

LOUIS STOKES CLEVELAND VA MEDICAL CENTER  
Medical Research Service  
Institutional Review Board  
SOP Cover Page

Effective Date: July 1, 2005

SOP Title: Ordering Medical Records for Research Purposes

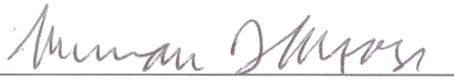
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Signature \_\_\_\_\_ Date July 1, 2005

Approved By:

Associate Chief of Staff/Research or Committee Chairperson

  
Signature \_\_\_\_\_ Date 7/1/05

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Signature \_\_\_\_\_ Date \_\_\_\_\_

**LOUIS STOKES CLEVELAND VA MEDICAL CENTER**  
**Medical Research Service**  
**Standard Operating Policy and Procedure (SOP)**

**Effective Date:** July 1, 2005

**SOP Title:** Ordering Medical Records for Research Purposes

**SOP Number:** HSP-010

**SOP Version:** .00

1. **PURPOSE:** To establish procedures for ordering hardcopy medical records from the medical record room to ensure accountability, continuity and consistency of care.
2. **POLICY:** It may be necessary for study personnel to order hardcopy medical records.
3. **DEFINITIONS:** None
4. **RESPONSIBILITIES:** The principal investigator must ensure that, when necessary, information is placed in patients' medical records. The principal investigator is responsible for ensuring that medical records are returned in a timely manner.
5. **PROCEDURE:** There are 4 methods for ordering patient records: a.) Automatically order medical records when an appointment is scheduled; b.) Order a single chart or a small number; c.) Order multiple records by creating a "pull list"; or d.) Going to medical records.
  - a. Automatic Delivery upon Appointment being Scheduled
    - (1) Contact Connie Calhoun x 5307. She will set up the "Record Tracking" option that generates automatic delivery of medical records. (After making this request, allow 5-7 days before the first record will be automatically delivered.)
  - b. Ordering One Record or A Small Number
    - (1) Sign on to VISTA
    - (2) At the prompt type "MAS" 'Enter'
      - (a) If after typing MAS Statement 3 (below) does not appear, then contact Connie Calhoun x 5307 and request access to this menu.
    - (3) At the prompt "Select MAS BORROWER MENU Option:" Type "req" 'Enter'
    - (4) 1 Request a Record  
2 Requests Pending for a Borrower

At the prompt "CHOOSE 1-2:" 1 Request a Record 'Enter'

- (5) At the prompt "Select Record:" xx (patient last name, first name) 'Enter'
- ```

1 XX ABC,DORIS      6-12-66  000009182  YES  SC VETERAN

2 XX AJNMOUSE,MICKEY  5-19-25  000006789  YES  SC VETERAN

3 XX BEAR,TEDDY     12-21-45  000000021  NO   NSC VETERAN
4 XX BEAUTY,SLEEPING *SENSITIVE* *SENSITIVE* NO   NON-
  VETERAN (OTHER)
5 XX BIRD,TWEETY    3-2-57   000000024
Press <RETURN> to see more, '^' to exit this list, OR

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CHOOSE 1-5: 5 XX BIRD,TWEETY 3-2-57 000000024 'Enter'

- (6) At the prompt "Do you wish to view active patient record flag details?" YES// n NO 'Enter'
- (7) At the prompt "Select XX BIRD,TWEETY's Records from List:" Type 1 'Enter'
- (8) At the prompt "REQUESTING RECORD FOR WHICH BORROWER:" type last name,first name MI 'Enter'
- (9) At the prompt "Last name,first name 151(W) HEALTH SCIENCE SPECIALIST...OK? Yes//'" 'Enter'
- (10) At the prompt "DATE/TIME RECORD NEEDED: NOW//'" 9/20/04 'enter'
- (11) A request number will appear with the comment that a notice has been printed. Make a note of the request number. Please note that if a future date is selected, a notice may not be printed. It does not matter that it is not printed because you will send an email notification. (See step 12)
- (12) When the list is completed, medical records must be notified that the record has been requested. Email all of the following people and include the request number:
- Abrams, Lannetta A. (VHACLE) [Lannetta.Abrams@med.va.gov](mailto:Lannetta.Abrams@med.va.gov)
- Fullerton, Micheal (VHACLE) [Micheal.Fullerton@med.va.gov](mailto:Micheal.Fullerton@med.va.gov)

c. Creating a pull list

- (1) Sign on to VISTA
- (2) At the prompt type "MAS" 'Enter'
- (a) If after typing MAS, Question 3 does not appear, then contact Connie Calhoun x 5307 and request access to this menu.

- (3) At the prompt “Do you want to use the file room's default devices? No//” ‘Enter’
- (4) At the prompt “Select Record Tracking File Room: MAS WP MAIN//” ‘Enter’
- (5) At the prompt “MAS WP MAIN OK? Yes//” ‘Enter’
  - (a) To specify another location (Youngstown, Brecksville, etc.), type “?” after “yes//” to receive a full list of locations. Choose from the list provided and type in the correct name. (Hint: This is not necessary because a full list of the patients medical records will be provided in a later step and, any of those records can be ordered.)
  - (b) At the prompt “Select MAS BORROWER MENU Option:” type “cr” ‘Enter’
    - Add Requests to Pull List
    - Cancel a Request
    - Cancel Request from Pull List
    - Create a Pull List
    - Display Request
    - Edit a Request
    - Fill Next Clinic Request
    - Patient Charge-Out
    - Print Pull List(s)
    - Re-Charge Records
    - Record Information Menu
    - Records Charged to a Borrower
    - Reprint a Request Notice
    - Request a Record
    - Requests Pending for a Borrower

Designating ‘cr’ allows the user to create a pull list. As many records as necessary may be added to this list
- (6) At the prompt “Enter NEW PULL LIST NAME:” Type “New Name” ‘Enter’
  - (a) Any name may be used for the pull list. However, it is helpful to incorporate the study name into the list name. Medical records can search by name in the situation that the pull list number (see step 8) is lost.
- (7) At the prompt “Are you adding “New Name” as a new PULL LIST? No//” Type “Y” ‘Enter’
- (8) At the prompt “PULL LIST NUMBER: 1894//” ‘enter’
  - (a) This number should be written down. It will need to be provided to the medical records staff when they are notified that a pull list has been created.
- (9) At the prompt “RECORD TYPE RESTRICTION:” ‘Enter’

- (10) At the prompt “DATE RECORDS NEEDED:” Type the date needed ‘Enter’
- (11) At the prompt “BORROWER:” creator’s Last name,First name MI ‘Enter’
  - (a) If the creator’s name is common (e.g. Smith,John J) a list of names will appear, along with the social security number. Type the number associated with the correct name and social security number. ‘Enter’
- (12) At the prompt “User Lastname,First name, MI Mailstop HEALTH SCIENCE SPECIALIST OK? Yes//” ‘Enter’
- (13) At the prompt “Select Record:” Type patient Last name,First name MI ‘Enter’
  - (a) A list may be presented of multiple patients with same first and last names. Choose the record associated with the correct social security number.
- (14) At the prompt “Select ‘Last Name,First Name’ Records from List”: Type number associated with record desired ‘enter’
- (15) “Select Record:” appears again
- (16) Repeat Steps 13 and 14 until all patient names have been entered. When select record appears again and there are no more names to be entered, ‘enter’ and the list will be complete.
- (17) To add to this list, go into the “MAS” menu, but instead of entering “cr” enter “add”. When the list is completed, Medical records must be notified that the pull list has been created and is ready for use. Send one e-mail, that includes the pull list number, to all of the following people:

Abrams, Lannetta A. (VHACLE) [Lannetta.Abrams@med.va.gov](mailto:Lannetta.Abrams@med.va.gov)

Fullerton, Micheal (VHACLE) [Micheal.Fullerton@med.va.gov](mailto:Micheal.Fullerton@med.va.gov)

#### d. Manually Pulling Patient Records

- (1) Create a Pull list
- (2) Contact:
 

Abrams, Lannetta A. (VHACLE) [Lannetta.Abrams@med.va.gov](mailto:Lannetta.Abrams@med.va.gov) OR

Fullerton, Michael (VHACLE) [Micheal.Fullerton@med.va.gov](mailto:Micheal.Fullerton@med.va.gov)
- (3) Request a copy of the pull list as an email attachment or email text. This list will include the patient’s medical record number.

(4) Go to medical records, pull the chart, insert documents, and replace the record. (Hint: Remain in the aisle while inserting the document for easier re-shelving of the chart.)

6. **REFERENCE:** None

7. **RESCISSION:** The rescission date for this procedure is June 30, 2008.

8. **FOLLOW UP RESPONSIBILITY:** Research Compliance Officer