

# Partners in Recovery

## Medical Record Filing and Thinning

<b>CMC or Department Name:</b> Partners in Recovery Direct Care Clinics								
<b>CMC or Department Procedure Name and Number:</b> Medical Record Filing and Thinning								
<b>Date of Inception:</b>								
<b>Previous Approval Date:</b>								
<b>Current Approval Date:</b>								
<b>Operational Scope:</b>	<input checked="" type="checkbox"/> Clinical	<input type="checkbox"/> QI	<input type="checkbox"/> Network	<input type="checkbox"/> Customer Service	<input type="checkbox"/> Claims	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Other

### Purpose:

To outline the expectations for filing of medical record documents into a Recipient’s medical record. To describe the process for thinning out the contents of a Recipient’s medical record volume when the contents of the record reaches the capacity of the folder.

### Procedures:

- I. Responsibility for loose paperwork filing:
  - A. It is the responsibility of the medical record department at the DCC site where a Recipient is affiliated, to accurately file all medical record documents into the correct Recipient’s medical record. – See Attachment A Medical Record Forms Directory.
  - B. All medical record loose filing must be labeled with the Recipient’s name and identification number (CIS ID #) or date of birth, prior to placement in the medical record.
  - C. All priority filing, which includes psychiatrist progress notes, nursing progress notes, medication sheets, and laboratory results will be filed in the medical record within 24 hours of contact with the Recipient.
  - D. Non-priority filing, including case manager progress notes and any other incoming loose filing will be filed in the medical record within 3 to 5 business days of receipt in the filing bin.
  - E. The DCC site is responsible to print out all ClaimTrak progress notes minimally on a weekly basis.
- II. Responsibility for Chart Thinning
  - A. Medical records belonging to active (open) Recipients should be thinned at the time that the contents begin to exceed the capacity of the folder. The medical record OA at the clinical site is responsible for thinning the existing volume into an additional “overflow” volume.
  - B. The additional volume will be identified with 2 patient identification labels as indicated in Attachment B. Medical record paperwork listed in Item F below, will be removed from the older volume and transferred to the new volume.

The patient ID labels on each prior volume must be updated to reflect the total

number of volumes; to ensure an accurate inventory of the number of volumes that exist for a Recipient. The Total # volumes will change every time that a chart is thinned and a new folder is created.

i.e. Volume 1 of 2 (oldest volume, containing the oldest dates of service)

Volume 2 of 2 (newest volume, containing the newest DOS)

- C. Attach an Allergy Sticker and a Thinning Sticker to the front of the new folder. (bottom left corner)
- D. As each new overflow volume is created an entry should be made in the ClaimTrak PHI Disclosure Tab, for chart tracking purposes.
- E. For active (open) Recipients, the site must keep all medical record overflow volumes on site.
- F. At the time of thinning, insert chart divider tabs into the new folder and transfer the following paperwork to the new volume:
  1. Case Profile Tab:
    - Face Sheet – most current
    - Original EA 1011 and most current EA1013
  2. Service Plans Tab:
    - Most current ISP
    - Most current review of progress
    - Most current At Risk Crisis Plan/ARCP
    - Past year of staffing notes
  3. Assessments/Evaluations Tab:
    - Most current Part E. Annual Behavioral Health Update and Review Summary
    - Most current ADHS/DBHS Behavioral Health Assessment Supplemental Form
    - Prescriber Form E Input – Most current
    - Initial Psychiatric Evaluation
    - Most current RN Assessment
    - Initial RN Assessment
    - Core Assessment
  4. Living Arrangements Tab:
    - Past Year - Housing Assessments
  5. Psychiatric Progress Notes Tab:
    - Past 6 months of all Psychiatric Progress Notes
  6. Nursing Progress Notes Tab:
    - Past 6 months of all Nursing Progress Notes

7. Progress Notes Tab:
  - Past 6 months of all Case Management Progress Notes
8. Medication Flow Sheets Tab:
  - Past year of Medication Flow Sheets
  - Past year of Med Refill Request/RX slips
9. Medication Informed Consent Tab:
  - **All** informed consents for any Medications
10. Medication Prior Authorization Tab:
  - Past year
11. Vital Signs Tab:
  - Most current log
12. AIMS Tab: (Abnormal Involuntary Movement Scale)
  - Past year
13. Medical Testing Tab:
  - Past year
14. PCP Health Communications/Out Tab:
  - Most current log
  - Past year
15. PCP Health Communications/In Tab:
  - Most current log
  - Most current communication
16. Other Behavioral Health Records Tab:
  - Past year of ITDP/Discharge Planning
  - Past year records from UPC/other providers (if excess paperwork, leave in old volume and flag with a note in new volume)
17. Requests/Releases Tab:
  - Consents to Release Protected Health Information that are not expired
  - All packet requests
18. Service Referrals Tab:
  - Past Year – ADHS/DBHS Referral for Behavioral Health Services PM.3.3.1
19. General Correspondence Tab:
  - Past year
20. Utilization Review Tab:
  - Past year

21. Rehabilitation Tab:

- Past year

22. Financial Tab:

- Past year
- All picture ID cards
- All insurance cards

23. Legal Tab:

- Most current Advance Directives
- Past year of legal documents
- Court Order for Mental Health Treatment (review to determine if applicable and current. If current, transfer to current volume. If old, leave in old chart.
- Guardian/Custodial Documentation – Transfer **ALL** to the current volume.

24. Grievance and Appeals Tab:

- All ADHS/DBHS Notice of SMI Grievance and Appeal Procedure (PM attachment 5.5.1)
- All ADHS/DBHS Appeal or SMI Grievance Form (PM 5.3.1)
- All Notice of Our Intended Action Regarding Title XIX/XXI Covered Services (PM 5.1.1)

25. Other Consents/Member Rights Tab:

- Magellan of Arizona DCC Receipt of Admission Documents
- All Consent to Treat forms
- Past year - Member Handbook Receipt
- Receipt of Acknowledgement of Magellan Notice of Privacy Practices.

FORM ATTACHMENTS:

*Medical Record Forms Directory*

*Medical Record Labeling Flowchart*