

# CPG9e - MISPLACED CLINICAL RECORDS PROCEDURE

## APPENDIX 1

### INVESTIGATION OF MISPLACED RECORDS

**Misplaced File Register, Log No.** \_\_\_\_\_

*(to be completed by Trust Records Manager Only)*

Patient's Full Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Local Identifier(s): \_\_\_\_\_ NHS No: \_\_\_\_\_

Required By, Purpose and Date Required: \_\_\_\_\_

Reported By: \_\_\_\_\_

Date of Last Known Booking / Tracking: \_\_\_\_\_

Last Known Holder of the Record: Name: \_\_\_\_\_ Location: \_\_\_\_\_

Process to be followed where Records are not available / misplaced.  
This checklist must be duly completed in line with the procedural guidelines and  
escalated as appropriate.

	Review Process	Comments	Sign-Off
	<b>Search One (to commence immediately): Requestor and / or Last Known Holder</b>	<b>NAME / DESIGNATION:</b>	<b>DATE:</b>
1	Contact all record store leads to inform of misplaced record and request local searches		
2	Where did you expect the Records to be located/held? State actual last booking / tracking, date, time, user code, known from source e.g. records library		
3	Where else have you searched/looked? Please list all possibilities. List all searches and dates searched, e.g. shelf 1, shelf 2, in filing cabinet 1, boxes on floor, etc.		
4	Who else might have taken them (list them)? e.g. check with other sections/departments, etc. and confirm that they have undertaken a reasonable search.		
5	Pass this form to your Line Manager (who will instigate a second search).		
	<b>Signed:</b>		
	<b>Line Manager</b>	<b>Name / Designation:</b>	<b>Date:</b>
6	<b>Are you happy that this first search has been thorough enough?</b>		

## CPG9e - MISPLACED CLINICAL RECORDS PROCEDURE

<b>7</b>	<b>If no, what action do you take?</b>		
	<b>Signed:</b>		
	<b>File Found</b>	<b>Where:</b>	<b>Date:</b>
	<b>Search Two (to complete within 1 working day): Independent Investigator</b>	<b>Name / Designation of Person:</b>	<b>Date:</b>
<b>8</b>	Where did you expect the Records to be located/held?		
<b>9</b>	Where else have you searched/looked? Please list all possibilities		
<b>10</b>	Who else might have taken them (list them)? e.g. check with other sections/departments, etc. and confirm that they have		
<b>11</b>	Pass this form to your Line Manager.		
	<b>File Found</b>	<b>Where:</b>	<b>Date:</b>
	<b>File not found Line Manager</b>	<b>Name / Designation:</b>	<b>Date:</b>
<b>12</b>	Are you happy that the second search has been thorough enough?		
<b>13</b>	If not, what action will you now take?		
	<b>Signed:</b>		
	<b>Search Three (to be completed within 5 working days) – Trust Records Manager</b>		
<b>14</b>	Where did you expect the Records to be located/held?		
<b>15</b>	Where else have you searched/looked? Please list all possibilities		
<b>16</b>	Who else might have taken them (list them)? E.g. check with other sections/departments, etc. and confirm that they have		
<b>17</b>	Pass this form to your Line Manager.		
	<b>Report to Caldicott Guardian / SIRO / SUI</b>		
<b>18</b>	Are you happy to sign this off as a formally lost record?		

**CPG9e - MISPLACED CLINICAL RECORDS PROCEDURE**

<b>19</b>	If not, what action will you now take?		
	<b>Caldicott / SIRO</b>	<b>Name / Designation:</b>	<b>Date:</b>
	<b>Signed:</b>		
	<b>File Found</b>	<b>Where:</b>	<b>Date:</b>
		<b>Name / Designation:</b>	<b>Date:</b>
	<b>Signed:</b>		
	<b>Notifying the Patient</b>		
<b>20</b>	Clinical lead confirms patient notified six months from initial date of investigation	<b>Comments:</b>	
<b>21</b>	Date of Initial investigation		
<b>22</b>	Date patient notified		
	<b>Signed:</b>		

This Form will be held as part of the Misplaced File Register by the Trust Records Manager

SAMPLE - DO NOT USE