

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 500.50.03	Page 1 of 8
	Original Effective Date: 01/15/03	New Effective Date: 12/05/12
	Supersedes: BHS500:03	Dated: 04/15/07
	Administrator's Approval: Cathy A. Jess, Administrator	
Required Posting or Restricted:		
<input checked="" type="checkbox"/> Inmate <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted		
Chapter: 500 Health Services		
Subject: Establishing Additional Components of Health Care Record		

POLICY

The Division of Adult Institutions will maintain all components of the Health Care Record at a reasonable size to enable ease in filing and in good physical condition to prevent loss of documents. This applies to all components including the Medical Chart, Dental Record, Medications Record envelope, Psychological Records envelope, Patient Request Folder and Psychological Services Unit Record.

REFERENCES

DAI Policy 500.50.02 – Health Care Record Format, Content and Documentation

DAI Policy 500.70.11 – Psychological Services Unit Record

Health Services Policy and Procedure 500:07 – Records Retention/Disposition Authorizations

Health Services Policy and Procedure 500:02.01 – Short Term Inmate Admission Health Care Record

Health Services Policy and Procedure 500:02.03 – Hemodialysis Record

DEFINITIONS, ACRONYMS AND FORMS

CMR – Central Medical Records

DAI – Division of Adult Institutions

DCI – Dodge Correctional Institution

Dental Services Record (DSR) – Standard single pocket jacket or multi-section chart into which designated documents are filed relating to dental services; DOC-3041(males) and DOC-3041A (females).

DOC – Department of Corrections

DOC-3041 – Dental Jacket – Male

DOC-3041A – Dental Jacket – Female

DOC-3370A – Psychological Services Unit Record – PSU Envelope

DOC-3370C – Psychological Services Unit Record – Female

EKG – Electrocardiogram

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MRI – Magnetic resonance imaging

Health Care Record (HCR) – Official confidential DOC record created and maintained for each patient consisting of all or some of the following components: gray/green Medical Chart, orange STIA Medical Chart, Hemodialysis Chart, Dental Services Record, Psychological Records-Copies envelope, Medications Record envelope, Patient Request Folder, Psychological Services Unit Record, and other components as defined by the Bureau of Health Services.

Hemodialysis Chart – Component of a HCR consisting of a set of red chart covers and a standard set of dividers maintained in accordance with DAI Policy 500.50.02.

HIV – Human immunodeficiency virus

HSR – Health Service Request

HS P/P – Health Services Policy and Procedure

HSU – Health Services Unit

IWMR – Inactive Women’s Medical Records

Medical Chart – Component of a HCR consisting of a set of gray/green or orange STIA chart covers and a standard set of dividers maintained in accordance with DAI Policy 500.50.02.

Medications Record – Blue envelope kept in the back of a DAI or DJC Medical Chart; DOC-3469 (males) and DOC-3469A (females)

Patient Request Folder – Standard manila folder into which forms used by patients to communicate with the Health Services Units are filed.

PRF – Patient Request Folder

Psychological Services-Copies – white envelope kept in the back of a DAI Medical Chart that contains copies of certain documents created by PSU staff; DOC-3470 (males) and DOC-3470B (females).

Psychological Services Unit (PSU) Record – Record maintained in the Psychological Services Unit at a DAI facility that contains documents related to the delivery of mental health services by psychologists; yellow envelope DOC-3470A (males) and DOC-3470C (females), or green multi-sectioned hard cover chart.

Short-term inmate admission (STIA) Chart – Orange colored Medical Chart with standard set of dividers maintained for a patient with a short term admission to a DOC facility maintained in accordance with DAI Policy 500.50.02.

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TCI – Taycheedah Correctional Institution

Yellow Indexing Tab – Yellow divider with a tab that states the admission and release dates for a period of incarceration that is filed in a Medical Chart before the documents relating to that period of incarceration.

PROCEDURES

I. Medical Chart and Hemodialysis Chart

- A. Determine need to establish a new chart volume
 1. When a Medical or Hemodialysis Chart volume reaches about 2 1/2 inches in thickness, the designated staff person shall set up a new volume per the instructions below. This applies to HSUs during incarceration, Hemodialysis units and to CMR/IWMR upon readmission of a former inmate.
 2. Note that new chart covers shall be used if the covers become torn or significantly bent. New prongs shall be inserted in the Chart if they are no longer straight and do not permit easy filing of documents.
- B. Prepare the Medical Chart covers for the new volume
 1. Obtain from the HSU supply, or from CMR, a new set of Medical Chart covers and two name labels.
 2. Type the patient's name, DOC number and date of birth on the new name labels as they appear on the current Medical Chart volume after verifying that the name label contains correct information. See DAI Policy 500.50.02 – Attachment 3.
 3. Place the name labels on the back cover: one on the right side of the top tab and the top of the wide tab. See DAI Policy 500.50.02 – Attachment 3.
 4. Affix alphabetic labels for first two letters of the last name to the new volume Medical Chart cover. For the last name beginning with "Sch", affix all 3 letters.
 5. Affix the stickers to the outside front cover of the new cover that appear on the old volume cover including only the following:
 - a. DNR.
 - b. Advance Directive.
 - c. Medical Alert.
 - d. Name Alert.
 - e. Does not Speak English.
 - f. Patient Has A Blue Infirmary Chart.
 - g. Patient has a Red Hemodialysis Chart.
 - h. Temporary File or Multi-Volume.
 - i. Note: Stickers with PHI shall not be placed on the outside cover.
 6. Affix the label containing PHI to inside of front cover of the new volume that appear on the old cover. Place a Medical Alert label on the front cover.

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7. Affix a “Vol. ___ of ___ “ label on the front outside cover of each volume. Write the appropriate numbers in the blanks in pencil so they can be changed as volumes are added and/or destroyed. For example, a two-volume HCR would include Vol. 1 of 2 and Vol. 2 of 2.
- C. Take apart the “old” volume (volume that reached capacity)
1. Remove or obliterate with a permanent marker all stickers containing PHI from the outside cover of the old Chart cover and replace with stickers on the inside front cover.
 2. Open the prongs and pull apart the “old” volume.
 3. Process each section of the Chart as described below.
 - a. Follow DAI Policy 500.50.02 – Attachment 1/1A, to ensure documents are filed properly.
 - i. Move documents that should not be filed in a section to the proper section.
 - ii. File documents in the proper order within each section.
 - iii. If a document is in the Chart, but not listed in Attachments, consult with CMR/IWMR or Health Information Supervisor.
 - b. Remove and place in the new volume the dividers and all documents as described below in proper order per DAI Policy 500.50.02 – Attachment 1 and 1A.
 - i. Documents filed before Problem List Divider such as sheets of name labels, Signature Verification sheets and legal documents.
 - ii. Problem List.
 - iii. Patient Care Plan.
 - iv. Database.
 - v. Consents/Refusals.
 - vi. Optical.
 - c. Determine the timeframe for the new volume:
 - i. Six or 12 months prior to date of making new volume.
 - ii. Select the six or 12 months timeframe so that no section exceeds ½ inch.
 - iii. Use the selected timeframe consistently every section.
 - d. Place behind the dividers for the new volume all documents, within the selected timeframe, from the following sections:
 - i. Progress Notes.
 - ii. Prescriber Orders.
 - iii. Consultations.
 - iv. Psychiatric Services.
 - v. Laboratory Results. Place in new volume, the most recent HIV test results and Hepatitis C results report regardless of date, and file in the back of the section of the new volume.
 - vi. Medical Imaging. Place in new volume, most current sleep study, EKG, MRI and mammogram reports regardless of date.
 - vii. Flow Sheets.
 - viii. Medications.

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- ix. Miscellaneous.
- x. Correspondence.
- e. File all remaining documents in the old volume, keeping chart order in mind.
- f. Yellow indexing tab(s) for prior incarceration:
 - i. Review the dates entered on the yellow indexing tab(s).
 - ii. If the release date on a tab is more than 11 years prior to the current date and your facility has space issues, consult the Health Information Supervisor for permission and directions on destructions of documents.
- 4. Specialty Envelopes/Folder: Remove the Medications Record (blue envelope), Patient Request Folder (manila folder) and Psychological Records (Copies) (white envelope) from the back of the "old" Chart volume for placement in the new Chart volume.
 - a. If more than one volume of a particular type of envelope exists, move only the current one to the new chart volume leaving the older one in the old Chart volume. For example, if there are two Medications Record envelopes, leave Volume 1 of 2 in the back of the old Chart volume and move Volume 2 of 2 of the Medications Record to the back of the new Chart volume.
 - b. The instructions under "a." Also apply to the Psychological Records (white) envelope and Patient Request Folder.
- 5. Tight File Dividers and Documents in New Volume of Medical Chart
- D. Shelf all Chart volumes together (whenever possible)
 - 1. Shelf all Medical Chart volumes relating to an individual together, rather than separating them on different shelving units, whenever possible.
 - 2. Retrieve all volumes upon transfer of a patient to another facility, or upon release to the community, death or escape being sure to check all locations of Chart volumes.
 - 3. Note that an HSU may not have all volumes of a multi-volume Medical Chart. As of 2011, the reception facilities, primarily DCI and TCI, retain in storage the oldest Chart volumes when a patient has four or more volumes and send only the most recent three volumes upon transfer from DCI/TCI to another facility.

II. Medications and Psychological Services (Copies) Envelopes

- A. Create a new envelope at the following times:
 - 1. Envelope becomes too full to easily remove/insert documents so that an additional envelope is needed.
 - 2. Envelope becomes worn or torn requiring a new envelope to properly contain documents.

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- B. Affix a printed approved name label with DOC number and DOB to the appropriate location on the new envelope. See DAI Policy 500.50.02 – Attachment 3, for instructions regarding labels.
- C. Destroy the worn/torn envelope that will no longer be used.
- D. When more than one envelope will be used, label in pencil the first envelope 1 of 2 and the second envelope 2 of 2.

III. PRF

- A. When a PRF reaches capacity, create a new PRF by obtaining an approved folder and name label. See DAI Policy 500.50.02 – Attachment 2, for ordering information.
- B. Affix an approved name label to the upper right corner of the PRF. See DAI Policy 500.50.02 – Attachment 3 to create labels.
- C. Label the first PRF as 1 of 2, and second folder as 2 of 2, in pencil.
- D. On a regular schedule of every 60 to 90 days, remove all but the last four months of forms from the PRF and send them to the contracted outside scanning vendor. See DAI Policy 500.50.02 – Attachment 4 for instructions.

IV. Dental Records

Designated Dental Unit staff shall set up a new multi-section chart when an existing single pocket jacket becomes full or is in poor condition, or when an existing multi-section chart reaches capacity. No patient should have more than one pocket style Dental Record.

- A. Affix an approved name/DOC label on the new DOC-3041/3041A multi-sectioned chart. See DAI Policy 500.50.02 – Attachment 3 for information regarding labels.
- B. Affix a “Vol. ___ of ___ “ label on front of the existing (old) jacket/chart and new multi-chart chart. Write the appropriate numbers in pencil on each jacket/chart so they can be changed as volumes are added and/or destroyed. For example, a two-volume Dental Record would include jackets/charts labeled Vol. 1 of 2 and Vol. 2 of 2.
- C. File the most recent six months of documents in the new multi-section chart leaving the documents dated more than six months prior to the establishment of the new volume in the “old” multi-section Dental Record.
- D. File x-rays less than three years old in the new multi-section chart.

V. PSU Record

- A. When a yellow envelope, DOC-3370A/3370C, becomes too full to easily file new documents and/or retrieve existing documents, or because the inmate

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patient is coded a MH-2 (seriously mentally ill), or is transferring to the Wisconsin Resource Center/Women's Wisconsin Resource Center, convert the PSU Record to a multi-section hard cover chart. See also DAI Policy 500.70.11 for additional guidance.

1. File all documents from the PSU Record yellow envelope into the designated sections of the hard-cover PSU Record in accordance with this policy at Attachment 1 or 1A.
 2. Destroy the envelope unless it can be reused by placing a name label over the existing label.
- B. Establish a second or subsequent new volume of a hard-cover multi-section PSU Record when one or more sections of the PSU Record become too full to add documents to the prongs.
1. File in the appropriate sections of the new volume documents from the past six months.
 2. Leave in the old volume documents older than the past six months.

Bureau of Health Services: _____ **Date Signed:** _____
James Greer, Director

_____ **Date Signed:** _____
Dr. David Burnett, Medical Director

_____ **Date Signed:** _____
Mary Muse, Nursing Director

Administrator's Approval: _____ **Date Signed:** _____
Cathy A. Jess, Administrator

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
Original Effective Date:	DAI Policy Number: 500.50.03	Page 8 of 8
New Effective Date: 00/00/00	Supersedes Number:	Dated:
Chapter: 500 Health Services		
Subject: Establishing Additional Components of Health Care Record		
Will Implement <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval:		

REFERENCES**DEFINITIONS, ACRONYMS, AND FORMS****FACILITY PROCEDURE**

I.

- A.
- B.
 - 1.
 - 2.
 - a.
 - b.
 - c.
 - 3.
- C.

II.

III.

RESPONSIBILITY

I. Staff

II. Inmate

III. Other