# Adult Social Care and Health

# Restricted Records Policy and Procedure

# Version 5

## Contents

## 1. Introduction

Records in the case management system should not be accessed unless there is a legitimate work-related reason. There may be occasions when a limited number of staff should have access to a record. Therefore, a record will need restricting. Records should not be restricted unless the information on a client (hereafter known as individual) needs to have tighter control. Section 3 below explains the reasons when a record should be considered for restriction.

When a record is restricted the whole record is restricted to everyone. Access is gained by adding those who require access whether it is a worker, team or worker role.

This policy and procedure deals with the management of case records within the case management system for circumstances where records need to be restricted.

Restrictions are managed by a restriction workflow step. It is intended that the restriction workflow step will record detailed information about:

- the reason why the restriction is put in place
- who can access the record – named workers, worker roles or teams
- decision making about the restriction
- significant dates
- administration of the restriction

## 2. Agreed Security Protocol Between Adult Social Care and Children's Services

There is an agreed security protocol between Adult Social Care and Children's Services department.

Adult Social Care workers can access children's records apart from those which have fostering and adoption involvement. These records will be automatically restricted from those who do not work in that service.

If Adult Social Care workers require access/information on a restricted children's record they will need to contact a children's duty/reception and ask them to view the record on a worker's behalf and then discuss the content.

## 3. Categories for Restricting Records

For varying reasons some records will need restricting to ensure tighter control of confidentiality. Records should only be restricted under the following circumstances:

- when an allegation is made against a member of staff
- there is media interest in an individual
- if individuals have specifically requested that their records are not shared with Public Health colleagues (a number of whom have access to the case

management system)

- if there are exceptional other circumstances agreed by a service director

## 4. Accessing Records - Monitoring

In order to comply with the Data Protection Act (1998), you should only access records that you need to carry out your duties, and any breach of the act can lead to disciplinary action.

A full audit trail of all activity within the system is maintained and monitored.

## 5. Restricting Records

Any member of staff who becomes aware of an issue that may require the restriction of a record (as explained in section 3 above) should alert the group/service manager responsible for that client. A discussion about whether the record should be restricted is to be held between the group and the service manager. The group manager will make the final decision by completing the task from the "restriction to record request" workflow step, which is created by the service manager.

5.1.  The following worker roles should be considered when deciding who can access a restricted record:

- group manager/s involved in the case
- service manager/s involved in the case
- the allocated worker/s – by name or team
- out of hour's staff
- safeguarding/DOLs
- Business Services
- Purchasing Support team
- Brokerage team
- welfare benefits/income maximisation support

5.2.  The following staff/staff groups require access to every restricted Adult Social Care record:

- service director - ASC worker role
- business manager and business services manager (to administer the restriction)
- If anyone else requires access to a restricted record they should contact the group/service manager of the client

5.3.  Adding new Restricted Records

New restrictions should be generated by a service manager completing a "restriction to

record request" workflow step. It is done through a workflow step in the case management system because this creates an audit trail of decision making of reason/s why a record has been restricted and who has authorised the restriction.

## 5.4. Access to an Already Restricted Record

As time progresses, different staff, teams, or worker roles may require access to a record which is already restricted. Access should be authorised by the group/service manager of the client.

Once permission is granted from the group/service manager, adding or removing staff, teams or worker roles can be done in 2 ways.

1. Sending an email (for audit purposes) to the Adult Social Care Mosaic Team administrators' mailbox (ASCHMosaicTeam@derbyshire.gov.uk) requesting access to pin xxxx.

2. The service manager reviewing the workflow step and sending a task to an administrator and group manager – see 5.5 below.

## 5.5. Restricted Record Reviews

Records that are restricted should be reviewed on a 6 monthly basis using the "restriction to record review" workflow step. 6 months is the minimum time between reviews.

6 months from the date the restriction is put on the record the person who initiated the workflow step (service manager) will receive a "restriction to record review" workflow step, which will come into their 'incoming work' automatically. The service manager needs to decide whether the restriction needs to be kept in place (fill in part 3 of the workflow step) and send a task to the group manager and business services administrator.

As part of the review, any worker, team, or worker role that no longer requires access should be removed. List the names/teams/worker roles in part 3 of the form so when the tasks are sent to Business Services, they can remove those who no longer require access or add additions if the record still needs to be restricted. If there is no change to the existing list of those who have access, then in part 3 explain no change, keep restricted and send another review outcome and finish the workflow step.

## 5.6. To End a Restriction

Complete the review workflow step "restriction to record lifted", send both tasks (to manager and business services) and no further action (NFA) the workflow step when tasks have been completed.

## 6.  Out of Hours Access to a Restricted Record

Anyone wanting access to a restricted record out of hours (OOH) should contact Call Derbyshire who will inform the duty manager. Duty OOH managers are able to administer restricted records. This includes the tasks below.

- unrestricting the record to the OOH workers involved

- restricting the record again after OOH work has been completed

- keeping a record of the case being unrestricted and the reason why in the case notes of the restricted record

## Author History

### Authorisation and approval history

Authored by Patrick Kerr          Head of Business Services          February 2014

Approved by David Gurney          Group Manager          February 2014

Authorised by Quality Assurance          November 2017

### Change History

| Version 1 | February 2014 | Patrick Kerr | New Adult Social Care document based on previous PP Joint document with CAYA |
|---|---|---|---|
| Version 2 | December 2014 | Patrick Kerr | Revised procedure |
| Version 3 | August 2015 | Patrick Kerr | Revised procedures |
| Version 4 | November 2017 | Patrick Kerr | Updated procedures |
| Version 5 | August 2023 | Fil Thurlow | Reviewed |