

ASPR TRACIE Technical Assistance Request

Requestor: [REDACTED]

Requestor Phone: [REDACTED]

Requestor Email:

Request Receipt Date (by ASPR TRACIE): 13 July 2017

Response Date: 19 July 2017; updated response 27 July 2017

Type of TA Request: Standard

Request:

[REDACTED] requested technical assistance in searching for guidance materials, and paper record templates/ forms for hospitals to use when the electronic health records (EHRs) are inoperable. She noted they are receiving a lot of questions from hospitals regarding what their specific requirements would be, and what they would need to implement to capture data on paper.

Response:

The ASPR TRACIE Team conducted a search for resources related to managing hospital records on paper when EHRs cannot be used. Materials gathered are provided in the following sections of this document. Section I includes examples of paper-based templates. Section II provides resources related to patient movement. Although these resources may not be as applicable to your request as the other section, these documents may have some helpful forms, templates, and processes that you can use in your planning efforts.

The ASPR TRACIE Team also reached out to our Subject Matter Expert (SME) Cadre members to gather additional resources they may have, and provide their comments related to your questions about hospital requirements and actions that should be implemented when data needs to be captured on paper. Once we have collected all materials and feedback from our SMEs, we will provide you with an updated response.

I. ASPR TRACIE SME Cadre Comments/ Recommendations

SME Cadre Member 1:

- In the Emergency Department (ED), paper records used during disasters are scanned into the EHR when time allows. Paper forms are also used during normal operational hours when there is EHR downtime (for maintenance, etc.).

SME Cadre Member 2:

- My suggestion is to draw your downtime forms so they resemble your EHR screen shots. That way data entry post downtime is easier to do. If that is not possible, you will need to determine what the critical data elements are for your patient populations and draw your forms to accommodate that information (e.g. NICU will vary from L/D and M/S, etc.).

Our requirement is 100% data entry post downtime (scanning is not an acceptable form of data entry). We allow twice the time that our EHR was down to back enter all of the

downtime data. For example, if we were down for 4 hours, staff get 8 hours to put the data into the EHR. The data is prioritized (most critical patients first, discharged patients last).

- We often call people in to enter data, we have specific language that will be included as a note if someone other than the data collector enters that information.

The paper documents must always be kept so they go to medical records and get scanned in after the patient is discharged. That way they are always available to review if there is any question of the post downtime data entry.

SME Cadre Member 3:

- We have become increasingly dependent on our electronic medical record software. We get frustrated with even short duration events (usually primary or cybersecurity software updates). Most of these incidents range anywhere from a few minutes to 3-4 hours. Then there is an intense catchup period to correct the ER tracking board, ADT (admission/discharge/transfer) updates, medication reconciliations, and billing.
- Based on experiencing sustained downtimes in the past, this is considered a disaster type event.
- During downtimes, a paper template form is used for quick registration with basic demographic identifying information and chief complaint.
- Even though we would use our EMR system for mass casualty incidents (MCI), if it was a large MCI, it is possible that we might have to supplement with paper forms if triaging outdoors.
- We do have a paper replication of our ER documentation that is multiple pages long. However, in October we are switching to a new integrated organizational system and I just found out that this new system does not have a downtime paper record that can be used. This was recognized by a number of specialties throughout the hospital and is a major concern as our area is vulnerable to major hurricanes and potential sustained power issues. I have not yet heard of a plan that will mitigate this.
- Our pharmacy has never had an official downtime template for medication reconciliations. A draft template was developed but not approved by the Pharmacy Committee. So they are still handwriting on paper the medications that our admitted patients are taking. A pharmacist told me that they have not had difficulty getting phone confirmation from local community pharmacies (Walgreens, CVS, etc.) about medications that patients take (unless the phones go down). This confirmation is very needed as over 70% of our patients are geriatric and many have no recollection of their medications).
- HCA (Hospital Corporation of America) is a major U.S. corporation. They recently completed a national downtime survey of all of their facilities with some big gaps noted, for example, with the impact on physician dictation services.
- Downtime is a big deal for psychiatric facilities, including behavioral and residential ones (especially acute care), particularly for medication reconciliation as their patients rely on a number of medications to keep them stable. Medication reconciliation has been previously identified as one of the areas for improvement for downtime.
- Our local county Fire-Rescue Department reported that even brief periods of downtime entail extended time to input data later.

- Cyber threats are sometimes no-notice incidents causing unanticipated downtime. This is very different than anticipated software updates. For example, one of our healthcare facilities reported that their corporate database was hacked through Target data transfer causing extended downtime.

II. Paper-Based Templates

American College of Physicians. (n.d.). [Patient Care & Office Forms](#). (Accessed 7/18/2017.)

These forms were developed from multiple sources, including American College of Physicians members, for use in various practices. It includes forms for patient charts, logs, information sheets, office signs, and for use by practice administration. Most can be used as is or customized to meet the needs of an individual practice.

Hennepin County Medical Center. (n.d.). Disaster Critical Care Note. (See Attached.)

This form from the Hennepin County (MN) Medical Center is used in the Emergency Department for disaster critical care.

Hennepin County Medical Center. (n.d.). Disaster Encounter Note. (See Attached.)

This form from the Hennepin County (MN) Medical Center is used in the Emergency Department for disaster minor care.

Northwell Health. (n.d.). Sampling of Downtime Forms. (See Zip File with Multiple Attachments.)

A sampling of multiple downtime forms can be referenced in the zip file attached. These include forms such as: Admission Medication Reconciliation and Doctor's Order Form, a Pediatric Downtime Patient Profile, ED Downtime Procedures, among others. **NOTE:** For additional sample forms or questions, please contact ASPR TRACIE.

Orlando Health. (2011). Patient Business Downtime Registration Form. (See Attached.)

This patient registration form can be used when the EHR system is down. **NOTE:** Do not further distribute this document. Please contact ASPR TRACIE for permission to disseminate to others.

Orlando Health. (n.d.). Patient Access Identification Form: Mass Casualty Incident. (See Attached.)

This form can be used to log patient information during mass casualty incidents. **NOTE:** Do not further distribute this document. Please contact ASPR TRACIE for permission to disseminate to others.

III. Patient Tracking Resources

Florida Health, Division of Emergency Preparedness and Community Support, Bureau of Preparedness and Response. (2013). [Patient Movement Support Standard Operating Guideline](#).

This Standard Operating Guide highlights the State of Florida's patient movement plan. Sample forms and checklists are included as appendices.

Hospital Incident Command System. (n.d.). [Disaster Victim/Patient Tracking Form](#). (Accessed 7/18/2017.)

Healthcare providers can use this HICS 254 form to track patients by triage tag number, demographics, area triaged to, location/time of procedure, time sent to surgery, and disposition within a healthcare facility.

Hospital Incident Command System. (2014). [Patient Tracking Manager](#).

This Job Action Sheet can be used to monitor the movement and document the location of patients. It also includes lists of other helpful Hospital Incident Command System forms and resources.

King County Healthcare Coalition. (2010). [Regional Medical Evacuation and Patient Tracking Mutual Aid Plan \(MAP\)](#).

This plan provides an operational overview of the King County (WA) regional mutual aid plan that can be applied when an individual facility is in need of resources, or a disaster occurs that forces evacuation. Section 7 focuses on patient identification and tracking and includes sample tracking form templates.