practice, or multi-campus healthcare system.

1.2 This guide will aid in the continuity of patient care, privacy and confidentiality issues, risk management issues, optimal coding for reimbursement, compliance with legislative and regulatory requirements, and turnaround time.

1.3 The complexity of the language of medicine, the dynamics of the healthcare environment, and the sophistication of the dictation systems present a formidable challenge for dictating authors. This guide will facilitate a quality dictation message.

1.4 This guide does not address the medical transcription process.

1.5 *This standard does not purport to address all of the safety concerns, if any, associated with its use. It is the responsibility of the user of this standard to establish appropriate safety and health practices and determine the applicability of regulatory requirements prior to use.*

## 2. Referenced Documents

### 2.1 ASTM Standards:<sup>2</sup>

E 1902 Specification for Management of the Confidentiality and Security of Dictation, Transcription, and Transcribed Health Records

E 2117 Guide for Identification and Establishment of Quality Assurance for Medical Transcription

E 2184 Specification for Healthcare Document Formats

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<sup>2</sup> For referenced ASTM standards, visit the ASTM website, [www.astm.org](http://www.astm.org), or contact ASTM Customer Service at [service@astm.org](mailto:service@astm.org). For *Annual Book of ASTM Standards* volume information, refer to the standard's Document Summary page on the ASTM website.

## 3. Terminology

### 3.1 Definitions:

3.1.1 *analog*, *n*—of, relating to, or being a mechanism in which data is represented by continuously variable physical quantities, that is, recording tape.

3.1.2 *blanks*, *n*—missing text that must be filled in as directed by the dictating author.

3.1.3 *confidential*, *adj*—status accorded to data or information indicating that it is sensitive, and therefore, it must be protected against theft, disclosure, or improper use.

3.1.4 *dictate workstation (or dictate station)*, *n*—location with a device for input of voice dictation.

3.1.5 *dictating author*, *n*—one who dictates information to be transcribed, that is, healthcare students and healthcare professionals.

3.1.6 *dictation message (or digital voice file)*, *n*—unit of information that consists of both audio (voice) and its data elements.

3.1.7 *document*, *n*—report in any form (print, electronic, or voice file).

3.1.8 *healthcare environment*, *n*—any facility whose primary purpose is delivery of healthcare, that is, hospital, clinic, physician practice, or multi-campus healthcare system.

3.1.9 *medical transcription*, *n*—process of interpreting and transcribing dictation by physicians and other healthcare professionals regarding patient assessment, workup, therapeutic procedures, clinical course, diagnosis, prognosis, and so forth into readable text to document patient care and facilitate delivery of healthcare services.

3.1.10 *microphone*, *n*—instrument whereby sound waves are caused to generate or modulate an electric current usually for the purpose of transmitting or recording sound (as speech or music).

3.1.11 *microphone element*, *n*—diaphragm of the sound-collecting source of a microphone.

3.1.12 *quality assurance*, *n*—process of review of a healthcare document that will provide adequate confidence that dictated patient care documentation is transcribed in a clear, consistent, accurate, and complete manner.

3.1.13 *quality editor*, *n*—person who performs quality assurance reviews and/or corrections.

3.1.14 *risk management*, *n*—healthcare environment activities that identify, evaluate, reduce, and prevent the risk of injury and loss to patients, visitors, staff, and the healthcare environment itself.

3.1.15 *speech recognition*, *n*—computerized translation of speech to text.

3.1.16 *stat*, *adj*—high priority, or urgent, such as dictation requiring immediate transcription.

3.1.17 *telephony*, *n*—the use or operation of an apparatus for transmission of sounds between widely removed points with or without connecting wires.

3.1.18 *template*, *n*—pattern or guide.

3.1.19 *text*, *n*—main body of printed or written matter.

3.1.20 *transcribe*, *v*—see *medical transcription*.

3.1.21 *turnaround time (TAT)*, *n*—elapsed time beginning with availability of the voice for transcription and ending when the transcribed document is available for authentication (see Guide E 2117).

3.1.22 *unique identifier*, *n*—a number used by only one (1) person that identifies that user.

3.1.23 *voice activation*, *n*—technology that allows recording to begin when dictation message begins.

3.1.24 *voice file*, *n*—digitalized audio portion of a dictation message.

3.2 *Acronyms, Abbreviations, and Short Forms:*

3.2.1 *AAMT*—American Association for Medical Transcription

3.2.2 *HIPAA*—Health Insurance Portability and Accountability Act of 1996<sup>3</sup>

3.2.3 *MR#*—medical record number

3.2.4 *MT*—medical transcriptionist

3.2.5 *QA*—quality assurance

3.2.6 *TAT*—turnaround time

#### 4. Significance and Use

4.1 This document provides guidelines for dictation techniques and environments that contribute to quality documentation, that is:

4.1.1 Educational facilities for the purpose of introducing and training of dictation techniques, and

4.1.2 Healthcare professionals for preferred dictation techniques.

4.2 This document provides recommendations to help create quality documentation for the following reasons:

4.2.1 *Correct Coding for Reimbursement*

4.2.1.1 Reports that require no QA intervention increase efficiency of the reimbursement process and reduce discrepancies for the healthcare environment and healthcare provider.

4.2.2 *Risk Management, Legal, and Peer Review*

4.2.2.1 Reports that require no QA intervention reduce legal exposure for the healthcare environment and the healthcare provider.

4.2.3 *Improved TAT*

4.2.3.1 Reports that require no QA intervention reduce turnaround time, are more cost-effective, and possibly reduce delay in patient care.

4.2.4 *Legislative and Regulatory Compliance*

4.2.4.1 Dictation performed in preferred environments would not compromise patient confidentiality and the patient's right to privacy and would be compliant with legislative and regulatory requirements.

4.2.5 *Continuity of Patient Care*

4.2.5.1 Documents with missing text (blanks) compromise quality. These should be filled in or corrected as directed by the dictating author upon authentication of the report.

4.2.6 *Improved Communication Between Healthcare Professionals*

4.2.6.1 Timely quality documentation can enhance communication within the dynamic healthcare setting. Patient safety may also be improved when transcribed documents are used to replace handwritten documentation by healthcare professionals.

4.3 This document does not address security issues. Refer to Specification E 1902.

#### 5. Dictation and Orientation Principles

5.1 Quality documentation begins with quality dictation. The quality of transcribed documents is dependent in part on the quality of the dictation message.

5.2 Formal orientation within healthcare environments for dictating authors makes the process easier and improves the quality of the dictation message (see Guide E 2117).

5.2.1 All dictating authors should receive training on the dictation processes and the overall documentation within their healthcare environments initially and when changes occur in policies or equipment.

5.2.1.1 Address any regulatory requirements and institutional policies and guidelines for report formats and organization of content.

5.2.1.2 Provide guidelines for report turnaround times and the appropriate use of a stat designation for prioritizing reports.

5.2.1.3 Use only facility-approved abbreviations within the dictating message and avoid the use of other abbreviations, jargon, slang, acronyms, and/or coined terms.

5.2.1.4 Maintain a quiet and secure area for the dictation process (see Specification E 1902). Advise dictating authors to use the designated dictation areas to avoid background noises, distractions, interruptions and confidentiality issues. Advise dictating authors to avoid eating, gum chewing, yawning, smoking, etc., while dictating. Advise dictating authors to avoid side conversations and background distractions such as voices, telephone ringing, and/or music that may obscure the dictation.

5.2.1.5 Advise dictating authors to avoid profanity and/or derogatory, and other inappropriate comments while dictating.

5.2.1.6 Include the feedback system about the dictation process regarding any mechanical, technical, or other problems that may interfere with a clear, complete, and accurate document (see Guide E 2117).

5.2.1.7 Explain policies and procedures for dictating an amended report.

<sup>3</sup> Available from U.S. Government Printing Office Superintendent of Documents, 732 N. Capitol St., NW, Mail Stop: SDE, Washington, DC 20401.

5.3 Use conversational speed and volume for optimal dictation message.

5.4 Instruct dictating authors on the functions of the dictation system used within their healthcare environment. These include, but are not limited to, the following:

5.4.1 Use of the pause mechanism, use of the review mode, use of the insertion mode.

5.4.2 Use of the types of phones used for dictating. Refrain from using speaker phones, portable phones, cell phones, public phones, and other recording devices when within hearing distance of others (see Specification E 1902).

5.4.3 Use of microphone settings to avoid clipped words and phrases, proper distance of microphone and microphone element from mouth.

5.4.4 Use of assigned unique identifier for each dictator to assure appropriate access to dictation system.

5.4.5 Use of appropriate work type identifier for appropriate priority of reports. Use of a stat identifier specifically for stat dictation.

5.4.6 Proper separation and patient identification of individual reports dictated within one session.

5.4.6.1 One separate dictation for each completed document separating different patients as well as the same patient with a different procedure or report type (See Note 1).

NOTE 1—This reduces misfiled information, which may result in re-dictation.

### 5.5 Report Types and Format of Contents

5.5.1 Use standardized headings or templates or both (refer to Specification E 2184).

5.5.2 For optimal memory recall, perform dictation in a timely manner from the patient encounter.

5.5.3 Have all pertinent information available during time of dictation.

5.5.4 Provide any special instructions at the beginning of dictation.

5.5.5 At the beginning of each dictation, state dictating author name and number, patient name or number or both, type/title of report, appropriate dates, and any other information pertinent to the healthcare record as required by environment.

5.5.6 Provide complete names, addresses, and courtesy copy information.

5.5.7 Provide correct spelling for new or unusual terminology and all names.

### 5.6 Confidentiality and Security

5.6.1 Dictate only in an environment that will maintain patient confidentiality and security of healthcare information in compliance with legislative and regulatory requirements (see Specification E 1902).

5.6.2 Avoid the use of any patient-identifying information within the text of the report (see Specification E 1902).

### 5.7 Unique Identifiers

5.7.1 Each individual authorized to dictate shall use unique identifiers to assure appropriate dictation system access (see Specification E 1902).

5.7.2 Document procedures to disable access for persons no longer authorized to use the dictation system.

5.7.3 An identifier serves as a permanent record and should not be reassigned to another individual.

## 6. Mechanisms to Capture Dictation

6.1 Dictating authors may use one or more of several different methods and should be familiar with the equipment they use including handling, storage, and security.

### 6.1.1 Analog

6.1.1.1 Store in protective case with appropriate labeling.

6.1.1.2 Erase tapes before using again.

6.1.1.3 Replace tapes every three months to avoid breakage and reduced recording quality.

6.1.1.4 Safeguard tapes with dictation to assure confidentiality and privacy of patient information (see Specification E 1902).

6.1.1.5 Refrain from using the voice-activated equipment.

6.1.1.6 Use the correct tape speed (4.8 for standard size recorders, 2.4 for microcassettes).

6.1.1.7 Store tapes in a secure environment to ensure unauthorized access is avoided.

6.1.1.8 Refrain from the use of conference mode for sensitivity issues.

6.1.1.9 Always begin dictation at the beginning of side A and indicate if side B is used.

6.1.1.10 Indicate end of dictation.

6.1.1.11 Tapes greater in length than 60 min (30 min each side) compromise TAT and quality.

6.1.1.12 Keep tapes away from extreme temperatures, magnets, abusive handling, etc.

6.1.1.13 Deliver tapes with dictation in a timely and secure manner.

### 6.1.2 Digital

#### 6.1.2.1 Telephony-based Systems

(1) Correctly key in appropriate numbers, which are essential for retrieval, TAT, editing, review, etc.

(2) Be aware of connection quality and refrain from using static lines for optimal sound quality.

(3) Cell phones and portable phones should be avoided when within hearing distance of others (see Specification E 1902).

(4) Indicate end of dictation.

(5) Complete dictation in timely and secure manner.

#### 6.1.2.2 Hand-held Digital Systems

(1) Correctly key in appropriate numbers, which are essential for retrieval, TAT, editing, review, etc.

(2) Safeguard units with dictation to assure confidentiality and privacy of patient information.

(3) Refrain from using the voice-activated devices.

(4) Indicate end of dictation.

(5) Transfer voice files in a timely and secure manner.

### 6.1.3 Speech Recognition Systems

6.1.3.1 Correctly key in appropriate numbers, which are essential for retrieval, TAT, editing, review, etc.

6.1.3.2 Be aware of microphone placement and connection quality for optimal sound quality. Use noise-canceling microphones.

6.1.3.3 Recording devices should be avoided when within hearing distance of others (see Specification E 1902).

6.1.3.4 Refrain from using the voice-activated devices.

6.1.3.5 Indicate end of dictation.

6.1.3.6 Transfer or complete voice files in a timely and secure manner.

## 7. Keywords

7.1 analog; blanks; confidential; dictate; dictating author; dictation; digital; healthcare documentation; medical transcription; quality assurance; risk management; speech recognition; turnaround time (TAT); voice activation

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