

# HEALTH SERVICES POLICY & PROCEDURE MANUAL

North Carolina Department Of Correction  
Division Of Prisons

SECTION: Administrative

POLICY # AD VI-17

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SUBJECT: HERO Downtime Policy and Procedure

EFFECTIVE DATE: September 2016

SUPERCEDES DATE: N/A

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## PURPOSE

To provide guidelines on:

1. Preparedness for HERO downtimes including MAR backups and which paper forms to have on-hand,
2. Recognizing a HERO downtime and deciding to activate the downtime procedures
3. Who to notify of an unexpected HERO downtime so that restoration efforts can begin immediately, and
4. How to integrate downtime paper documentation back into the electronic health record once HERO is restored.

## POLICY

HERO is the Healthcare Electronic Record for Offenders software application that became the standard for healthcare documentation within the Division of Prisons starting in July 2014 and completing its roll-out across all prison facilities in September 2015.

Like all software applications, HERO is subject to periods of unexpected unavailability referred to as downtimes which can stem from multiple sources. Infrequently but inevitably, the HERO application may become unavailable to users due to:

1. Problems with the HERO software itself as in the case of a failed patch or software upgrade
2. Local or widespread loss of connectivity within the state computer network
3. Problems with the North Carolina Identity Management system (NCID) upon which HERO depends for user authentication
4. Electrical power outages; either at the Data Center hosting HERO's servers or at the Prison facilities themselves

Preparations must be made to ensure that essential healthcare services and associated documentation can continue during these downtimes. These preparations include the performance by nursing of nightly backups of the Medication Administration Record (MAR) Report and associated Pill Line Reports from HERO to a secure, encrypted USB flash drive (IronKey) for local or remote printing during downtimes and maintaining a limited supply of select forms on which to perform paper documentation. Additionally, Health Services staff must know who to notify when HERO becomes unavailable so that the cause of the outage can be identified and resolved promptly. Finally, Health Services staff, particularly nursing and medical records must integrate downtime paper documentation with the electronic record once HERO service is restored.

## PROCEDURE

### **I. PREPAREDNESS**

- A. Every patient care area should maintain at a minimum twenty-five (25) copies each of the following paper healthcare forms to be used during HERO downtimes.

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1. Medical:

- a. DC-598 General Consent Form
- b. DC-602 Sick Call Appointment Request (Spanish)
- c. DC-602 Sick Call Appointment Request
- d. DC-175 Medication Administration Record
- e. DC-175A Controlled Substance Record
- f. Controlled Substance Count or Destruction Verification Sheet
- g. DC-834 Provider Orders
- h. DC-387 Chronological Record of Health Care Inpatient/Outpatient Notes
- i. DC-435 Receiving Screening
- j. DC-524B Discharge Instructions
- k. DC-435 Health Screening

2. Mental Health:

- a. DC-387 Chronological Record of Health Care Inpatient/Outpatient Notes
- b. DC-540 Mental Health Services Referral
- c. DC-444A Mental Health Progress Note
- d. DC-563 Psychiatric Progress Note
- e. DC-508 Social Work Intervention/Progress Note
- f. DC-834 Provider Orders
- g. DC-133R Notice of Referral to a Mental Health Unit
- h. DC-945 Confidentiality and Privileged Information
- i. DC-982 Mental Health Appraisal
- j. DC-983 Mental Health Restrictive Housing Assessment

3. Dental:

- a. DC-389 Dental Treatment Record
- b. DC-442 Release by Patient Leaving Treatment Facility or Refusing Health Care Against Orders of Responsible Clinician
- c. DC-590 Request and Authorization for Oral Surgery
- d. DC-590-S Request and Authorization for Oral Surgery (Spanish)
- e. DC-765 Patient Agreement Regarding Medical Appointment
- f. DC-765 Patient Agreement Regarding Medical Appointment (Spanish)
- g. DC-807 Request and Authorization for General Dental Treatment
- h. DC-807-S Request and Authorization for General Dental Treatment (Spanish)
- i. DC-808 Request and Authorization for Endodontic Root Canal Therapy, Endodontic Surgery, Anesthetics and Medication
- j. DC-808-S Request and Authorization for Endodontic Root Canal Therapy, Endodontic Surgery, Anesthetics and Medication (Spanish)
- k. DC-863 Receipt of State Property
- l. DC-903 Periodontal Chart
- m. Dental Laboratory
- n. DC-388 Dental Health Record

- B. It is the responsibility of Nursing to perform backups of the MAR Reports and Pill Line Reports for the Pill Line Groups of their patient care areas to the secure IronKey USB drive at least once daily.

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1. Health Services will provide each facility with an encrypted IronKey USB drive.
  2. Facility nursing staff will be instructed on the use and secure storage of the IronKey USB drive during the facility's HERO go-live.
  3. The IronKey will be stored in a locked cabinet and be counted each shift and logged on the key/sharps log.
  4. Facility nursing staff will back-up per Pill Line Group organized Pill Line Reports and MAR Reports to the IronKey daily.
  5. Nurse Managers will spot check the IronKey USB drive no less than quarterly during their performance review to ensure that backups of the Pill Line Reports and MAR Reports are being performed daily, the IronKey is being counted on the key/sharps log and staff understand both how to perform the backup and retrieve the backup files off the IronKey.

## II RECOGNITION AND IMPLEMENTATION

- A. Staff should recognize unexpected HERO unavailability as a downtime when:
  1. They are unable to reach the login screen for HERO despite attempts from multiple workstations.
  2. Other staff persons in their work area are also unable to access HERO.
  3. Prior to HERO becoming unavailable there was no email notification from the HERO Team or HERO Message of the Day indicating an expected time-limited outage due to maintenance.
- B. Staff should implement downtime procedures and revert to paper documentation using the forms listed in Section I of this document when the HERO downtime exceeds 1 hour or sooner if urgent medical documentation is deemed necessary (ex: time-sensitive medication orders). This includes printing the most recent backup Pill Line Reports and MAR Reports stored on the IronKey USB drive.

## III COMMUNICATION

- A. So that restoration efforts begin immediately, clinical staff recognizing an unplanned HERO downtime should make the following notifications:
  1. During business hours Monday through Friday, staff should call the HERO Helpdesk at 919-743-4315 or if internet service is still available enter an Online Help Desk Request using the DPS Intranet web form at [http://internal.doc.state.nc.us/dop/form\\_HEROhelpdesk.htm](http://internal.doc.state.nc.us/dop/form_HEROhelpdesk.htm)
  2. After hours, on weekends and holidays staff should use the web form noted above if internet service is still available and call MIS on-call staff at 919-218-2168
  3. In either #1 or #2 above the web form may substituted with an email to [AC\\_Prisons\\_Herohelpdesk@ncdps.gov](mailto:AC_Prisons_Herohelpdesk@ncdps.gov)
  4. The on-call MIS phone number should only be used in the cases of complete HERO unavailability and not for problems with individual user accounts or questions about how to use the HERO EHR application itself.
  5. Upon receiving the HERO Help Desk Request either by telephone or online, the HERO Team will evaluate the nature of the outage and ensure that the appropriate parties at DPS MIS and ATG have been notified. If the outage is widespread but email service is still available, the

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HERO Team will send an email notification to the field that the downtime has been recognized and efforts toward service restoration have begun.

6. Upon resolution of the downtime, the HERO Team will send another email notification to the field that service has been restored.

## IV INTEGRATION OF PAPER DOCUMENTATION INTO ELECTRONIC RECORD

- A. HERO provides a scan type in its Document Manager for paper documentation performed during HERO outages named Downtime Documents. All paper documentation performed during a downtime should be scanned into this folder of the Document Manager except for the following that should be scanned into their own named folders:
  1. Medication Administration Records
  2. Narcotic Orders
  3. Narcotic Records
  4. Non-Narcotic Medication Orders
- B. The scanning of downtime paper documentation should be performed as soon as possible but no later than by the end of the next business day after HERO being restored to service.



9/20/2016

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Paula Y. Smith, Chief of Health Services

Date

SOR: Chief of Health Services