

CHAPTER 7

Centralized Unit Health Record (UHR) Filing System

I. POLICY

Health Record Services (HRS) shall ensure the ready availability of the patient's UHR to health care providers and to other authorized users throughout the California Department of Corrections (CDC). HRS personnel shall monitor the centralized filing system to ensure that a UHR is available for each patient retained at the institution. HRS staff shall ensure that all records of patients currently retained at another CDC institution have been transferred to that institution.

UHRs shall be filed using the California Department of Corrections (CDC) identification number that is composed of an alpha letter and 5-digit number. UHRs shall be filed in the terminal digit system.

Visible numerical guides shall be placed throughout the files in the UHR filing system to expedite the retrieval and retention of records, to ensure the proper use of filing equipment, to protect the UHR folders from damage, and to maintain the file folders so that the top edge and right margin of the folders are flush within the numerical guides so that the color coded folders readily identify a folder that has been misfiled. To expedite the filing and retrieval of records, 100 guides shall be used.

HRS staff shall ensure that UHRs are secured on the shelving units with quality supports to hold the weight of the records in a neat and orderly manner.

II. PROCEDURE

A. Centralized Terminal Digit Filing System

HRS staff shall maintain the patient UHR filing system:

1. File records in numerical order using the last two (2) digits (terminal digits) first, then in numerical order using the first three (3) digits (secondary digits), e.g., from right to left. The alpha number shall be used to further define the filing order.
2. The approach to both filing and retrieving any UHR shall be by the terminal digit, then by the secondary digits, then by the alpha letter.
Example: To file record H 87302, sort by terminal digit 02, then put in order using 873, then the alpha letter H.
3. File folders shall be color coded by the terminal digits (last two digits) to facilitate filing, to simplify filing and to eliminate the chances of transposing numbers.

B. File Unit Guides and Supports

HRS staff shall:

1. Insert file unit guides at the beginning of each two-digit section. Ensure that each guide represents a two-digit section of the filing system. For example, in the 30's section, there should be a unit guide for 30, 31, 32, 33, etc.
2. Insert record supports to hold the weight of records and determine the number of supports needed by the bulk of the records in the file section. For example, supports may be required to hold one multi-volume record or to hold 30-50 records that are of medium size).
3. Maintain an adequate supply of the record supports to add to the files as needed.

C. File System Audit

HRS staff shall:

1. Reserve a specific day and time each quarter to reconcile the centralized filing system with the list of patients currently retained at the institution. This list shall be obtained from the Distributed Data Processing System (DDPS).
2. Designate a specific time to track all records of patients currently retained, records of patients who have transferred to another CDC institution, and identify the unavailability of records of current patients.
3. File all UHRs into the centralized filing system.
4. Verify and reconcile their assigned terminal digit sections of the file system. HRS staff shall:
 - a) Match each patient name and CDC number on the list with the records on the shelves.
 - b) NOTE: Patients on specific out-of-institution status may not appear on the list. Do not assume that these patients have been discharged or transferred; they may be out-to-court, out-to-community, or out to a state mental health setting. Check the other rosters (e.g., Daily Census Report).
 - c) Identify names and numbers that are not the same. Mark the list of mismatched names or numbers to later verify the accurate patient identifiers with the DDPS or the Offender Based Information System (OBIS).
 - d) Identify records that are not available on the shelves. Determine if there is a valid outguide or the record is checked out in the record locator/tracking system. Mark the list to verify the current location of these records.
 - e) Retrieve all records from the filing system of names that are not on the list with the exception of flagged death records, out-to-court, or out-to-community records. Put retrieved records in terminal digit order and file in filing boxes, which facilitates transferring the records to the patient's current location within the CDC system, or transferring the record to the appropriate storage center.

Centralized Unit Health Record (UHR) Filing System Health Care Services

5. Use the marked list to initiate a search for records not in file for each patient currently retained in the institution. Refer to policy: "Missing Unit Health Record" to locate the record. Check the record tracking/record locator system to identify if the record was received at the time of the patient's arrival at the institution.
 - a) If a record has not been checked in, check OBIS for the movement history of the inmate within the CDC system.
 - b) Call other institutions and FAX a request for the records.
 - c) Request that records be mailed by overnight mail.
 - d) Maintain a log of calls to other institutions. Record the date and name of the contacts.
 - e) Record actions taken and scheduled activities.
 - f) Follow up daily until the record is received.
6. Use the marked list to identify the current location of the patient. If the OBIS identifies that the patient is currently retained at another institution, prepare the record for transfer to the appropriate institution.
7. If the patient is discharged or paroled from the CDC system, send the records to the appropriate storage center (parole region, Archives, or "N" number Archives).
8. If the review process has identified inaccurate patient identifiers, HRS staff shall use OBIS to verify and correct the inaccuracies noted:
 - a) Verify and correct the accurate spelling of the name.
 - b) Verify and correct the accurate CDC number.
 - c) Verify and correct the accurate date of birth.
9. Prepare a summary of the number of records not in file for patients in the institution:
 - a) Missing records within the institution.
 - b) Missing records not received by the institution at the time of the patient's arrival.
 - c) Number of records not found on the first search.
 - d) Number of records not found after repeated searches.
10. Maintain statistics of purging of file activities as part of the continuous quality improvement program.
 - a) Number of records in file for patients transferred to other institutions, prior to the purge.
 - b) Number of records transferred to other institutions, following the purge.
 - c) Number of records transferred to storage centers.
 - d) Number of calls to other institutions requesting records.
 - e) Number of follow-up calls for records not promptly forwarded.