

## Glasgow Clinical Trials Unit Standard Operating Procedure

SOP number	<b>57.002</b>	Version	<b>4.0</b>
Title	<b>Management of Paper Health Records</b>		

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SOP category	57 NHS GG&C Clinical Research Facility – Administration				
Staff category	<b>Staff Category</b>	<b>R</b>	<b>A</b>	<b>C</b>	<b>I</b>
	Nursing	X			
	Administration	X			
	Principal Investigator	X			
	Clinical Research Fellow	X			
	GCRF Manager		X		
	GCRF Associate Director				X
	Senior R&I Manager				X

### 1. Scope

This procedure applies to all staff in Glasgow Clinical Research Facility (GCRF).

### 2. Purpose

The purpose of this SOP is to describe the procedures for managing research participant's paper health records within GCRF.

### 3. Procedures

Health Records are confidential documents and must be transferred and stored in accordance NHS GG&C Health Record Management Policy.

#### 3.1. Submitting requests for paper Health Records to the Reception Staff

Requests for Health Records from members of the research team will be submitted to the GCRF reception staff via Form 57.004D General Admin Tasks. The request should identify the patient full name and date of birth or Hospital Community Health Index (CHI) number and the relevant hospital or Health Board.

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### **3.2. Tracking and transferring Health Records via TrakCare**

TrakCare is used to request Health Records located at NHS GG&C sites. Health Records requested via TrakCare are logged out to the GCRF by Medical Records staff. Health Records for Queen Elizabeth University Hospital CRF may arrive at Neuro Outpatients department, reception staff must collect on arrival.

### **3.3. Tracking and transferring Health Records not available via TrakCare**

A member of the GCRF reception staff will phone the appropriate Medical Records Department to request the required Health Records. Patient identifiers will be provided on request. Method of transfer will be determined by the sender.

### **3.4. Health Records Not Found**

All efforts must be made to locate Health Records required. When requested Health Records cannot be located, the reception staff must inform those who are awaiting their delivery about the situation and ensure they are updated on progress.

### **3.5. Receipt of Health Records**

On receipt of Health Records at the GCRF, the reception staff will complete the required fields on the current GCRF Health Record tracking sheet. Health Records will be held investigator site file room when not in use.

### **3.6 Return of Health Records**

Health Records to be returned must be requested by research team using Form 57.004D General Admin Tasks. Reception staff must check investigator site file room every fortnight to ensure all records have been collected.

When Health Records located in the GCRF are required urgently elsewhere they will be transferred to the requesting location by a member of the reception staff or by courier as appropriate to their destination.

### **3.7. Health Records missing in GCRF**

In the event that Health records transferred in to the GCRF cannot be located, a manual search must be performed. If the search is unsuccessful, the GCRF Administration Manger must be informed immediately. Details of the missing records must be escalated to the appropriate Health Records team.

## **4. Referenced documents**

- NHS GG&C Health Records Management Policy

## **5. Related documents**

## Glasgow Clinical Trials Unit Standard Operating Procedure

- NHS Greater Glasgow & Clyde Health & Safety policy 2008
- NHS Code of Practice on Protecting Patient Confidentiality 2003
- Caldicott Guardian Manual 2008 Scottish Version 1.0
- Document Management: NHS Code of Practice 2010

### 6. Document history

Version	Date	Description
1.0	23/02/2012	First version
2.0	15/07/2016	SOP restructure Change of approved and released by Change of title Minor admin changes
3.0	11/12/2018	Updated section on paper case notes Minor administration changes Update to reception staff throughout Removed appendix 2
4.0	23/06/2023	Update to SOP template v2.0 Minor administration changes Change of author

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