

DRAFT APRIL 2005
Single Assessment Process – Darlington Locality
Specific Protocol and Data Flow Agreement Governing the
Exchange of Information between Health and Social Care Organizations

1. Introduction and Background

The National Service Framework for Older People (NSFOP) DoH 2001, Standard 2 Person Centred Care and supporting SAP Guidance DoH 2002/001 Health Service Circular DoH 2002 – 1 Local Authority Circular LAC, requires health and social care organizations to work in partnership to develop a Single Assessment Process (SAP). This requires that authorized staff are enabled to share information relating to the individual from the first point of contact through to the assessment, care planning and provision, monitoring, review and discharge.

The County Durham & Tees Valley & North Yorkshire General Protocol for Sharing Information (**Reference and CHECK DATE & DRAFT STATUS**) recognizes that information governance underpins the safe, secure, sharing of information, relating to the individual and that consent has to be sought before information can be exchanged between organizations. Supporting this each SAP locality has to ensure that information is shared securely and with the full consent of the person or their authorized representative (note if the person is unable to give informed consent, for whatever reason, **refer to your 'Consent Guidance' Nev/Sara/Elizabeth please advise**), through an agreed local protocol and data flow agreement that is subordinate to the above General Protocol and is compliant with:

- HMSO 1998 Data Protection Act
- HMSO 2000 Human Rights Act
- HMSO 1998 Access to Health Records Act
- HMSO 1998 Crime and Disorder Act
- HMSO 2004 Freedom of Information Act
- HMSO Regulation of Investigatory Powers Act – **date required**
- Darlington PCT 2004 IM&T Security Policy
- **Nev is there a SSD IM&T Security Policy, please add reference**
- Darlington PCT 2004 Consent Policy
- **Nev is there a SSD Consent Policy that we need to add.**
- **Local Confidentiality Policies Nev/Sarah please advise**

2. Aim

The aim of this protocol and data flow agreement is to:

- Provide a framework for the secure and confidential sharing of information between organizations to enable them to meet the needs of people for care, protection and support in accordance with national and local policy and legislative requirements.
- To inform people who use the services provided by the organizations that are part to this protocol of the reasons why information about them may need to be shared and how this sharing will be managed.

2.1 Who does it relate to?

This protocol and data flow agreement relates to the following people:

- Those who live in the Borough of Darlington and
- Are registered with a Darlington PCT GP Practice and
- Are aged 18+ with a Physical or Sensory Impairment and
- Older People, including those with a mental health need aged 65 plus

2.2 Who it does not relate to:

For Children and Families, or Adult Mental Health or Learning Disability the following will continue to apply

- Assessment of Children in Need and their Families
- Adult Mental Health - Care Programme Approach
- Learning Disability - Care Coordination

For people living outside the Borough of Darlington the following will apply

For those people who are registered with a Darlington PCT GP Practice and live outside the Borough of Darlington the single assessment process will be completed in relation to Community Nursing. If social service support is required the information will be forwarded to the appropriate Local Authority who will follow their locally agreed SAP. This protocol and data flow agreement therefore does not apply to organizations outside of 2.2, who will follow their own local protocols.

2.3 Who does it apply to?

This protocol and data flow agreement applies to the following organizations:

- Darlington Borough Council
- Darlington Primary Care Trust
- County Durham & Darlington NHS Acute Trust

- County Durham and Darlington Priority Services NHS Trust via the Integrated Mental Health Team
- Darlington GP Practices – [include list](#)
- Independent & Voluntary Sector Providers

2.4 Authorised Staff

Authorised staff, refers to people employed by the above organizations (see 2.3), who will be involved in an individuals assessment, care planning, monitoring, review and delivery of care.

3. Objectives

The following should be understood and agreed by all of the organisations identified in 2.3 above, to which this protocol and data flow agreement applies:

- The parameters for the collection and sharing of information between agencies which contribute to the assessment and care management of the health and or social care needs of an individual.
- The purposes for the processing of the information within each agency
- How that information is processed
- Who should have access to the information and why

The objectives of this protocol and data flow agreement are to ensure that:

- The person's own views, preferences and opinions are heard, recorded and are central to the whole process.
- The scale and depth of assessment is kept in proportion to the person's needs.
- The person only gives information once and does not have to keep repeating core, basic information
- The persons strengths and difficulties are recorded and are taken into account.
- Agencies and professionals do not duplicate each other's assessments.
- Professionals contribute to assessments in the most effective way.
- Supports the principle of informed consent with regard to information on the person's needs and circumstances that may be collected and shared.
- Support the principle of accessing and sharing electronic person identifiable records
- Support the principle of person held records
- Causes for concern will be aggregated in such a way that assessment can be triggered in the most appropriate agency, early enough to prevent crises wherever possible.
- Adult Protection concerns will be identified and interagency 'No Secrets' procedures triggered as early, as appropriately and as effectively as possible.
- Where Child Protection concerns are identified Child Protection Procedures will be triggered and actioned according to policy.

4. General Principles.

This protocol and data flow agreement adheres to key legislation relating to data protection, sharing information and consent, which all organisations in section 2.3 and their authorised staff in section 2.4, have to comply with when dealing with the public. In addition section 7 identifies the process for holding information, access and security, through electronic and paper records. See Appendix 1 County Durham, Tees Valley and North Yorkshire General Protocol for Sharing Information 2004 – Section 3 General Principles.

See Appendix 2 – Guidance notes for users, carers and health and social care personnel regarding “Informed Consent”. **To add Darlington's**

All staff should be aware that failure to comply with the principles outlined in the guidance and this protocol resulting in a Breach of Confidentiality could result in disciplinary action being taken and provides grounds for complaint against them.

5. Setting Parameters.

In order to support the objectives detailed in 3 above it has been agreed that Darlington SSD Database – Carefirst will be used to store information on the SAP relating to Social Services and Community Health, specifically applying to the following services.

- Social Services Teams: Older People; Physical & Sensory Impairment; Discharge Management based in DMH; Intermediate Care Service, and the Review Team.
- Community Nursing e.g. District Nursing
- Macmillan Nursing
- Continence Service
- Intermediate Care Services Health
- Darlington GP Practices

Darlington SSD and PCT will be able to, store, retrieve, monitor, and update information relating to individuals identified in 2.1 undergoing a SAP.

When an individual is referred for a single assessment agencies identified in 2.3 may contact each other and/or access the relevant electronic database - for those who have access permission, to establish if a Contact or Overview Assessment already exists.

There are nominated senior professionals within each agency e.g. Caldicott Guardian, Data Protection Officer or Information Security Manager, who are responsible for agreeing amendments to this protocol. Mechanisms are in place to monitor its operation and ensure compliance.

It is the responsibility of all staff to adhere to their agency's current organisational protocols and procedures governing the exchange of information, see section 1. Failure to comply could result in disciplinary action being taken and could provide grounds for complaint against them. **(Nev/Sarah is this correct)**

6. Defined Purposes

The defined purposes for contacting health or social care organizations are those identified within the NHS and Community Care Act 1990, Care Management Process, and redefined in the DoH SAP Guidance – LAC (2002) 1, HAC 2002/001, which requires the safe sharing of information, specifically limited to:

- An individual's request for advice or information or requirement for an assessment of their health or social care needs
- Any Care Management issue arising following such an assessment, relating to treatment, therapy or care
- Any subsequent need for monitoring or review of such care
- Any requirement for further assessment or re-referral at a later date
- Management of complaints
- Planning, contracting, commissioning, performance management reports, research, statistical analysis

7. Consent, Holding Information, Access, Security and Sharing.

To support SAP implementation the following processes have been agreed to facilitate the safe, secure, sharing of information between agencies identified in 2.3, relating to individuals identified in 2.1, and to achieve the objectives in 3 above. Information cannot be shared between organizations unless consent from the individual has been agreed at the Contact Assessment stage, which is then followed up by completion of the SAP Consent Form in Leaflet A2a. This form gives consent to sharing information, assessment and provision of care. Exceptions to this procedure are identified within section 7.5. Appendix 1 General Protocol for Sharing Information Section 6 – Consent.

7.1 Electronic Single Assessment Process

The electronic system of choice within Darlington is SSD Database OLM – Carefirst, moving towards CareAssess and a mobile solution. Access will be restricted to authorized personnel within Darlington SSD and Darlington PCT, who will receive training in Carefirst related to their access rights, as identified in Appendix 3 – Access Arrangements to Information within the SAP Across Darlington SSD and Darlington PCT.

Access to information relating to service users outside of the SAP will be restricted to Social Services Staff only. However, if information needs to be shared on a need to know basis health staff will contact a Social Services authorized officer.

Nev please insert details re restricted access e.g. Child Care, Finance, Home Care etc and details of access to historical information relating to a particular individual e.g. unable to restrict sections of an individuals record.

Local organisation have agreed the following access points to SAP:

- SSD – Central House

- PCT – Dr Piper House
- DMH – Discharge Management Team
- Intermediate Care Services – Hundens Rehab Unit re Health and
- Intermediate Care Residential Services – Independent Sector Providers

As IT systems improve work will continue to achieve a single point of access across health and social care.

The Contact Assessment will commence when a person contacts any of the above access points. The person receiving a request for a health or social care service, will conduct a **name check** using Carefirst. The system will search for any previous contacts relating to the individual, with any of the key agencies. If no record exists a new record will be created. Further information will be gathered on the Contact Assessment to enable the referral to be directed to the correct person or agency and stored on Carefirst.

In the case of GP requests for single assessment, demographic information from their electronic database will be used to populate the Contact Assessment and the reason for assessment added. The Contact Assessment will be emailed from GP practices to the PCT via the NHS Web. The outcome of the assessment will be feedback to the GP practice through the sharing of the SAP Summary Care Plan.

The health or social care professional receiving the request for further completion of a Contact Assessment or an Overview Assessment will log onto the database to access historical information, including previous assessments, summary of need and care plans.

The outcome of the Contact and Overview Assessments, Summary of Need, Summary Care Plan, Reassessments, Reviews, and case management will be recorded on the Carefirst database. This will facilitate the safe, secure, sharing of information between staff and organisations through the access rights as defined in Appendix 3.

The person will be advised that information will be stored on the electronic database and that under the Data Protection Act they have the right to access that information. The individual's consent to the assessment, sharing information and provision of care will be sought and must be agreed before information can be shared across agencies and services provided.

There are nominated senior professionals within each agency e.g. Caldicott Guardian, Data Protection Officer or Information Security Manager, who are responsible for agreeing amendments to this protocol. Mechanisms are in place to monitor its operation and ensure compliance.

7.2 Paper System

Until organizations have access to integrated electronic systems and mobile solutions, paper systems will continue to exist to enable information to be shared and enable effective person centred service delivery.

The Contact Assessment will be triggered through the Single Points of Access identified within section 7 above or through Community Staff completing a paper

version during the course of their work and directing the referral to the appropriate agency. Information will be passed to Data Entry Staff to input onto Carefirst. Until we have an electronic mobile solution the paper Overview Assessment will be completed and passed on for data entry, together with any Summary of Need, Care Plan, Review, Reassessments and case management.

If information cannot be shared electronically agencies will continue to exchange information by existing methods e.g. post, hand and safe haven fax.

7.3 Person Held Records

The Contact and Overview Assessment, Summary of Need and Summary Care Plan will be held in the person's own home in a Person Held Records Folder, together with any 'professional' specific Care Plan and a Contact Sheet for professionals to record their visits and actions.

The individual will be responsible for the sharing, storing and potential loss, of this record whilst in their possession. In the event the person being unable or unwilling to take this responsibility, the Person Held Record will be held by a carer or appropriate relative, or the lead agency conducting the assessment and / or care management of the individual.

If professionals need to remove any information stored within the Person Held Record, e.g. to copy or forward to other agencies, they are responsible for returning the information to the individual. If the person unable or unwilling to take this responsibility, the User-held record would be held by a carer or appropriate relative, or by the authorised person conducting the assessment and / or care management of the individual.

7.4 Recording and Storing Information

Information gathered through the Contact and Overview Assessment, Summary of Need and Summary Care Plan and subsequent Reviews and Reassessments will also be stored, in paper format and on IT systems where they exist, by each agency involved. The secure recording, storing, retaining and destruction of these personal records will be governed by individual agency regulations.

7.5 Exceptions

Information relating to the person and/or their carer will not be shared in the following circumstances:

- Where the person/carers has specifically withheld their consent, unless this relates to 'need to know' circumstances e.g. Adult Protection and Child Protection
- Third party information, specialist information of a highly technical or highly confidential nature will not be shared without the prior consent of the sender.
- Information deemed to be potentially harmful to the person/carers being assessed will, not be shared until agreement has been reached between all persons involved.

8. Complaints.

Complaints about the use, or disclosure of information must be referred to the organisation from which the information originated, and will be investigated in accordance with the relevant organisational procedures.

9. Review Arrangements and Version Control.

9.1 For staff using the electronic system for SAP authorisation will be controlled by login and I.D. user authentication procedures. These will be required to be updated at 30 day intervals (Nev is this correct, if not please amend). This service will be managed by the provider (query Carefirst) – Nev please advise.

The Carefirst IT Help Desk may be contacted by any authorized staff with a system query, Monday to Thursday, 8.30am to 5pm, Friday 8.30am to 4.30pm on 01325 346800.

Version control of the Electronic system will be managed by Carefirst – Nev please check and advise.

9.2 For staff using the paper system, authorization is a function of the post holders professional responsibility throughout their employment with agencies identified in section 2.3.

The paper process will be monitored and reviewed by the SAP Steering Group. Any amendments will be managed through Social Services Document Control System and all agencies provided with an updated version ensuring standard documentation is used across organization. Nev is this OK.

9.3 Any changes to this protocol will be agreed by the PCT and SSD policy ratification processes on an annual basis. An initial review will be carried out in October 2005 if significant issues have been raised through the SAP Steering Group.

10. Management of Information

Day to day management of information will be covered by current operational procedures and Caldicott and Data Protection protocols. All agencies will be expected to adhere to common standards of rigor in the management of personally identifiable information.

Signatures.

We, the undersigned, agree to adopt and adhere to this information sharing protocol:

Darlington Primary Care Trust		
Name & Designation	Signature	Date

Darlington Social Services		
Name & Designation	Signature	Date

Darlington Borough Council		
Name & Designation	Signature	Date

County Durham & Darlington NHS Acute Trust		
Name & Designation	Signature	Date

County Durham & Darlington Priority Services NHS Trust		
Name & Designation	Signature	Date

Darlington GP Practices – all practices to be included		
Name & Designation	Signature	Date

Darlington Independent & Voluntary Sector – all agencies to be included		
Name & Designation	Signature	Date

Name & Designation	Signature	Date

Darlington Data Flow Access Arrangement to Information re Single Assessment Process held on SSD Carefirst

Information Type	Staff Group	Purpose they need to know	Access Arrangement
All information relating to SAP	SSD: Data Support Officers Access & Contact Team Community Assessment Team x2 Physical & Sensory Impairment Team Occupational Therapy Team Intermediate Care Team Discharge Management Review Team Staff Members as follows Care Managers Community Assessment Officer OT OTAs Physiotherapist IT Systems Administrators	To enable SAP	Open Cases – full access to all SAP electronic SSD & Community PCT records and SSD paper records. Closed Cases – full access to all SAP electronic SSD & Community PCT records and SSD paper records.
All information relating to SAP	PCT: SAP Administrators District Nurses Intermediate Care Services Macmillian Nurses	To enable SAP	Open Cases – full access to all SAP electronic SSD & Community PCT records and PCT paper records. Closed Cases – full access to all SAP electronic SSD & Community PCT records and PCT paper records
All information relating to SAP	Older Persons Integrated Mental Health Team	To enable SAP	Open Cases – full access to all SAP electronic SSD/PCT Community records & Integrated Team paper records. Doug Wardle to advise.

	Care Manager CPNs CPN - Assistants		Closed Cases – full access to all SAP electronic SSD/PCT Community records and Integrated Team paper records. Doug Wardle to advise.
Contact Assessment	Darlington GP Practices GPs Registered Nurses Practice Administrators	To enable SAP	Will not have access to Carefirst but will completed electronic Contact Assessment, using information from the GP system to populate demographic details. Information will be sent via NHS Web to PCT SAP Administrators for data entry onto Carefirst. GPs will receive a copy of the Summary Care Plan on completion of the assessment for their records.
Full SAP information	Independent Sector	To enable SAP	Will not have access to Carefirst. Will be provided with copy of assessment documentation relating to admission to 24hr care. Will have access to Person Held Records re Domiciliary Care
	EDT	To enable SAP	

Nev, this needs more work e.g. can you check out with IT Carefirst also do we need to include Learning Dis Integrated Teams in relation to PCT Staff, also Drugs and Alcohol Team which works across social services and health and are now employed by PCT.