

## Transfer of Research Participant Case Notes Between NHS and non-NHS Premises

**IT IS THE RESPONSIBILITY OF ALL USERS OF THIS SOP TO ENSURE THAT  
THE CORRECT VERSION IS BEING USED**

All staff should regularly check the R&D Unit's website and/or Q-Pulse for information relating to the implementation of new or revised versions. Staff must ensure that they are adequately trained in the new procedure and must make sure that all copies of superseded versions are promptly withdrawn from use unless notified otherwise by the SOP Controller.

The definitive versions of all R&D Unit SOPs appear online. If you are reading this in printed form check that the version number and date below is the most recent one as shown on the R&D Unit website: [www.northyorksresearch.nhs.uk/sops.html](http://www.northyorksresearch.nhs.uk/sops.html) and/or Q-Pulse

SOP Reference:	R&D/S65
Version Number:	4.0
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Implementation date of current version:	24 <sup>th</sup> August 2017

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This SOP will normally be reviewed every 3 years unless changes to the legislation require otherwise

### Version History Log

This area should detail the version history for this document. It should detail the key elements of the changes to the versions.

Version	Date Implemented	Details of significant changes
1.0	1 <sup>st</sup> November 2010	
2.0	14 <sup>th</sup> June 2013	Removal of references to the North and East Yorkshire Alliance. Change of SOP Controller. Reviewed by Generic Team changed Author. Removed N & E Yorks Alliance Logo from log example in Appendix B
3.0	8 <sup>th</sup> February 2016	Two year review
4.0	24 <sup>th</sup> August 2017	Addition of new head of R&D Minor changes to include opening times of medical records

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## 1 Introduction, Background and Purpose

To undertake effective documentation as part of research it may occasionally be necessary for notes to be removed from an NHS site to a non-NHS site. As part of effective data protection and accessibility it is imperative that these notes are (i) transported securely, (ii) tracked appropriately, (ii) returned to an NHS site each evening.

## 2 Who Should Use This SOP

Research Staff requiring approved access to hospital patient case notes for the purposes of research.

## 3 When this SOP Should be Used

Transfer of medical notes between different NHS sites within a Hospital NHS Trust will follow that Trust's normal case note tracking and returns procedure. This SOP will apply only when hospital medical notes are required to be removed from an NHS site for use on a non-NHS site.

## 4 Procedure(s)

### 4.1 Collection of Notes

- Identify the location of the notes on 'Notes Tracker'
- Telephone to confirm availability (if current location is not Health Records)
- Take agreed transport bag (Appendix A) and security tag to Hospital Site
- Assess the load with regard to Manual Handling
- Place notes into transport bag
- Attach and lock security tag
- Confirm transfer logged on Notes Tracker by current location
- Transport notes directly to intended office destination by hand
- Complete a Notes Transfer Log on arrival at location (Appendix B)
- Remove security tag and notes from transport bag

### 4.2 Return of Notes

Notes must be returned to the Hospital Site by the end of the working day and must not be left in non-NHS Offices.

- Place notes into agreed transport bag
- Assess the load with regard to Manual Handling
- Attach security tag
- Log transfer on Notes Tracker
- Staff member logging transfer transports notes to Hospital Site. Notes should be delivered to one of the following locations (i) the location that they were collected from earlier in the day, (ii) a different location that has made a request for the notes, or (iii) Health Records. Health records window is open 10.00-12.00 and 14.00 -16.00
- Complete Notes Transfer Log on delivery

## 5 Related SOPs and Documents

There are no known related SOPs

## 6 Appendix A

Approved Transport Bag:

### York Teaching Hospital NHS Foundation Trust

- Courier Holdall Ref No WZN388 in NHS supplies Catalogue with tamper evident security.

## 7 Appendix B

Example of a Notes Transfer Log

### *Notes Tracker Log*

Patient Record Number	Date Obtained (DD/MM/YY YY)	Time Obtained (24 hour)	Patient Record Obtained By	Date Returned (DD/MM/YY YY)	Time Returned (24 hour)	Patient Record Returned By	Patient Record Recieved By