

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 500.50.06	Page 1 of 11
	Original Effective Date: 09/23/93	New Effective Date: 10/31/14
	Supersedes: 500.50.06	Dated: 12/12/12
	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: Management of DOC Health Care Records		

POLICY

The Division of Adult Institutions shall ensure an inmate patient's Health Care Record is readily available to health professionals for all health encounters to ensure continuity of care during incarceration and upon movement between DOC facilities. It shall be reactivated upon readmission, and retained in compliance with applicable laws upon release, escape or death.

REFERENCES

Standards for Health Services in Prisons, National Commission on Correctional Health Care, 2014, P-H-03 – Management of Health Records
DAI Policy 300.00.09 – Death of an Inmate
DAI Policy 500.30.06 – Transfer of Inmate Patient
DAI Policy 500.50.02 – Health Care Record Format, Content and Documentation
DAI Policy 500.50.01 – Minimum Necessary and Duty to Mitigate HIPAA Standards
DAI Policy 500.50.22 – Search Procedures for Missing Active Health Care Records and Creation of Replacement Records
DAI Policy 500.70.08 – Wisconsin Resource Center Transfers
Attachment A – Movement of HCR Checklist

DEFINITIONS, ACRONYMS AND FORMS

Active Health Care Record – Health Care Record relating to an inmate patient residing in a DOC correctional facility.

BHS – Bureau of Health Services

Central Medical Records (CMR) – Unit at DCI that sets up new HCRs, stores all inactive HCRs, reactivates HCRs, responds to requests for information from inactive DAI HCRs, and destroys HCRs relating to males in accordance with legal requirements.

DAI – Division of Adult Institutions

DCI – Dodge Correctional Institution

DHS – Department of Health Services

DOC-2077 – Health Transfer Summary

DOC-3001 – Offsite Service Request and Report

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DOC-3003 – Health Summary

DOC-3026 – Medication/Treatment Record

DOC-3034 – Inmate patient Medication Profile (hard card)

DOC-3351 – Record Transfer Verification

DOC-3532 – Transfer Screening

DOC-3726 – WRC/WWRC Medical Clearance

DSU – Dental Services Unit

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

Health Services Manager (HSM) – Management level employee in charge of the HSU.

Health Services Unit (HSU) – Work unit that includes the physicians, dentists, nurses and support staff who provide health care services to a inmate patient residing in a DAI correctional institution and contracted agency health care providers at DAI correctional centers.

HIPAA – Health Insurance Portability and Accountability Act

Inactive Health Care Record – HCR relating to a male previously incarcerated in a DAI facility stored at CMR at DCI, a HCR relating to a female previously incarcerated in a DAI facility stored at Inactive Women's Medical Records at Taycheedah Correctional Institution.

Inactive Women's Medical Records (IWMR) – Unit at Taycheedah Correctional Institution that performs the same tasks for DAI HCRs for females as CMR does for HCRs for males.

Out Guide – Plastic sheet inserted on a shelf in the place from which a file has been removed used as a method of tracking the location of a HCR.

MMHI – Mendota Mental Health Institute

Inmate patient – Individual who receives health care services from a health care provider.

PRF – Inmate patient Request Folder

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Psychological Services Unit (PSU) – Work unit that includes the psychologists and support staff who provide psychological services to a inmate patient residing in a correctional institution.

SCCC – St. Croix Correctional Center

STIA – Short-term Inmate Admission

TCI – Taycheedah Correctional Institution

WICS – Wisconsin Integrated Corrections System

WMHI – Winnebago Mental Health Institute

WRC – Wisconsin Resource Center

WWRC – Wisconsin Women’s Resource Center

PROCEDURES

I. Access to HCR During Incarceration

- A. The HSU at each facility shall maintain and make readily available to health professionals for inmate patient encounters the Medical Chart, Medications Record envelope (for inmate patients taking medications), Psychological Records (copies) envelope and the Inmate patient Request Folder.
- B. The DSU at each facility shall maintain and make readily available to health professionals the Dental Services Record for inmate patient encounters.
- C. The PSU at each facility shall maintain and make readily available the PSU Record to health professionals for inmate patient encounters.

II. General Instructions

- A. HSU, DSU and PSU at each facility shall develop procedures for efficient, prompt and confidential movement of the entire HCR upon transfer between DOC institutions/centers and to the Wisconsin Resource Center/Wisconsin Women’s Resource Center to ensure continuity of care and notification of critical and chronic health needs of the inmate patient.
- B. HSU, DSU and PSU at each facility shall develop procedures for efficient prompt and confidential movement of the entire HCR to CMR or IWMR for storage upon release, transfer to federal jurisdiction, placement out-of-state or escape of a inmate patient.
- C. HSU, DSU and PSU at each facility shall develop procedures for efficient, prompt and confidential movement of the entire HCR to BHS Central Office the next business day following a death.

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III. Sending Facility: Transfer of Inmate Patient to a DOC Facility or to WRC/WWRC

A. Sending HSU shall:

1. Each HSU shall maintain an adequate supply of BHS approved records transfer and medications bags by ordering the records transfer bags from DCI Primary Care and the medication bags from DCI Pharmacy. MSDF purchases bags separately.
2. Drop-file the most recent DOC-3034 – Inmate patient Medication Profile in the front of the Medical Chart.
3. Retrieve the current DOC-3026 – Medication/Treatment Record, and place in the medications bag with the medications.
4. Check appointment log and place current DOC-3001 – Offsite Service Request and Report, if any, in front of the Medical Chart (gray/green or orange) and verbally notify the receiving facility health staff of any scheduled off-site appointments.
5. Retrieve and file all loose documents (e.g., flow sheets, medication records, off-site consultations) in appropriate sections of the Medical Chart and specialty envelopes/records. If transfer occurs suddenly, documents may be drop filed in front of Chart. No documents should remain at sending facility.
6. See Attachment A – Movement of HCR Checklist. Follow all steps listed on the Attachment.
7. An HSU may not have all volumes of a multi-volume Medical Chart. As of 2011, CMR/IWMMR retains in storage the oldest chart volumes when a inmate patient has four or more volumes, resulting in HSUs only having the most recent three volumes.

B. Sending PSU shall:

1. Ensure all loose documents are filed properly in the PSU Record.
2. Enter the date of the transfer on PSU Record (on lines on yellow envelope or on front cover of multi-section hard cover) if PSU staff is on-site at the time of the transfer.

C. Sending DSU shall:

1. Ensure all loose documents are filed properly in the Dental Record.
2. Enter the date of the transfer on the outside of the Dental Record if DSU staff is on-site at the time of the transfer.

D. Packing the Record Transfer Bag and Medications Bag on Day of Transfer

1. Place all components of an inmate patient's HCR in a Record Transfer bag and lock it as required to ensure confidentiality of the information; one HCR per bag.
2. Label each bag with the DOC-3351 – Record Transfer Verification indicating which components of the HCR are enclosed and the sending/receiving locations.
3. Place the current DOC-3026 – Medication Treatment Record used at the facility and medications in the Medications Bag, not the Record Transfer

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- bag, for a inmate patient being transferred to another correctional facility. Do not place the Medications bag inside the Record Transfer bag.
4. Pack up inmate patient's medical equipment for movement to receiving facility.
 5. For transfer to DCI for temporary hold or for Assessment and Evaluation, send HCR to:
Primary Care
Dodge Correctional Institution
1 West Lincoln Street
P.O Box 661
Waupun, WI 53963-0661
 6. For transfer to DCI Infirmery, send the HCR to the address above, but address to "Infirmery", rather than "Primary Care":
- E. If the HCR does not accompany the inmate patient at the time of transfer to a DAI facility, or WRC/WWRC, HSU shall:
1. Complete the DOC-2077 – Health Transfer Summary and fax to the receiving facility on the day of transfer.
 2. Send all components of HCR within 24 hours via overnight mail or via DOC transport. Using UPS/USPS tracking
- F. Sending facility shall provide the transporting officer with only the minimum protected health information necessary for the health and safety of the inmate patient and officer. Officers are required to follow standard precautions at all times. See DAI Policy 500.50.01.

IV. Receiving Facility: Transfer of Inmate Patient to a DOC Facility or to WRC/WWRC

- A. Complete the appropriate sections of the DOC-3532 – Transfer Screening or DOC-3726 – WRC/WWRC Medical Clearance per DAI Policy 500.70.08.
- B. DSU shall write the date of transfer, and the name of receiving facility on the outside of the Dental Record, if not done by sending facility.
- C. PSU shall write the date of transfer, and the name of receiving facility on the outside of the yellow envelope or multi-section PSU Record, if not done by sending facility.
- D. Verify all components of the HCR have been received, and contact the sending institution/center as soon as possible if some components did not arrive with the inmate patient. Vital information to the proper care of the inmate patient may be contained in the missing records.
 1. Contact the HSU, DSU and/or PSU of the sending facility to request that missing component(s) of the HCR be sent immediately. 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 an inmate patient has four or more volumes and

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send only the most recent three volumes upon transfer from DCI/TCI to another facility.

2. See DAI Policy 500.50.22 for steps to take to search for missing HCRs and to create replacement records if search is unsuccessful.
3. HSUs/PSUs shall notify CMR regarding changes in staffing and/or telephone numbers by emailing the CMR mailbox: DOC DAI DCI Central Medical Records.
4. CMR will update distribution list upon receiving notification of changes.

V. Temporary Transfer of Inmate patient to County Jail

A. Out to Court

Upon notice of a temporary transfer of a inmate patient to a county jail (generally for a court appearance), the HSU shall complete the statutorily required DOC-2077 – Health Transfer Summary that identifies critical and chronic health needs of the inmate patient.

B. Placement in temporary lock-up from a correctional center to a county jail:

1. When a nurse is available at the time of the transfer, the nurse shall:
 - a. Gather together and place all parts of the HCR (all volumes of Medical Chart, Dental Record, envelopes (white and blue) kept in the back of the Chart, Inmate patient Request Folder, DOC-3034 – Inmate patient Medication Profile and PSU Record) in a locked records bag addressed to the county jail nurse using a DOC-3351 – Record Transfer Verification.
 - b. Retrieve inmate patient's medications for transfer with the inmate patient.
2. When a nurse is not available at the time of the transfer, an officer shall do the tasks under sub-section 1.a and 1.b. above, except the officer only gathers the staff controlled medications and keep-on-person medications in the possession of the inmate.
3. Note that for transfers to county jail from SCCC, the nurse shall complete a DOC-2077 – Health Transfer Summary, place it in a sealed envelope addressed to the jail nurse, and insert it in the outside pocket of the sealed blue Records Bag.
4. If, after the transfer, center staff finds that any part of the HCR did not transfer with the inmate patient, or the jail contacts the center for a missing part of the HCR, the center shall send the part(s) immediately.
5. Upon transfer of the inmate patient from the county jail back to a DAI facility, the transporting officer shall ensure the entire HCR is retrieved from the jail.

VI. Release, Transfer to Federal Jurisdiction or Out-of State or Escape of an Inmate Patient

A. HSU shall:

1. Complete, copy and file the original DOC-3003 – Health Summary (except for escape) in the Correspondence Section of the Medical Chart.

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- a. If someone other than a registered nurse completes the DOC-3003, a registered nurse must review and co-sign DOC-3003.
 - b. Provide a photocopy of the DOC-3003 to the inmate patient upon release, or to a federal transporting officer in a sealed envelope, addressed to the health services staff at the receiving federal facility.
 2. Upon notice an inmate patient is moving to an out of state or federal correctional facility, the HSU shall provide requested health information to the receiving facility in accordance with Wisconsin and federal confidentiality laws if the request is received prior to the movement of the HCR to CMR/IWMR.
 3. Retrieve and file all loose documents (e.g., flow sheets, medication records, off-site consultations) in appropriate sections of the Medical Chart and specialty envelopes/records. If transfer occurs suddenly, documents may be drop filed in front of Chart. No documents shall remain at sending facility.
 4. Retrieve Medication Administration Records if stored on housing units
 5. Follow all steps on Attachment A of this policy.
 6. Write in pencil the date of release on the outside of the Medical Chart (gray or orange) in the upper right corner when chart is in horizontal position. Write in pencil the date of the movement or escape of the inmate patient on the outside of the Medical Chart (gray or orange) in the upper right corner when chart is in horizontal position.
 7. Send the entire HCR to CMR/IWMR within one week of the movement of the inmate patient, including components of HCR maintained by HSU, DSU and PSU.
 8. Respond promptly to emails sent by CMR/IWMR regarding all or parts of a HCR not received by CMR/IWMR in a timely manner upon movement of the inmate patient under this section. See Section IX below.
- B. Releasing PSU shall:
1. Ensure all loose documents are filed properly in the PSU Record.
 2. Enter the date of date release, transfer to federal jurisdiction/out-of-state, or escape, on PSU Record (on lines on yellow envelope or on front cover of multi-section hard cover.)
 3. Deliver PSU Record to HSU in a timely manner to permit transfer of HCR to CMR/IWMR within one week of the release of the inmate patient.
 4. Respond promptly to emails sent by CMR/IWMR regarding all or parts of a HCR not received by CMR/IWMR in a timely manner upon movement of the inmate patient under this section. See Section IX below.
- C. Releasing DSU shall:
1. Enter the date of release, transfer to federal jurisdiction or escape on lines on front of single pocket record or on cover of multi-section hard cover chart.
 2. Ensure all loose documents are filed properly in the Dental Record.
 3. Deliver the Dental Record to the HSU in a timely manner to permit transfer of HCR to CMR/IWMR within one week.

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4. Respond promptly to emails sent by CMR/IWMR regarding all or parts of a HCR not received by CMR/IWMR in a timely manner upon movement of the inmate patient under this section. See Section IX below.

D. Physical movement of HCR to CMR/IWMR

1. Ensure the movement of the entire HCR within one week of the movement or escape of the inmate patient out of the facility.
2. More than one HCR may be placed in a sealed bag, envelope or box. Seal securely and use only sturdy boxes/envelopes.
3. Always include name/address of sending facility on outside of bag/box.
4. HCR regarding a Male
 - a. Place all the components of a HCR for each inmate patient inside the Medical Chart or rubber band together all the components for each inmate patient.
 - b. Send to CMR within one week, whenever possible, via US mail, an approved commercial mail service or via DOC transport addressed as shown below. Do not send to HSU/Primary Care.
Dodge Correctional Institution
Central Medical Records
1 West Lincoln Street
P.O Box 661
Waupun, WI 53963-0661
5. HCR regarding a female:
 - a. Place all the components of a HCR for each inmate patient inside the Medical Chart or rubber band together all the components for each inmate patient.
 - b. Send to IWMR within one week, whenever possible, via US mail, an approved commercial mail service or via DOC transport addressed as follows: Do not send to the HSU.
Taycheedah Correctional Institution
Inactive Women's Medical Records
751 Cty Rd KPO
Box 1947
Fond du Lac, WI 54936-1947

VII. Tracking of HCRs sent to CMR/IWMR

- A. In order to track receipt of HCRs, CMR/IWMR uses an electronic tracking system that does the following:
 1. Records receipt of volumes of Medical Charts.
 2. Records receipt of the PRF.
 3. Records receipt of the Dental Record.
 4. Records receipt of the PSU Record.
 5. Sends emails with reports attached to releasing facilities on the 1st and 3rd Monday of each month, respectively, informing the facility of the name, DOC number and date of release of inmate patients for whom CMR/IWMR has not received identified parts of the HCR when at least 10 days have passed since the release date.

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- a. To HSUs about missing Medical Charts and PRFs.
 - b. To DSUs about missing Dental Records.
 - c. To PSUs about missing PSU Records.
 6. Send emails with reports attached to all facilities on the 4th Monday of each month, informing them to search for missing parts of HCRs for inmate patients who released more than 30 days ago.
 - a. To HSUs about missing Medical Charts and PRFs.
 - b. To DSUs about missing Dental Records.
 - c. To PSUs about missing PSU Records.
 7. Individual CMR/IWMR staff person may send an email from their personal mailboxes to request to a releasing facility for the parts of the HCR not received at CMR/IWMR.
- B. The 10 day reports ask facilities to follow directions in responding to the report (not the 30 day report):
1. Open the report and highlight inmate patient names that were found.
 2. Save report to designated folder.
 3. Click file from the menu bar and choose "Send to>Mail Recipient".
 4. CMR at mailbox: DOCDALDCICentralMedicalRecords@wi.gov or email IWMR at mailbox: DOCDALTCIInactiveWomen'sMedicalRecords@wi.gov after completion of their search for the missing records.
- C. This enables CMR/IWMR to track that facilities have received the records request and have looked for the record. CMR/IWMR will generate system-wide tracking reports for the Bureau Director and Wardens for quality assurance purposes.
- D. No responses to reports sent by email will result in a second notice generated seven days after first notice.
- E. No response after seven days to the second request report will result in a notice from the Health Information Supervisor/HIPAA Compliance Officer.
- F. Adding or deleting staff members from receiving these reports can be emailed to DOCDALDCICentralMedicalRecords@wi.gov for male facilities or DOCDALTCIInactiveWomen'sMedicalRecords@wi.gov for female facilities.
- VIII. Readmission of an Inmate Patient**
- A. Upon notice of a pending admission, CMR/IWMR shall retrieve the HCR for an inmate patient with a prior stay in a DOC facility, reactivate the HCR, and provide it to the HSU, DSU and PSU on the day of admission.
 - B. If the HCR has been destroyed, CMR or TCI HSU shall establish a new HCR for an inmate patient being readmitted.

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IX. Death of a DAI Inmate Patient in a DAI Facility: See DAI Policy 300.00.09.

X. Summary of Location of HCR

LOCATION OF HCR DURING INCARCERATION AND UPON TRANSFER, RELEASE ESCAPE OR DEATH OF AN INMATE PATIENT	
LOCATION OF INMATE PATIENT	LOCATION OF HEALTH CARE RECORD
DAI Facility	DAI Facility
WRC/WWRC	WRC/WWRC
County jail contract bed	County jail
County jail – court appearance	Remains at sending DAI facility
County jail – temporary lock-up (transfer from a correctional center)	County jail
Hospital Emergency Room visit	Remains at sending DAI facility
Mendota or Winnebago Mental Health Institute for evaluation	Remains at sending DAI facility
Ch. 51 commitment at MMHI/WMHI	CMR/IWMR
Ch. 980 commitment to DHS at Sandridge	CMR/IWMR
Transfer to federal jurisdiction/Interstate Compact	CMR/IWMR
Escape	CMR/IWMR
Release to the community	CMR/IWMR
Death	Facility sends HCR to BHS CO for COIYD review. BHS CO sends HCR to CMR/IWMR after completion of COIYD review.

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

_____ **Date Signed:** _____
Ryan Holzmacher, MD, 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: 500.50.06	Page 11 of 11
New Effective Date: 00/00/00	Supersedes Number:	Dated:
Chapter: 500 Health Services		
Subject: Management of DOC Health Care Records		
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.
 - 1.
 - a.
 - B.
 - C.
- II.
 - A.
 - B.
 - C.