Docman Transfer Process – GP Guidelines

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Docman Transfer Overview

Introduction

Docman software allows GPs to scan in paperwork and store it as a scanned image on their practice network.

The procedures will cover the transfer of the Docman images when a patient leaves a GP Practice and registers with another GP Practice in Scotland, and those patients who are transferring off the Scottish system.

Outline Overview

1. When a patient leaves a GP Practice, the Docman Images will be exported to a specified area where eLinks will retrieve the package.

   The eLinks functionality is currently used to transfer patient transfer information from one GP to another. This functionality will be extended to enable the Docman images package to be transferred.

2. The package will be transferred to a new application called MedEx to allow checks against the Community Health Index (CHI) to be carried out.

3. MedEx will also allow PSD Medical staff to deal with any CHI exceptions or any records transferred off the Scottish System.

4. The package will then be transferred back to eLinks to allow it to be sent to the receiving practice.

5. When the images are received by the new practice these are then imported into Docman to form part of the new patient record.

Importing & Exporting Docman Scanned Images

When you are notified of a patient being removed from your practice list, you currently have to print out your GP System Record (known in GPASS as the Data Protection Summary) and package it with the paper records being returned to PSD. Now, you can add this GP System Record electronically into Docman as part of the file or "package".

You can add it to Docman the original way, by scanning the paper print-out into Docman or, by the new direct way without having to print them all out - detailed on Page 10.

This new export process will save practice resources by electronically exporting images that have been scanned into Docman, while the import process will preserve the quality of the documents eliminating the need for rescanning and/or re-integrating the paper records and reduce the misfiling of scanned documents. In addition, the document will go automatically into the standard filing structure, for immediate use.

Once you have exported a patient's documents in one file into a predefined location (export postbox), PSD will electronically collect the file as a package and match it to the patient's new practice.

PSD are aware of which practices have Docman and will take the appropriate actions with regard to the receiving GP Practice status.

Docman Transfer Overview

If the receiving GP Practice has Docman then PSD will electronically send the package to the practice to a specified location (import postbox). GP Practices should set up a process to regularly check their import postbox and use the following instructions to import scanned documents for newly registered patients.

Note: The transfer process will only electronically transfer the Docman images along with any annotations (highlighting and stamps). Neither the audit trail nor comments added through Docman are transferred. Both are retained in the archived copy at the original practice.

PLEASE NOTE: If you have documents scanned using software other than Docman you should import these directly into Docman before export.

Exporting Process Flow

```
                              ┌──────────────────┐
                              │      Start       │
                              └──────────────────┘
                                       │
                                       ▼
                              ┌──────────────────┐
                              │ Deduction received│
                              │    from PSD      │
                              └──────────────────┘
                                       │
                                       ▼
   ┌──────────────────────┐   ┌──────────────────┐
   │ We would encourage   │   │ Accept Deduction │
   │ Practices to create  │   └──────────────────┘
   │ Full Patient Record  │            │
   │ by adding the GP     │            ▼
   │ System Record to     │   ┌──────────────────┐
   │ Docman - see         │   │ Export Patient   │
   │ www.scimp.scot.nhs.uk│   │    Summary       │
   │ /eRecords.docman.html│   └──────────────────┘
   └──────────────────────┘            │
                                       ▼
                              ┌──────────────────┐
                              │ Retrieve Docman  │
                              │ images for export│
                              └──────────────────┘
                                       │
   ┌──────────────────┐       ┌──────────────────┐
   │ Retrieve paper   │       │ Select 'Export & │
   │ medical record   │       │   Archive'       │
   └──────────────────┘       └──────────────────┘
                                       │
                                       ▼
                              ┌──────────────────┐   ┌──────────────────────┐
                              │ 'Is the patient  │   │ Select Yes if fully  │
                              │ record fully     │   │ scanned (there is no │
                              │ scanned into     │   │ paper records to     │
                              │ Docman?' Select  │   │ follow)              │
                              │ Yes or No        │   │                      │
                              └──────────────────┘   │ Select No if paper   │
                                       │             │ records exist        │
                                       ▼             └──────────────────────┘
                              ┌──────────────────┐
                              │ Complete Transfer│
                              │ Form and attached│
                              │ to the front of  │
                              │ the paper record │
                              └──────────────────┘
                                       │
                                       ▼
                              ┌──────────────────┐
                              │ Send the paper   │
                              │ record to PSD    │
                              └──────────────────┘
                                       │
                                       ▼
                              ┌──────────────────┐
                              │      End         │
                              └──────────────────┘
```

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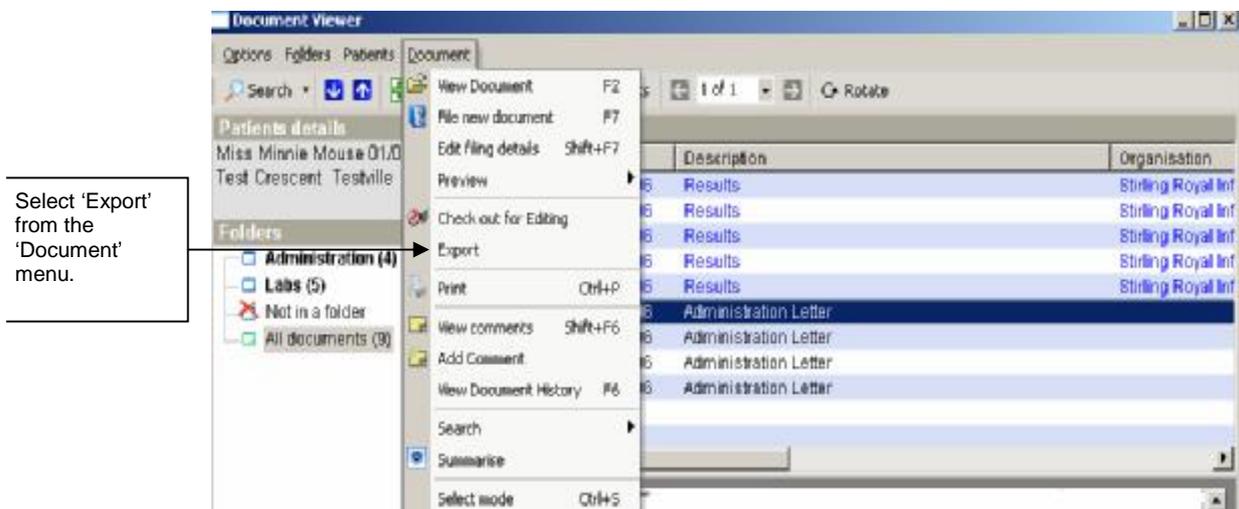
Exporting From Docman

Warning: Do not export the Docman records until you have received the deduction for the patient via Partners.

Note: The person responsible for exporting the Docman images within the GP Practice should have the highest available rights (level 9), as any documents that have a higher security level than the user would not be exported.
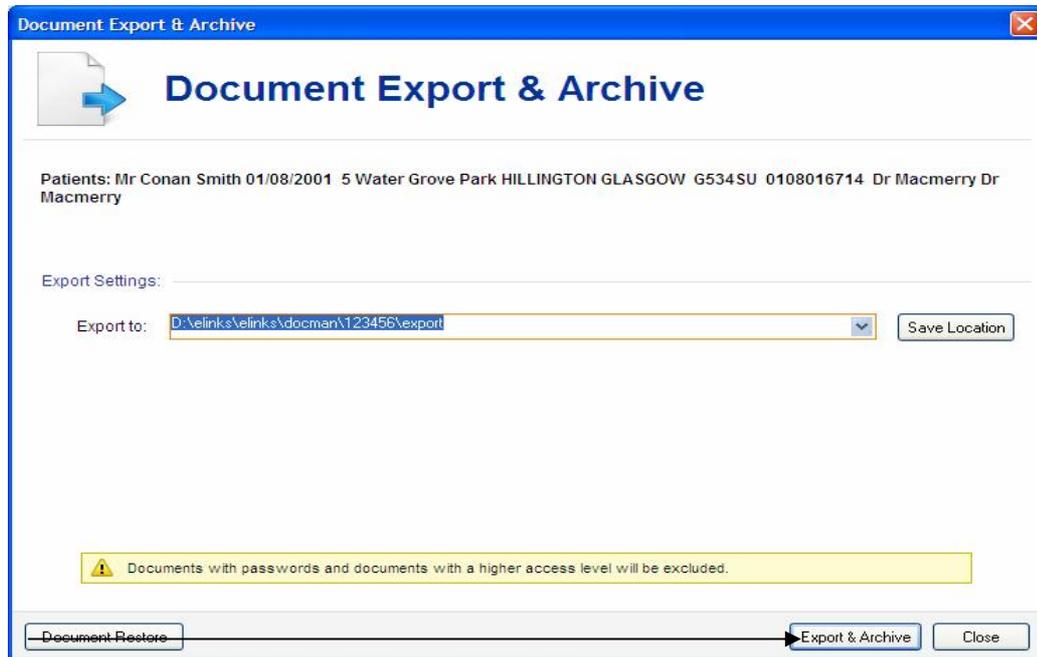
HOW TO EXPORT

To export a record, open Docman and use the normal Docman procedure to find the patient whose record you wish to export.

In the Document Viewer (see below), select the 'Document' menu and click 'Export'.

Select 'Export' from the 'Document' menu.

Exporting from Docman

The Document Export and Archive screen will appear.

Select 'Export & Archive'

Export Location

The export location will be set during the eLinks/Docman installation. GP Practices should not change this location.

Export & Archive

Archiving on export is now mandatory. This will ensure that all records/clinical system summaries associated with a patient are kept together, eliminate the likelihood of records being deleted, and ensure the audit trail is as robust as possible.

q Select '**Export & Archive** from the bottom of the screen; this may take a couple of minutes depending on how many documents there are for the patient.

If the export seems to be taking a long time, it is because of a large patient record – please do not cancel.

Export Message Prompts

After you click the export button a series of dialogue boxes will appear.

First indicate whether the patient's record has been fully scanned.

```
┌──────────────────────────────────────────────── ☒ ┐
│                                                     │
│   ?    DOCMAN                                        │
│                                                     │
│        Is the patient record fully scanned into Docman? │
│                                                     │
│        Yes = Fully scanned                          │
│        No = Paper records exist                     │
│                                                     │
│                                                     │
│                              [ Yes ]    [ No ]      │
└─────────────────────────────────────────────────────┘
```

See notes below before choosing whether to click
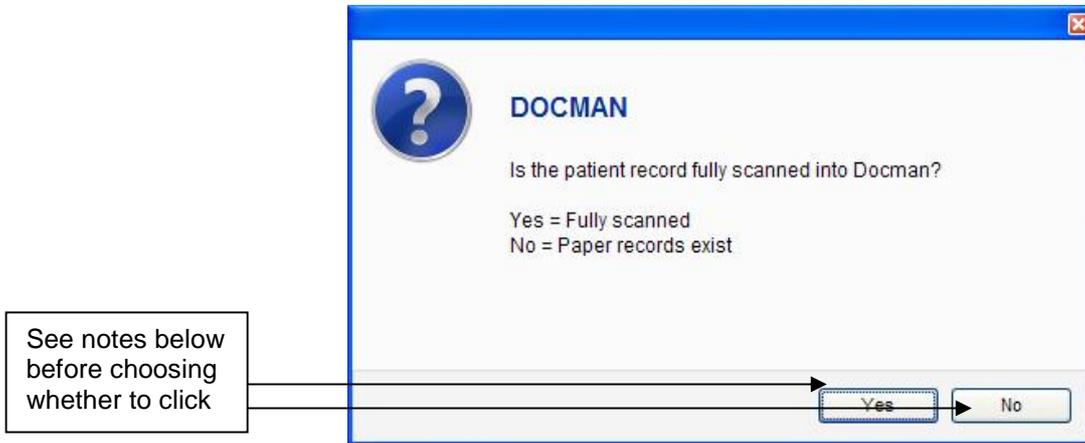
- q Select **Yes, if fully scanned/added in full -** there are no paper records to follow in any form AND the GP System Record has been added to Docman, either by scanning in a print-out, or by direct import

- q Select **No, if paper records exist –** full record or some other hard copy eg summaries that have not been added to Docman

You will now receive a messaging confirming the archive.

```
┌──────────────────────────────────────── ☒ ┐
│ DOCMAN                                      │
│                                             │
│   (i)  Archive completed - a record of this archive has │
│        been audited.                        │
│                                             │
│                                             │
│                              [ OK ]         │
└─────────────────────────────────────────────┘
```

Click OK

Exporting from Docman

PATIENT TRANSFER NOTIFICATION FORM

Practice should complete the new 'Patient Transfer Notification Form' (see end of guide) and attach to the front of the paper medical records being returning to PSD.

MANUAL DEDUCTIONS

GP Practices should not manually deduct patients unless instructed by PSD. The reason for this is that manually deducting patients at the GP Practice does not remove them from the list on CHI.

The process to be followed should be to notify to PSD through Partners, or in writing/fax. PSD will remove the patient from the list on CHI immediately and a HB deduction will then be sent to you for you to approve. The package can then be exported.

FULL PATIENT RECORDS

We would encourage GP Practices to create a wholly electronic Full Patient Record by adding the GP System Record to Docman before export.

This should be filed in the:

- § National Filing Folder Name - **Clinical**
- § Description – **GP System Record**
- § Organisation – **Exporting Practice Name and Practice Code**

This can now be done directly, without printing: for individual system instructions on how to do this – see:

http://www.scimp.scot.nhs.uk/eRecords_docman.html

Otherwise, GP Practices should print out the GP System Record and scan into Docman before exporting.

TEMPORARY RESIDENTS

For those GP Practices that have scanned images for temporary patients on Docman, please print these out and sent to PSD within your mailbags. Do not export Docman records for temporary residents.

Importing Process Flow

```
                            ┌─────────────┐
                            │    Start     │
                            └──────┬──────┘
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Practice regularly    │
                        │ checks Docman Import  │
                        │ folder                │
                        └──────────┬───────────┘
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Check CHI number for  │
                        │ electronic images     │
                        │ received against New  │
                        │ Patient list          │
                        └──────────┬───────────┘
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Import Immediately    │
                        └──────────┬───────────┘
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Note details of       │
                        │ prompt advising if    │
                        │ paper records to      │
                        │ follow                │
                        └──────────┬───────────┘
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Check for, and refile │
                        │ 'not in a folder'     │
                        │ items                 │
                        └──────────┬───────────┘
                                   │
                                   ▼
                             ◇ Are there
                               more records   ──Yes──►
                               to import? ◇
                                   │
                                  No
                                   │
                                   ▼
                        ┌──────────────────────┐
                        │ Run 'Docman Import    │
                        │ Archive'              │
                        └──────────┬───────────┘
                                   │
                                   ▼
                            ┌─────────────┐
                            │    End       │
                            └─────────────┘
```
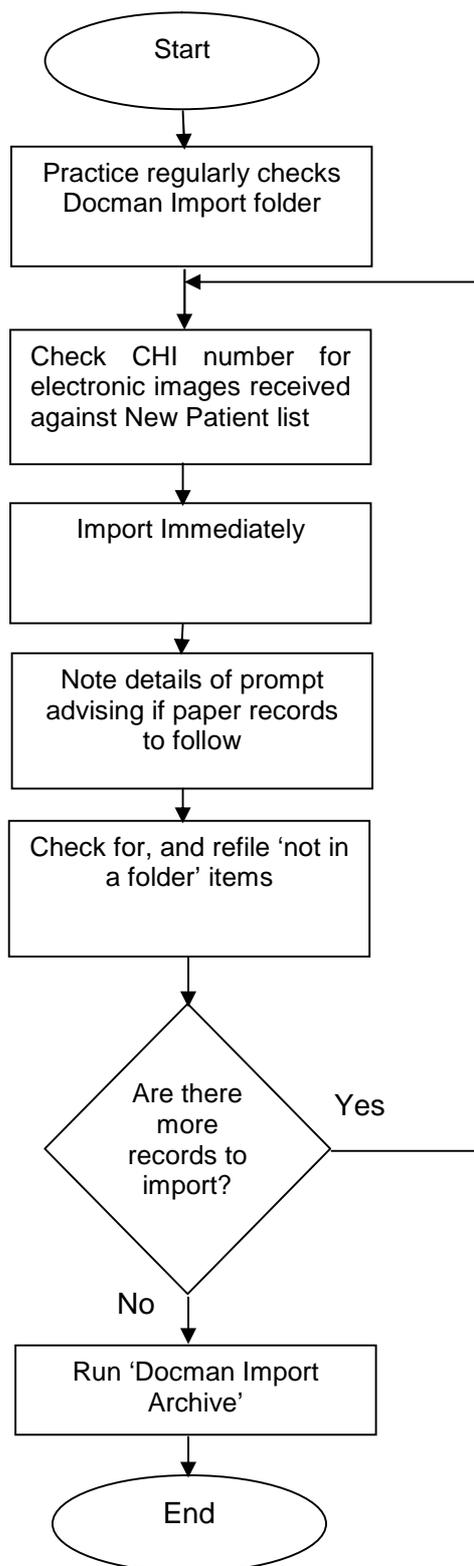
IMPORTING

You should check the import folder on a regular basis. This is the 'import postbox' where eLinks will place the electronic images for new patients.

From the main screen,

> q **select 'File Documents' (F2)** as you would when scanning
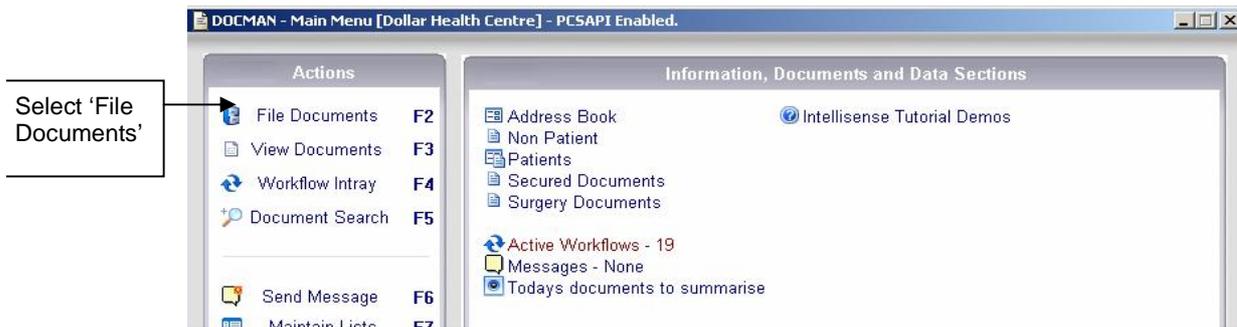
This will open the main scanning page.

> q From the "Capture" pull down menu, **select 'Import XML batch'**
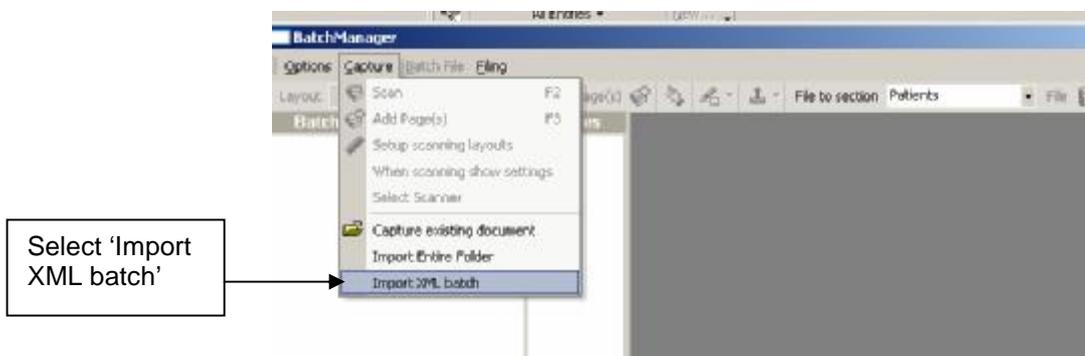
This will open the standard Microsoft open file window. It should automatically select the appropriate folder. However you may have to manually select the import folder as you would with any document.

You will have been advised of the location of this folder when you received training.

You will now be able to see the contents of the Docman Import folder. Select the file you wish to import and click 'Open'.   You only need to select the xml file; you do not need to import the folder.

Select the record you wish to import and click 'Open'
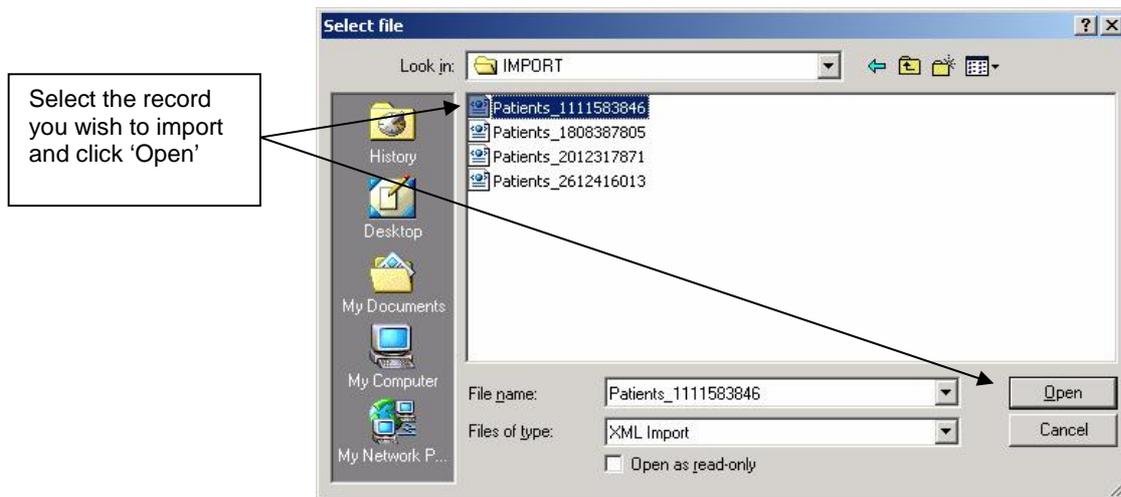
An hourglass may appear while the system imports the records. If the system does not successfully match the patient then you will be prompted to match the patient manually (see Page 13)

As part of the import routine, Docman will check whether an import has already occurred for this patient.

  ¶   If this is the case, the following message prompt will be displayed:

  §   If you select **'Yes'** – the Import will occur again, possibly resulting in duplicate documents in the patient record.

  §   Selecting '**No'**, will cancel the import process. You may wish to check with your colleagues to confirm whether they have already carried out the import.

When the import has been completed the following screen message will advise the number of documents imported.

It will also advise whether or not there is a paper record to follow. You may wish to make a note of this message as it will not be displayed again.

§   Click OK.
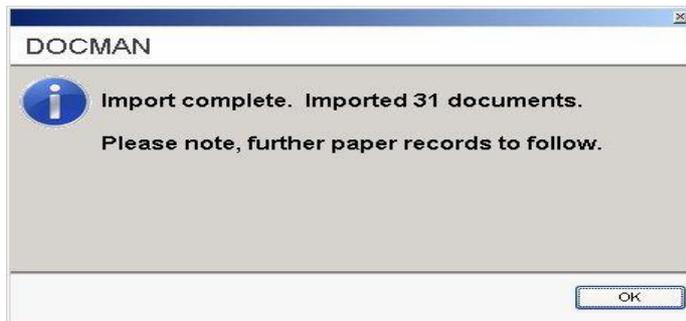
NB: If there is no paper records to follow the message will advise – '**Please note, the sender indicated that this is the complete document record.**'

The import is now complete.

FOLDER STRUCTURE

As all GP Practices in Scotland now use the same folder structure, Docman will automatically file the images into the same folders. This includes any that were not previously filed so were left as '**Not in a folder**'.

If the previous GP Practice had created any non-standard custom folders, documents from these will also now be filed as '**Not in a folder**'.
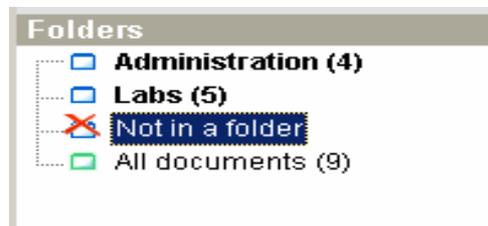
Contents of '**Not in a folder**' should be routinely checked after import. You can then go in and manually assign them to a folder if you can. However they will always be available to view whether left as '**Not in a folder**' or re-filed.

If the Docman import includes the GP System Record from the previous GP practice, this should be found in the **Clinical** folder.

WHERE THE SYSTEM CANNOT FIND AN EXACT MATCH

If the system cannot find an exact match, for example:

- Two people in your system with same name and DOB or,
- Called 'McDonald' on the scanned images from the previous GP Practice but the patient is registered with you as 'MacDonald',

Docman will come back with an incomplete match and ask you to manually identify the patients, in exactly the same way you would if you were scanning new documents.

RECORDS RECEIVED – UPDATING THE CLINICAL SYSTEM

You should update the clinical system to show medical records received once the complete medical record has been received by the GP Practice, irrespective of the combination, eg paper only, paper plus Docman or Docman only, but only on receipt of the complete record.

ARCHIVE ROUTINE – IMPORT FOLDER

Warning: Do not run the archive routine until all records in the import folder have been successfully imported. Running the archive will remove the files from the Import Folder even if you have not already imported them.

The archive routine moves the files from the 'Import' folder on the server to another storage area. This allows you to easily keep track of what you have already imported.

To run the archive routine:

- Go to the **edocs** folder
- There is a file **archive.bat**
- Double click this to periodically run Archive routine and clear the Import folder

After running the archive you can check the Import folder, which should now be empty.

Un-archiving Functionality

The un-archiving functionality within Docman allows GP Practices to access a copy of the archived records without supplier intervention. The reason for accessing the archived records will be recorded against the patient record audit trail. GP Practices should ensure they have legitimate reason for accessing records of ex-patients and should be prepared to demonstrate these to avoid breaching the Data Protection Act.

Please note: The restored record will be a copy of the archived record. The original archived record will remain untouched.

To access a copy of the archived record, open Docman and use the normal Docman procedure to find the patient whose record you wish to restore.

In the Document Viewer (see below), select the 'Document' menu and click 'Export'.
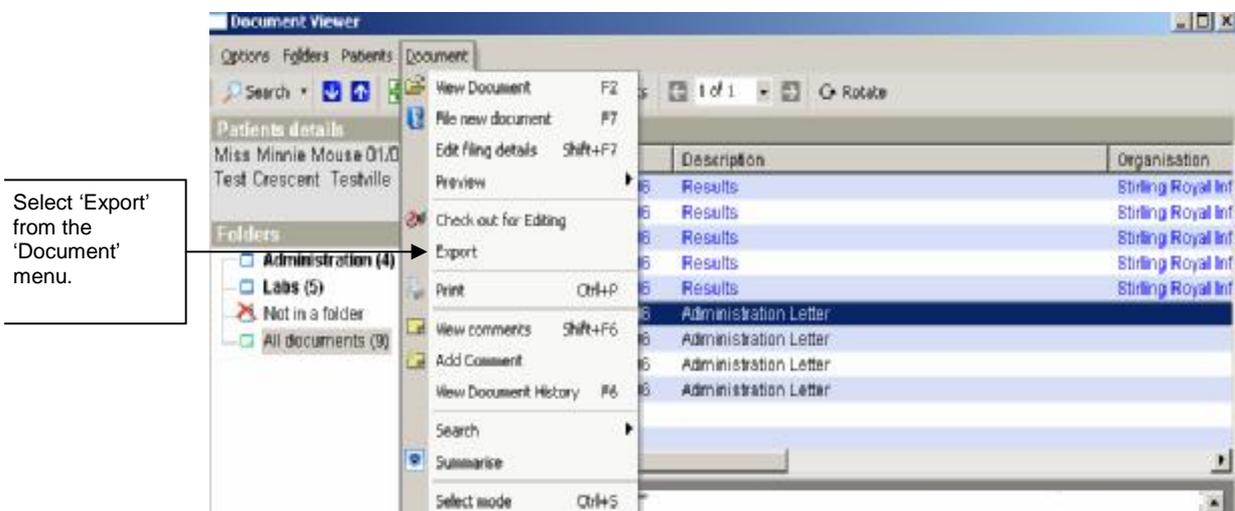
The Document Export and Archive screen will appear.
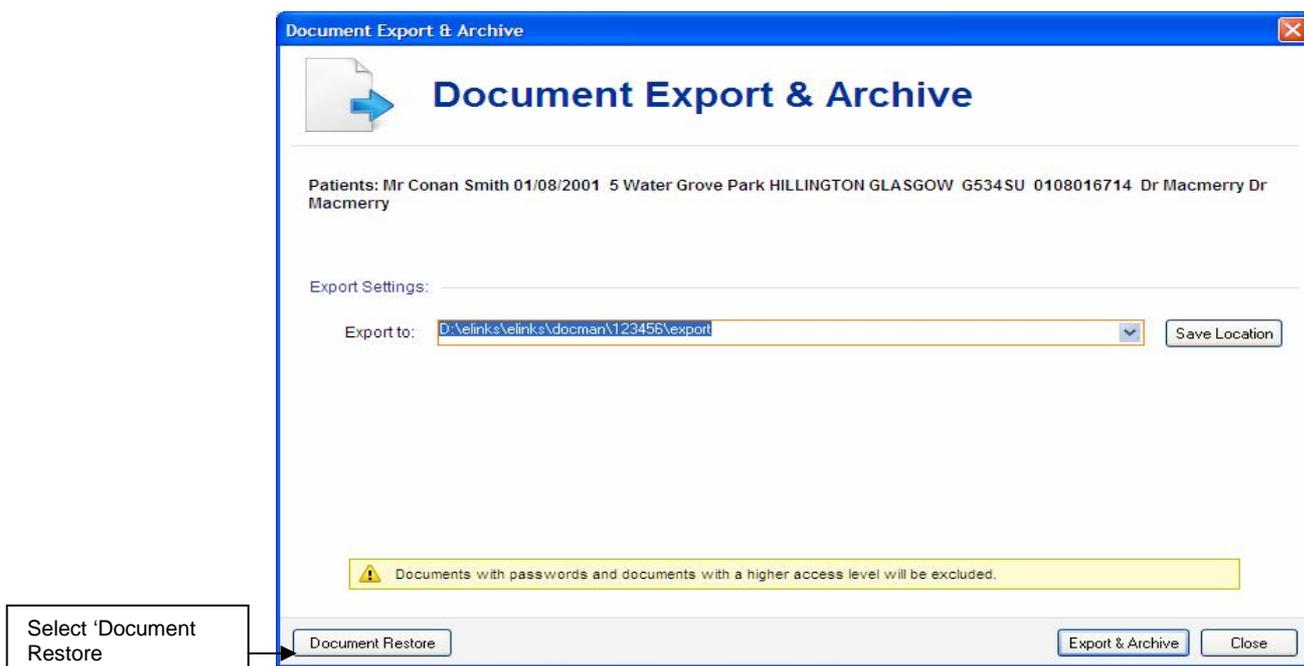
Un-archiving Functionality

  q Select **Document Restore** from the bottom left of the 'Document Export & Archive' screen.

The Document Restore screen will appear showing the available archives for the selected patient.
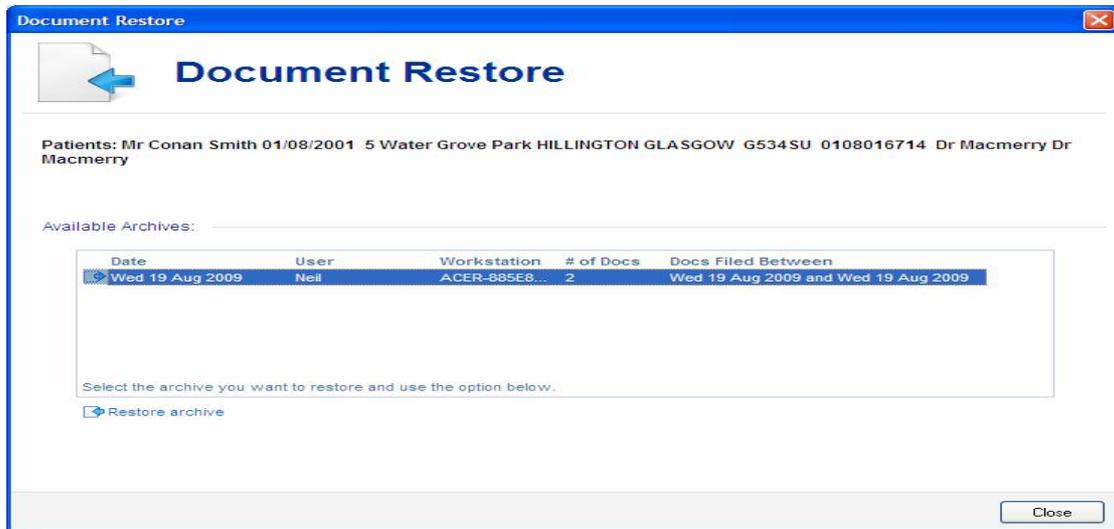
  q Select the archive you want to restore and click **Restore Archive**

The following screen will appear:
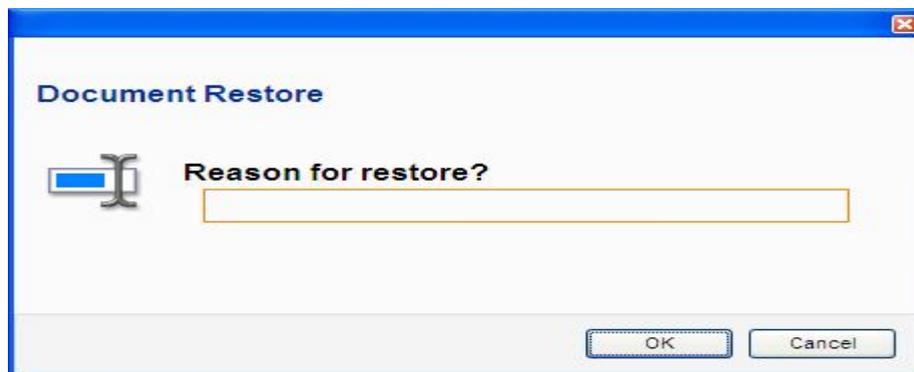
  § The reason for restore should be added to the box above. The reason provided for accessing the archived records will be recorded against the patient record audit trail.

Records should only be un-archived for the following reasons:

  § **Deceased patient** – eg family request, insurance claim, solicitor request due to medical claim, cancer research (with ethical approval), police enquiry
  § **Audit** – eg QOF reviews, enhanced services, practice audits
  § **Complaints**

Only the reasons above should be noted within the 'Reason for Restore' free text box. For information, the 'Reason for Restore' will be a configurable list in the next Docman release.

Practices should be aware that if they are considering accessing ex-patient files for the purposes of research, they require explicit consent from each patient.

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Un-archiving Functionality

The list of reasons has been approved by the GP Connect Programme Board. Future changes to this list will have to be reviewed and signed off. NSS is currently looking to set up a group to manage this type of process

NB: Practices should ensure they have a legitimate reason for accessing records for ex-patients and should be prepared to demonstrate these to avoid breaching the Data Protection Act.

The reason for restore will then be recorded on the Document Audit Trail (see screen below):
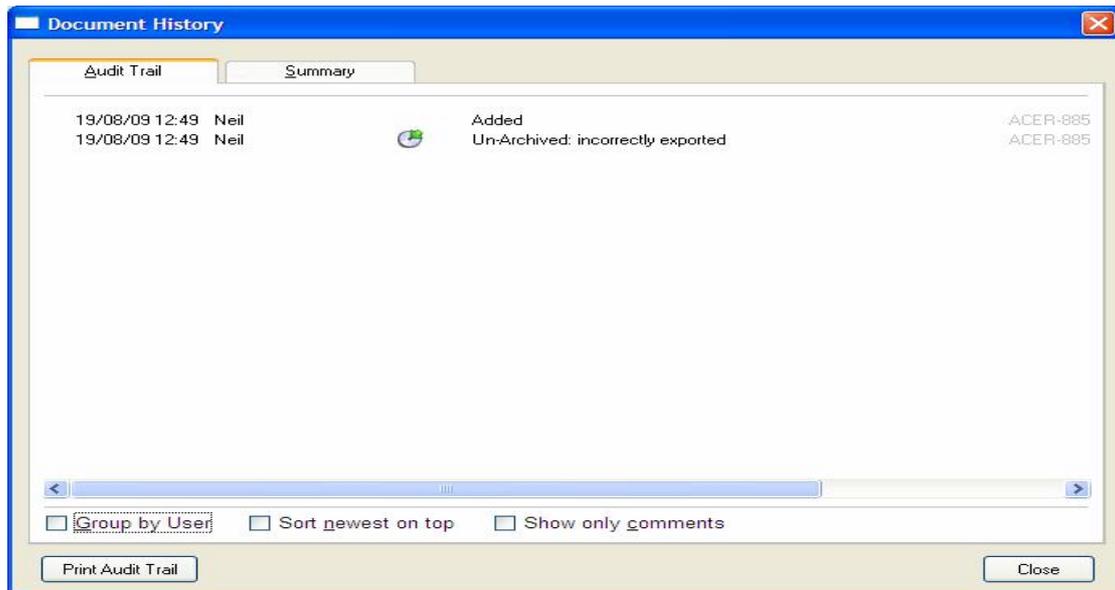
Once you have completed the necessary information requests or checked the required data, the copy of the archived record can then be deleted, following the normal deletion process. We would recommend that GP Practices delete the documents as a whole.

Please note: The audit trail will be held as a PDF document in the Deleted Folder alongside the deleted documents and will be retrievable if necessary. The original archived record is left untouched.

Summarising and Coding Guidance

For information, SCIMP (Scottish Clinical Information Management in Practice) have produced new summarising and coding advice. Please find below the link to the Summarising and Coding document on the SCIMP website:

q   **http://www.scimp.scot.nhs.uk/coding_readcodes.html**

Helpdesk Support

Support

You will be advised by your HB IM&T of the Support Arrangements in place.

Appendix   **PATIENT TRANSFER NOTIFICATION FORM**

Please enter the patient details below or
alternatively attach a printed label if you prefer

Please enter the Practice Stamp in the box below

Forename _____

Surname _____

CHI No _____

Does the patient have a paper medical record:		
Yes, attached ☐	No, there is no paper record ☐	
The GP System Record is:		
Scanned/imported into Docman ☐	Within the Paper Record ☐	Attached (only document) ☐
Does the patient have Docman images:		
Yes, already transferred ☐	To be transferred ☐	No images ☐
Date started scanning:		

--Tear here--

PATIENT TRANSFER NOTIFICATION FORM

Please enter the patient details below or
alternatively attach a printed label if you prefer

Please enter the Practice Stamp in the box below

Forename _____

Surname _____

CHI No _____

Does the patient have a paper medical record:		
Yes, attached ☐	No, there is no paper record ☐	
The GP System Record is:		
Scanned/imported into Docman ☐	Within the Paper Record ☐	Attached (only document) ☐
Does the patient have Docman images:		
Yes, already transferred ☐	To be transferred ☐	No images ☐
Date started scanning:		