

QUARTERLY VAULT AUDITS

I. PURPOSE:

This appendix has been established to assist with ensuring that quarterly vault audits are conducted properly.

II. PERFORMING A QUARTERLY VAULT AUDIT

The Health Information Specialist (HIS) or designee will audit the medical records area *quarterly* for misfiled/missing records (both active and inactive records areas) which includes all record sets (medical, dental, mental health, infirmary, inactive [which may include CD]) by ensuring the following:

1. To facilitate this task, the HIS or designee will utilize OBIS screen “GHS 61” report. This report allows you to print one site (Example #2) or multiple sites (Example #3) (parent and satellite sites merged).
2. Correctional Institutions, Annexes, and Work Camps will have separate medical, dental, and mental health records audits due to the records being housed in different areas.
3. For most community corrections and work release centers the medical, dental, mental health records are housed together. When this is the case the complete audit can be documented on the same report. (Example #4)
4. For satellite sites, mental health and dental records are maintained with the medical record. This site will have separate mental health and dental audits for the parent site files.

III. DOCUMENTING THE AUDIT

1. All vault audits will be documented on alphabetic inmate report (Example #4).
2. The most current volume is the active file. A check mark will be placed by the inmate’s number on the run when the file has been located.
3. The active volume number will be noted to the left of the check, if greater than volume 1.
4. A check-out guide cannot be used to account for the record, the auditor must physically see the record.
5. Active records noting inactive CDs will be opened to ensure the seal on the envelope containing the CDs is not broken.
6. If seal broken, the HIS or designee will account for all CDs and reseal the envelope per HSB 15.12.03.

7. The inactive records will then be audited using the same active records audit list ensuring that all other volumes of the inmate's outpatient and inpatient records are accounted for by noting the volume numbers.
8. If discovered that additional volumes are numbered incorrectly, the auditor will correct at the time of the audit.
9. When inactive records are missing, a circle will be placed in the appropriate area.
10. When the missing records(s) is located, the volume number will be noted.
11. After completing audit and there are record sets missing, the auditor will refer to HSB 15.12.03, Health Records, for the necessary steps to complete the process.
12. This audit will be maintained for at least one year for auditing purposes.

IV. HELPFUL HINTS

1. Ensure all records are received and properly numbered upon transfer of the inmate. If records are missing, attempt to locate those records. If the records are incorrectly numbered, correctly number the records at that time.
2. When an inmate has multiple volumes but not enough to fill a box, place them in a clear plastic bag, using a blank piece of paper and a black marker, note the inmate's full name, number and record volume numbers and tape them with the clear tape (once around in each direction) upon receipt. This will ensure that this records have been reviewed and correctly numbered and will be sealed for easier vault audit.
3. When an inmate has enough volumes to fill a box, using a blank piece of paper and a black marker to note the inmate's full name, number and record volume numbers contained in the box then tape on the outside of the box (Example #5). If the inmate has multiple boxes, they are to be numbered (noting "2 of 3 boxes" is not recommended because as the inmate's boxes increase all labels will have to be changed). Tape the box using clear tape at least once around the box in each direction. You may want to place a copy of the label on two sides of the box for convenience. When performing the inactive vault audit and the volumes are noted on the outside of the box, unless the seal is broken, you do not have to remove from the shelf and recount. If the seal is broken, the auditor must recount the volumes in the box and reseal. It is recommended that you not place your site ID on the label as this is confusing during transfer and the labels will have to be replaced when received at the next site.

V. EXAMPLES

2. OBIS "GHS 61" report from 1 site:

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    CDC-
    File Edit Session Options Transfer View Script Help
    Attention: PA1 PA2 PA3 Rest PF01 PF02 PF03 PF04 PF05 PF06 PF07 PF08 PF12 System Request Clear Erase EOF

    ASI4 0 IIS R5          H209LOW 05/16/2018 12:20:55
    ASII010                BATCH JOB SUBMISSION          PAGE 01
                          MODULE: IIS - INMATE INFORMATION SYSTEM
                          JOB: R5 - INSTITUTION GAIN/LOSS      STATUS: EXISTING

    RUN CONTROL PARAMETER NAME AND TITLE      VALUE      O/M  FORMAT  CODE HELP
    -----
    SUBLOC   FACILITY IDENTIFIER              336        M    03 A/N   Y
    DATE     DATE                             05102018   M    08 NUMERIC
    GAINLOSS GAIN OR LOSS SELECTION (G,L)      G          M    01 A/N   Y
    CICTEAM  CURRENT CLASSIFICATION TEAM        _         O    02 A/N

    YOUR NAME :          JOB CLASS:   REGION :   PGM NAME:   PRINT
    YOUR PHONE:         # OF COPIES:  PRINTER:   JOB NAME:   CLASS E
    Email                                     Key 1234567890A!
                                           READY FOR NEXT SUBMISSION
    
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3. OBIS "GH 61" report from multiple sites:

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    S1 - CDC - BlueZone Mainframe Display
    File Edit Session Options Transfer View Script Help
    Attention: PA1 PA2 PA3 Rest PF01 PF02 PF03 PF04 PF05 PF06 PF07 PF08 PF12 System Request Clear Erase EOF

    ASI4 0 GHS 61          H209LOW 05/16/2018 11:56:48
    ASII010                BATCH JOB SUBMISSION          PAGE 01
                          MODULE: GHS - GENERAL HEALTH SERVICES
                          JOB: 61 - PARENT FACILITY REPORT     STATUS: EXISTING

    RUN CONTROL PARAMETER NAME AND TITLE      VALUE      O/M  FORMAT  CODE HELP
    -----
    CICURLOC FACILITY CODE                    580        M    03 A/N   Y
    CICURLOC FACILITY CODE                    381        O    03 A/N   Y
    CICURLOC FACILITY CODE                    562        O    03 A/N   Y
    CICURLOC FACILITY CODE                    552        O    03 A/N   Y
    CICURLOC FACILITY CODE                    583        O    03 A/N   Y
    CICURLOC FACILITY CODE                    _         O    03 A/N   Y
    SORT     SORT (BY)                        2          M    01 A/N   Y

    YOUR NAME :          JOB CLASS: 5  REGION :   PGM NAME:   PRINT
    YOUR PHONE:         # OF COPIES:  PRINTER:   JOB NAME:   CLASS e

    MOVE CURSOR 2 FIELD - F12 HELP
    "PF6" FOR LIST OF MODULE JOBS
    
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5. Label for full box containing 1 inmate's medical records:

Number: 123456

Name: Smith, John

Volume Numbers: 140

Box Number: _____