

 <p style="text-align: center;"><b>DIVISION OF ADULT INSTITUTIONS</b></p> <p style="text-align: center;"><b>POLICY AND PROCEDURES</b></p>	<b>DAI Policy #:</b> 500.50.06	<b>Page</b> 1 of 10
	<b>Original Effective Date:</b> 09/23/93	<b>New Effective Date:</b> 01/11/21
	<b>Supersedes:</b> 500.50.06	<b>Dated:</b> 10/31/14
	<b>Administrator's Approval:</b> Makda Fessahaye, Administrator	
<b>Required Posting or Restricted:</b>		
<input checked="" type="checkbox"/> <b>Inmate</b> <input checked="" type="checkbox"/> <b>All Staff</b> <input type="checkbox"/> <b>Restricted</b>		
<b>Chapter:</b> 500 Health Services		
<b>Subject:</b> Management of DOC Health Care Records		

## POLICY

The Division of Adult Institutions shall ensure a 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, Essential 2018, P-A-08 Health Records

DAI Policy 300.00.09 – Death of an Inmate

DAI Policy 500.30.06 – Transfer of 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

Wis. Statutes s. 302.38 – Medical Care of Prisoners

## DEFINITIONS, ACRONYMS AND FORMS

Active Health Care Record – Health Care Record relating to a 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

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DOC-3001 – Offsite Service Request and Report

DOC-3003 – Health Summary

DOC-3026 – Medication/Treatment Record

DOC-3034 – 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 patient consisting of all or some of the following components Medical Chart, Dental 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.

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 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.

Medication Administered Record (MAR)

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MMHI – Mendota Mental Health Institute

PRF – Patient Request Folder

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

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 method of recording entries in the healthcare record (HCR), contents and format are approved by the responsible health authority (RHA) or designee.
- B. The HSU, PSU, and DSU at each facility shall maintain the HCR for and make readily available to health professionals for 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 facilities and to the Wisconsin Resource Center (WRC) or Wisconsin Women’s Resource Center (WWRC) to ensure continuity of care and notification of critical and chronic health needs of the 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 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.

### **III. Sending Facility: Transfer of 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

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DCI Primary Care and the medication bags from DCI Pharmacy. MSDF purchases bags separately.

2. Print out the most recent Medication Administered Record (MAR) and place in the medication bag along with any medications
  3. Check appointment list for future appointments and verbally notify the receiving facility health staff of any scheduled off-site appointments.
  4. Retrieve and scan all loose documents (e.g., flow sheets, medication records, off-site consultations) in appropriate sections of the No documents should remain at sending facility.
  5. See Attachment A – Movement of HCR Checklist. Follow all steps listed on the Attachment. CMR/IWMR retains in storage the oldest chart volumes when a 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. Packing the Record Transfer Bag and Medications Bag on Day of Transfer
1. Place all components of a 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 medications in the Medications Bag, not the Record Transfer bag, for a patient being transferred to another correctional facility. Do not place the Medications bag inside the Record Transfer bag.
  4. Pack up 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 Infirmary, send the HCR to the address above, but address to “Infirmary”, rather than “Primary Care”:
- D. If the HCR does not accompany the 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 or scan to the receiving facility on the day of transfer.

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2. Send all components of HCR within 24 hours via overnight mail or via DOC transport. Using UPS/USPS tracking.

E. Sending facility shall provide the transporting officer with only the minimum protected health information necessary for the health and safety of the patient and officer. Officers are required to follow standard precautions at all times. See DAI Policy 500.50.01.

**IV. Receiving Facility: Transfer of 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. Verify all components of the paper HCR have been received, if applicable, and contact the sending facility as soon as possible if some components did not arrive with the patient. Vital information to the proper care of the 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 paper HCR. The Intake facilities, primarily DCI and TCI, retain in storage, the oldest Chart volumes when a patient has four or more volumes. Only the three most recent volumes are transferred to another facility.
2. See DAI Policy 500.50.22 for steps to take to search for missing HCRs.
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 Patient to County Jail**

A. Out to Court

Upon notice of a temporary transfer of a patient to a county jail, the HSU shall complete the statutorily required DOC-2077 – Health Transfer Summary that identifies critical and chronic health needs of the 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 in a locked records bag addressed to the county jail nurse using a DOC-3351 – Record Transfer Verification.
  - b. Retrieve patient’s medications for transfer with the 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 patient.

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3. If after the transfer, center staff finds that any part of the HCR did not transfer with the patient, or the jail contacts the center for a missing part of the HCR, the center shall send the part(s) immediately.
4. Upon transfer of the 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 a Patient**

### **A. HSU shall:**

1. Complete and scan into the correspondence section of the HCR.
  - 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 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 a 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 scan all loose documents (e.g., flow sheets, medication records, off-site consultations) into the HCR. No documents shall remain at sending facility.
4. Send the entire HCR to CMR/IWMR within one week of the movement of the patient, including components of HCR maintained by HSU, DSU and PSU.
5. 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 patient under this section. See Section IX below.

### **B. Releasing PSU shall:**

1. Ensure all loose documents are scanned properly in the HCR.
2. Enter the date of date release, transfer to federal jurisdiction/out-of-state, or escape, on PSU Record.
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 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 patient under this section. See Section IX below.

### **C. Releasing DSU shall:**

1. Enter the date of release, transfer to federal jurisdiction or escape in HCR.
2. Ensure all loose documents are scanned properly in the Dental Record.
3. 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 patient under this section. See Section IX below.

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- D. Physical movement of HCR to CMR/IWMMR
1. Ensure the movement of the entire HCR within one week of the movement or escape of the 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 patient inside the HCR or rubber band together all the components for each 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 patient inside the HCR or rubber band together all the components for each patient.
    - b. Send to IWMMR 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/IWMMR

- A. In order to track receipt of HCRs, CMR/IWMMR uses an electronic tracking system that does the following:
1. Records receipt of volumes of HCR.
  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 1<sup>st</sup> and 3<sup>rd</sup> Monday of each month, respectively, informing the facility of the name, DOC number and date of release of patients for whom CMR/IWMMR has not received identified parts of the HCR when at least 10 days have passed since the release date.
    - a. To HSUs about missing HCR and PRFs.
    - b. To DSUs about missing Dental Records.
    - c. To PSUs about missing PSU Records.

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6. Send emails with reports attached to all facilities on the 4<sup>th</sup> Monday of each month, informing them to search for missing parts of HCRs for patients who released more than 30 days ago.
    - a. To HSUs about missing HCR 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 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: DOCDAIDCICentralMedicalRecords@wi.gov or email IWMR at mailbox: DOCDAITCIIinactiveWomen'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 DOCDAIDCICentralMedicalRecords@wi.gov for male facilities or DOCDAITCIIinactiveWomen'sMedicalRecords@wi.gov for female facilities.
- VIII. Readmission of a Patient**
- A. Upon notice of a pending admission, CMR/IWMR shall retrieve the HCR for a 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 a patient being readmitted.
- IX. Death of a DAI Patient in a DAI Facility: See DAI Policy 300.00.09.**
- X. Summary of Location of HCR**



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<b>LOCATION OF HCR DURING INCARCERATION AND UPON TRANSFER, RELEASE ESCAPE OR DEATH OF A PATIENT</b>	
<b>LOCATION OF PATIENT</b>	<b>LOCATION OF HEALTH CARE RECORD</b>
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:** \_\_\_\_\_  
Michael Rivers, Director of Healthcare Administration

\_\_\_\_\_ **Date Signed:** \_\_\_\_\_  
Vacant, Medical Director

\_\_\_\_\_ **Date Signed:** \_\_\_\_\_  
Mary Muse, Nursing Director

**Administrator's Approval:** \_\_\_\_\_ **Date Signed:** \_\_\_\_\_  
Makda Fessahaye, Administrator

**DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES**

<b>Facility:</b> Wisconsin Correctional Center System		
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<b>Chapter:</b> 500 Health Services		
<b>Subject:</b> Management of DOC Health Care Records		
<b>Will Implement</b> <input type="checkbox"/> As written <input checked="" type="checkbox"/> With below procedures for facility implementation		
<b>Warden's/Center Superintendent's Approval:</b> /s/ Quala Champagne		

**FACILITY PROCEDURE**

Health Services Unit shall ensure the confidential movement of the entire health care record for any patient movement.