



STATE OF WASHINGTON  
DEPARTMENT OF CORRECTIONS

APPLICABILITY  
**PRISON/WORK RELEASE/FIELD  
OFFENDER MANUAL**

REVISION DATE  
3/1/15

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**DOC 640.020**

**POLICY**

TITLE  
**OFFENDER HEALTH RECORDS MANAGEMENT**

**REVIEW/REVISION HISTORY:**

Effective:	12/15/89	Revised:	11/5/08
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Revised:	4/30/96	Revised:	1/8/10
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**SUMMARY OF REVISION/REVIEW:**

Adjusted reference and position titles throughout  
I.A.2.a., I.E.3.b. & 4., and II.B.2. - Adjusted responsibilities  
I.C.1. - Added that health information will only be photocopied for official Department purposes  
III.A. - Adjusted process for classification/supervision employee and contract staff requests for health information and added new form usage

**APPROVED:**

Signature on file

\_\_\_\_\_  
**G. STEVEN HAMMOND**, PhD, MD, MHA  
Chief Medical Officer

1/16/15  
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Date Signed

Signature on file


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**KEVIN BOVENKAMP**,  
Assistant Secretary for Health Services

1/20/15  
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Signature on file

\_\_\_\_\_  
**BERNARD WARNER**, Secretary  
Department of Corrections

1/23/15  
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Date Signed

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## REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 9.95.170](#); [RCW 40.14](#); [RCW 70.02](#); [RCW 74.09.555](#); [WAC 137-08](#); [WAC 137-100](#); [ACA 4-4396](#); [ACA 4-4413](#); [ACA 4-4415](#); [ACA 4C-22](#); [ACA 4C-23](#); [ACA 4C-24](#); [ACA 7D-10](#); [DOC 620.200 Death of Offenders](#); [DOC 630.500 Mental Health Services](#); [DOC 670.500 Chemical Dependency Treatment Services](#); [Health Information Management Protocols](#)

## POLICY:

- I. The Department has guidelines for timely, appropriate, and uniform documentation of medical, dental, and mental health care services rendered to offenders housed in facilities operated by the Department to provide continuity of care.
- II. The Department has guidelines for disclosure of an offender's health information.
- III. All medical, dental, and mental health information will be contained in the health record maintained in a secure location separate from the central file. [4-4396] [4C-22] [4C-23] The offender's health record serves as the single comprehensive source of accurate chronological documentation of all health care services provided to an offender in a Department facility and will be consistent with current and subsequent revisions of state and federal requirements and Department policy.

## DIRECTIVE:


- I. Health Record Management in Prisons and Rap House/Lincoln Park Work Releases
  - A. Collection and Maintenance of Health Care Information
    1. A health record will:
      - a. Be created for all offenders received at the facility. Previous health records of offenders who are readmitted will be incorporated into the new health record.
      - b. Follow the Health Information Management Protocols. [4-4413] [4C-23]
      - c. Include health information the Department maintains in electronic format.
      - d. Include documentation of all health care services received by the offender during incarceration, including all on-site and off-site care and health education. [4C-23]

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2. The Health Information Management Protocols will be updated as necessary, but at least once every 3 years.
  - a. The Headquarters Health Services Forms and Records Analyst Supervisor will be responsible for updating the Health Information Management Protocols, including soliciting/receiving input from the Registered Health Information Administrators (RHIA's), Registered Health Information Technicians (RHIT's), and health services employees/contract staff throughout the Department.
  - b. All changes to the Health Information Management Protocols must be approved by the Assistant Secretary for Health Services. [4-4413] [4C-23]

**B. Transfer and Retention**


1. Health record confidentiality will be maintained when an offender is being transferred from one Department facility to another. The health record will be transferred per the Health Information Management Protocols.
  - a. [4C-24] For transfers between Department facilities with on-site health care services, the health record will be transferred with the offender to the facility. The transporting officer will handle the health record during transfer.
  - b. For transfers from a Department facility with on-site health care services to one without, the health record will be transferred with the offender to the layover facility. The layover facility will hold the record for 30 days and then send it to the Regional Records Office.
    - 1) DOC 13-455 Transfer Summary for Work Release will be provided to Work Releases without on-site health care services. [4C-24]
2. When an offender is transferred from a Department facility to a non-Department facility (e.g., jail, hospital), the health record will remain at the transferring facility, with the following exception:
  - a. For Prison Interstate Compact and other out-of-state transfers and transfers to the Juvenile Rehabilitation Administration, the health record will be sent to the Headquarters Classification Records Unit to be retained with the central file.

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3. [7D-10] Any time the health record is transferred, the date it was sent and the locations where it was sent and received will be documented in the offender's electronic file.
4. When an offender's central file is forwarded to the State Records Center for retention, the health record will be added to the central file. The health record will be removed from the 3 ring binder and prepared for permanent storage per the Health Information Management Protocols. [4-4415]
5. The health record of an offender on escape status will be consolidated with the central file.
6. In the event of an offender death, the health record will be placed in a secure location. The health record will be added to the central file once all required documents, including a copy of the death certificate if obtainable, have been filed in the health record.


C. Health Information Disclosure

1. [4C-22] Information contained in an offender's health record, including information the offender shares with health care professionals, is confidential. This information will only be disclosed as authorized by law and will only be photocopied for official Department purposes.
2. All health information disclosures will be processed per the Health Information Management Protocols.
3. Disclosure with Offender Authorization
  - a. Any authorization by an offender for voluntary disclosure of his/her health record or copies of the health record must be made in writing per RCW 70.02.030, preferably on DOC 13-035 Authorization for Disclosure of Health Information. [4-4415]
  - b. An offender may revoke a disclosure authorization by written request to a health record custodian at any time before a disclosure is made per RCW 70.02.040.
4. Disclosure without Offender Authorization
  - a. The Health Authority/designee will share information with the Superintendent/Community Corrections Supervisor regarding an offender's health status and/or medical management related to the

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offender's ability to function or participate in programs, and to protect and preserve the security of the facility. [4-4396]

- b. [4-4396] Health services employees/contract staff will disseminate through various means (e.g., Health Status Reports, PULHESDXT Codes, Transfer Orders) specific information concerning an offender's health status to other facility employees/contract staff only when the Health Authority/designee has determined it essential for the offender's health and safety (e.g., if offender is at risk of seizure/heart attack) or disease prevention/control.
- c. Only information necessary to preserve the health and safety of the offender, other offenders, employees, contract staff, volunteers, and/or visitors will be provided, and only on a need to know basis. This includes information impacting:
  - 1) Classification,
  - 2) Security,
  - 3) Facility and housing assignment,
  - 4) The offender's ability to participate in programming,
  - 5) Emergency management,
  - 6) Grievance evaluation, and/or
  - 7) Transportation.
- d. Information may be disclosed to Prison, Work Release, and Field Office classification/supervision employees and contract staff on a need to know basis.
  - 1) DOC 13-450 Behavioral Health Discharge Summaries posted electronically are accessible to Community Corrections Officers.
- e. Information may be disclosed and/or exchanged with health services providers in the community to ensure continuity of an offender's health care per RCW 70.02.050(1)(a) and RCW 74.09.555.
- f. Health information will be disclosed without the permission of the offender when required by law or court order, to fulfill the Department's obligation to warn, or to protect the public while preserving details (e.g., diagnosis).
  - 1) Mental health information will be disclosed to non-Department law enforcement officers, county/city jail

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personnel, designated mental health professionals, public health officers, and therapeutic court personnel upon receipt of [DSHS 17-194 Request for Mental Health Service Information](#) per RCW 70.02.260.

- a) The Warrants Unit will provide DOC 13-450 Behavioral Health Discharge Summary during non-business hours per DOC 630.500 Mental Health Services.
  - g. Health records, other than those covered in DOC 670.500 Chemical Dependency Treatment Services, may be released to the Indeterminate Sentence Review Board upon written request. A copy of such requests will be placed in the health record.
  - h. Health information may be disclosed in other circumstances, as permitted by RCW 70.02.050, RCW 70.02.900, or other statute.
- D. Offender's Examination and Copying of the Health Record
1. Offenders may request, in writing, to examine or obtain a copy of all or part of their health record per RCW 70.02.080.
    - a. The request for examination will be submitted to the local RHIA/RHIT/designee.
    - b. Requests for copies will be submitted to the Department Public Disclosure Unit.
  2. A response will be made within 15 working days upon receipt of an offender's written request.
  3. Examination of a health record by an offender may be denied if the health care provider concludes the knowledge of the health information may be injurious to the offender's health, could reasonably be expected to endanger the life or safety of any person, or for other reasons cited in RCW 70.02.090.
  4. The offender will pay all copy expenses in advance at the prevailing rate for health records as specified in the Health Information Management Protocols.


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E. Security Safeguards [4C-23]

1. [4-4396] The local RHIA/RHIT/designee will ensure that health records are maintained and protected per RCW 70.02.150 and the Health Information Management Protocols.
2. Employees, contract staff, volunteers, interns, researchers, and all others within the Department having access to health information will:
  - a. Receive orientation and/or training regarding the expectations for use and treatment of health information,
  - b. Sign DOC 14-003 Confidentiality Statement, and
  - c. Be advised of the consequences for misuse or abuse of health information, including disciplinary action.
3. In the course of official duties, access to the health record is granted to:
  - a. Health services employees/contract staff, and
  - b. Other Department personnel authorized by the Headquarters Health Services Forms and Records Analyst Supervisor or the Assistant Secretary for Health Services/designee.
4. The RHIA/RHIT/designee will require all individuals, other than health services employees/contract staff who have been granted access to the health record, to complete DOC 13-235 Health Record Access Log. This log will be maintained as a permanent document in the legal section of the health record.
5. When required for reference by providers or health services employees/contract staff, document copies may be kept in the facility/office by treating employees/contract staff, but will be destroyed once treatment is completed or when the offender is transferred.

II. Regional Records Offices Health Record Management

- A. The health record and central file will be combined while stored at a Regional Records Office.
- B. Confidentiality of the health record will be maintained.
  1. The Regional Records Office will open the health record to include loose filing.

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2. All other access to the health record must be authorized by the Headquarters Health Services Forms and Records Analyst Supervisor.

### III. Employee Requests for Offender Health Information

- A. Classification/supervision employees and contract staff with a need to know offender health information, including mental health information, will complete DOC 13-159 Request for Offender Health Information for each request and submit separate emails as follows:
  1. Prison or Rap House/Lincoln Park Work Release offender - RHIA/RHIT/designee at the facility where the offender is housed.
  2. Other Work Release or community supervision offender - [Offender Health Information Request](#)
- B. Employees and contract staff will ensure confidentiality of copies received and will not provide any information to other individuals or entities except as allowed under RCW 70.02.

### DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

### ATTACHMENTS:

None

### DOC FORMS:

[DOC 13-035 Authorization for Disclosure of Health Information](#)  
[DOC 13-159 Request for Offender Health Information](#)  
[DOC 13-235 Health Record Access Log](#)  
[DOC 13-450 Behavioral Health Discharge Summary](#)  
[DOC 13-455 Transfer Summary for Work Release](#)  
[DOC 14-003 Confidentiality Statement](#)