

	DEPARTMENT OF PUBLIC SAFETY CORRECTIONS ADMINISTRATION POLICY AND PROCEDURES	EFFECTIVE DATE: 1/8/09	POLICY NO.: COR.10.1H.04
		SUPERSEDES (Policy No. & Date): COR.10E.01 (02/17/2005) COR.10.1H.05 (10/29/2007) COR.10.1H.06 (10/29/2007)	
SUBJECT: MANAGEMENT OF HEALTH RECORDS		Page 1 of 8	

1.0 PURPOSE

To ensure the availability of medical health records to health care services staff.

2.0 REFERENCES AND DEFINITIONS

.1 References

- a. Hawaii Revised Statutes: Section 26-14.6, Department of Public Safety; and Section 353C-2, Director of Public Safety, Powers and Duties; and Section 92F, Public Access to Government Records: Exemption Medical Records; and 92F-13(4), Withholding protected health information for living or deceased individuals.
- b. Hawaii Revised Statutes: Section 325-101, HIV; ARC; & AIDS; Section 334-5, Mental Health, Drug Addition and Alcoholism.
- c. Health Insurance Portability and Accountability Act, 45 C.F.R., 160-164, (1996); Published in Federal Register 67, No. 157, August 14, 2002.
- d. National Commission on Correctional Health Care, Standards for Health Services in Prisons and Jails, (2008)
- e. Hawaii Revised Statutes, Titles 16-19, §334-5.
- f. Hawaii Revised Statutes, Titles 19, § 323C (1999 Cumulative Supplement); Titles 32-36, §622-58, (1991 Supplement); Title 6-9, §94-3, (1985 Replacement.)
- g. Department of Accounting & General Services, State Archives Division, Records Management Manual For The State Of Hawaii, (2005).

.2 Definitions

- a. Medical Record: A record representing a patient's medical and mental health history and care from the moment of incarceration until they are released from custody.

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- b. Dental Record: A record representing a patient's dental history and care from the moment of incarceration until they are released from custody.
- c. Health Status Classification Report (HSCR): A report generated at the time of the initial physical examination and determines whether an inmate is medically cleared to work or to transfer to another facility.
- d. System: Department of Public Safety.
- e. Confidentiality: To hold in confidence or to keep private and privileged identifiable health information pertaining to an individual.
- f. Active Medical Record: A record that represents an inmate's medical and mental health history and care from the moment of incarceration until released from custody. A medical record remains active for a period of 6 months from the date of release.
- g. Inactive Medical Record: The status of a medical record of a patient who is discharged, released on parole, or terminated from custodial supervision and has remained out of the system for 6 months to three years.
- h. Re-activated Medical Record: A change in status of a medical record from inactive to active when an offender is re-admitted to the system.
- i. Archived Record: A medical record that has been inactive for more than three (3) years that is placed in storage and preserved for its continuing value for twenty-five (25) years.
- j. Scanned Medical Record: A medical record that has been converted to an electronic document.
- k. Data Warehouse: An archive data management system storing scanned medical records.

3.0 POLICY

Record Access

- .1 A medical record is created upon initial intake into the system and is maintained and updated with every subsequent readmission for each inmate admitted into system.

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- .2 A standardized system of record identification and filing shall be used to assure rapid filing, retrieval, and access to or re-activation of medical records.

Record Archiving

- .1 Archived records shall be filed using a standardized system for record identification and retrieval.
- .2 Inactive medical records shall be stored separately from active medical records.
- .3 The designated archive area for inactive medical records is Oahu Community Correctional Center (OCCC), Health Information Unit.
- .4 All laws, regulations, standards, confidentiality guidelines and copy cost that apply to active medical records shall also apply to inactive and archived medical records.
- .5 The senior Health Information employee in a facility's Health Information Unit (HIU) shall be the Custodian of Medical Records (CMR) for that facility. The Clinical Section Administrator (CSA) shall be the CMR in facilities that do not have Health Information Units or staff.
- .6 Active, inactive, and archived medical records may be transferred to an electronic medium at any time.

Record Transfer

- .1 The information in a patient's medical record is confidential. Provisions shall be made to ensure confidentiality of health care information during the transfer of a patient's medical record.
- .2 The original medical and dental record shall be transferred simultaneously with the inmate from one facility Health Care Section to another within the System.
- .3 All transfers of health records shall be performed in a manner that maintains patient confidentiality and utilizes a tracking system.
- .4 Original medical records shall not be released to any department or agency outside of the System. Authenticated copies shall be released to agencies out side of the system, as allowed by law.

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4.0 PROCEDURE

Record Availability

- .1 The medical record shall be available to health care services staff directly involved in a patient's care and treatment.
- .2 A medical and mental health record shall be started on each individual admitted to the system by the fourteenth day of incarceration. Inactive records shall be re-activated and archived medical records shall be available via computer for persons re-admitted into the system
- .3 All patient encounters by health care staff shall be documented in the medical record.
- .4 The information contained in a patient's medical record is confidential. Provisions shall be made to ensure confidentiality of health care information during the provision of care and transfer of the record.

Record Retention

- .1 The Oahu Health Information Unit (HIU) Record Librarian shall retain inactive medical records for a minimum of three (3) years from the date the inmate is released from custody and dental records for a minimum of seven (7) years from the date of release. Inactive medical records after the third (3) year of retention shall be expunged and scanned into an electronic data archive system. Inactive medical records dated prior to 2003 are stored in the State Records Center. After twenty-five (25) years the medical record shall be destroyed in accordance with guidelines set forth by the State of Hawaii Records Center.
- .2 Inactive dental records shall be stored immediately behind the inactive medical record by the Oahu HIU until such time as the medical record is scanned into the electronic data archive system. The dental record shall be retained in the archive for up to 4 additional years until reaching seven years of inactive status after which dental x-rays shall be destroyed and the dental record shall be scanned into an electronic data archive system.
- .3 All facilities shall have password controlled computer access to view and print scanned medical records. Print access will be limited to CSAs, nursing supervisors, medical records or other designated personnel.
- .4 Medical records of inmates released from custody from the OCCC and the Women's Community Correctional Center shall be sent to the OCCC/HIU as

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soon as the record is complete. Other Community Correctional Centers shall retain the medical records of released inmates for six (6) months from the date of release. At the end of the six (6) month period, if the inmate has not been re-admitted, the record shall be forwarded to the OCCC/HIU Archive. The CMR shall check the medical record of an inmate released from custody for accuracy and completeness prior to sending the medical record to the OCCC/HIS Archive.

- .5 The sending facility shall place the medical and dental records, and medications in a secured envelope or box stamped, "Privileged Mail, Confidential Records, Deliver to Medical Staff At:" with the name of the receiving facility and the nurse manager, or HIU staff written in ink. The envelope or box shall also be stamped with the instructions to anyone finding a lost item to return it to Oahu Community Correctional Center. Form DOC 0486, Transfer of Medical/Dental Records shall be completed and attached to the outside of the envelope or box and signed by each individual involved in the transfer of the records to ensure a chain of custody.
- .6 OCCC/HIU shall establish a medical record-tracking database, or shall have access to a database, that allows for the tracking of active, inactive and archived records for retrieval purposes. The record's identifying data shall be entered into the computerized database according to the year the record became inactive to facilitate the annual identification of records meeting criteria required for archive scanning.
- .7 The OCCC HIU shall be notified of the admissions of inmates with inactive or records achieved prior to 2003 by the admitting facility's HI staff, CSA or nursing staff. The existing inactive record shall be re-activated or records filed at the State Records Center shall be retrieved. The record-tracking database shall be updated when inmates are transferred from one facility to another to show location of the medical record.
- .8 If an inmate's record has been scanned, a new medical record shall be made and the outside cover shall be stamped or tagged "PRIOR EXISTING ELECTRONIC RECORD". A copy of the DOC 0478 Health Maintenance Summary from the scanned record shall be placed in the new record.
- .9 HIU staff shall retrieve records stored at the State Records Center, record within seventy-two (72) hours of admission. Screening forms and a new progress note shall be implemented pending retrieval of the original record.

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- .10 The CMR shall inform the Mental Health Section Administrator or PSW to notify the Intake area, electronically or by memorandum, of any existing history of attempted suicide, or suicide or safety watch as documented in the prior health record.

Record Transfer

- .1 With the exception of an offender's status change from pre-trial to sentenced, the facility warden shall give the Clinical Section Administrator (CSA) a minimum of twenty-four (24) hours notice of transfer for every ten names requiring a clearance. For proper identification of the candidate and appropriate clearance, the notice shall contain the following information:
- a. The inmate's name.
 - b. SID number.
 - c. Current housing.
 - d. Name of receiving facility and date of transfer.
- .2 Upon receipt of a notice to transfer from the Facility, the following procedures shall take place:
- a. The Clinical Section Administrator (CSA) or designee shall retrieve the medical record for review by an assigned nurse.
 - b. Dental charts shall be reviewed for completeness, when appropriate, by State dental staff and shall be forwarded to clinical services in sufficient time to meet the transfer date and time.
 - c. The nurse shall review the Health Status Classification Report, progress notes, consultations, and injury reports for the previous six months for each medical record identifying any health status changes, updating the form as necessary. If there is a change in health status that precludes transfer, the facility classification officer shall immediately be notified. The nurse shall refer any indication in the record of mental disorder or mental health history to the Mental Health Section for clearance.

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- d. An assigned nurse shall retrieve the inmate's Medication Administration Record and any nurse administered medication. Turning the items over to clinical services in sufficient time to meet the transfer date and time. Self-administered medications and/or over-the-counter medications are transferred with the inmate's property for interdepartmental transfers. Mainland transfers require the self-administered medications be secured with prescribed medication.
 - e. The nurse shall complete Form DOC 0401, Interfacility Discharge Summary for each transferring inmate. The original DOC 0401 shall be placed inside the medical record and the copy shall be retained for thirty days (30).
 - f. When appropriate, the medical record is forwarded to the Health Information Unit (HIU) for processing and a final completeness review.
- 3 Inter-Departmental transfers: medical and dental records, and medications shall be placed in a secured envelope or box stamped, "Privileged Mail, Confidential Records, Deliver to Medical Staff At:" with the name of the receiving facility and the nurse manager, or HIU staff written in ink. The envelope or box shall also be stamped with the instructions to anyone finding a lost item to return it to Oahu Community Correctional Center. Form DOC 0486, Transfer of Medical/Dental Records shall be completed and attached to the outside of the envelope or box and signed by each individual involved in the transfer of the records to ensure a chain of custody.
 - 4 Mainland transfers: medical records shall be boxed in alphabetical sequence or grouped by alpha for large movements. The alpha letter(s) shall be written on the outside of the box. Medications, either prescribed or self-administered, shall be boxed separately from the medical records.
 - 5 It shall be the responsibility of the Dental Unit to forward dental charts to the receiving facility if not reviewed and delivered to clinical services in time for the transfer deadline. It shall be the responsibility of the CSA to forward medications to the receiving facility if not delivered to clinical services in time for the transfer deadline.
 - 6 Medical records not simultaneously transferred inter-departmentally with the inmate shall be secured and stamped, as above, and forwarded to the receiving facility as soon as possible after transfer using the most timely delivery process.

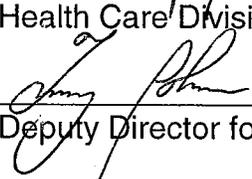
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- .7 Upon receipt of the medical record the receiving facility shall review the Interfacility Discharge Summary for the continuity of care of the patient, sign the appropriate line to acknowledge receipt of the information, and shall file the form in the Miscellaneous Index of the medical record.
- .8 The CSA of the receiving facility shall be responsible for initiating an incident report on breach of confidentiality if the seal is broken. The Clinical Services Branch Administrator shall be notified.
- .9 In the case of records that have been sent but not received by a facility, the sending facility shall initiate an investigation to track the record. The Clinical Services Branch Administer shall be notified. The notice shall explain the circumstances and what efforts are being made to locate the record.

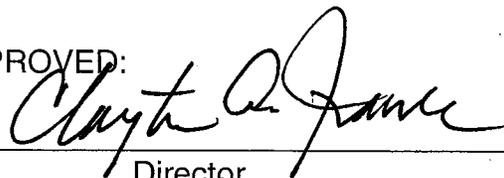
5.0 SCOPE

This policy and procedure applies to all branch facilities and their assigned personnel.

APPROVAL RECOMMENDED:

	<u>1/2/09</u>
Medical Director	Date
	<u>12/22/08</u>
Health Care Division Administrator	Date
	<u>1/2/09</u>
Deputy Director for Corrections	Date

APPROVED:


Director
<u>1/8/09</u>
Date