

## ContrOCC Provider Portal

### User Access policy

### Third Party Care Provider Users

#### Version history

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## **1.0 Introduction/scope**

1.1 This policy applies to all third party users and individuals that require access to the ContrOCC Provider Portal system. Responsibility for the Provider Portal and this policy lies with the Gloucestershire Integrated Brokerage team.

1.2 This document covers the administration of user access to the ContrOCC Provider Portal for individuals employed by third party contracted care providers who have a 'need to know' the information that is shared and managed via the Portal. GCC host ContrOCC on its servers and as such control access to the data.

1.3 This policy does not cover user access for ContrOCC itself or for other systems that users may need, for example OCC MarketPlace (for Your Circle) and Care Management (for Electronic Call Monitoring). The relevant policies / terms and conditions are published separately.

1.4 This policy is in place to:

- Help protect individuals who have accepted GCC's Adult Social Care Privacy Notice so that their information can be shared in order to provide them with Adult Social Care services.
- Ensure that contracted third party care providers are provided with access to the information they need to carry out their responsibilities in a secure, effective and efficient manner, enabling them to meet their statutory duties under the Care Act 2014 and other relevant legislation.

## **2.0 Managing user access and permissions**

2.1 Gloucestershire Integrated Brokerage will follow third party user management guidance (see Annex A to this policy), which will ensure that access to the Provider Portal is provided only to users who have a need to access the information and functions in the system. Following the guidance will also ensure that users' access rights are adjusted appropriately, and in a timely manner, whenever there is a change in

business need, a user changes their role, or a user no longer requires access.

- 2.2 Third Party care provider users may only request Provider Portal user accounts using email addresses that are for named individuals and accessed by that individual alone, not generic / shared email addresses.
- 2.3 A third party care provider user account should have the least permissions that are sufficient for the user to perform their role in relation to the functions of the Provider Portal.
- 2.4 Amendments to the permissions of an account must be requested by the Provider's designated Lead correspondent within the Provider Portal system itself and actioned by individuals with the assigned authority and training within Gloucestershire Integrated Brokerage.

### **3.0 Security of Provider Portal user login details**

- 3.1 All Provider Portal information users are responsible for protecting and ensuring the security of the information to which they have access. This is covered in more detail in the ***Acceptable Use policy Third Party Care Provider Staff Users*** (published separately).
- 3.2 The user responsible for their account will keep their account login / authentication details private and will not divulge it to any other person for any reason.
- 3.3 Where any user suspects a security breach of their login / authentication details their password and authentication information must be changed immediately and Gloucestershire Integrated Brokerage informed of a breach of information security.

### **4.0 Auditing Access**

- 4.1 The creation, suspension and amendment of user accounts and permissions are carried out by trained and authorised staff within Gloucestershire Integrated Brokerage team. Requests are made through

the Portal (or if not possible via email to [brokeragesystems@gloucestershire.gov.uk](mailto:brokeragesystems@gloucestershire.gov.uk)) as per the third party user management guidance at Annex A.

4.2 The Lead correspondent for a Provider is responsible for undertaking regular (i.e. quarterly) checks that all the user accounts for the Provider are up to date and ensuring that any changes to access or permissions are requested via the Portal as soon as possible.

4.3 Third party care provider user accounts will be reviewed by Gloucestershire Integrated Brokerage on a quarterly basis. Any users who have not been active / logged in to the Provider Portal for 60 days will have their accounts suspended. For auditing purposes, user accounts are never deleted and can be reinstated upon request to Gloucestershire Integrated Brokerage by emailing [brokeragesystems@gloucestershire.gov.uk](mailto:brokeragesystems@gloucestershire.gov.uk) as per the third party user management guidance at Annex A.

4.4 The system itself will hold an auditable and unalterable log of all user accounts created, suspended or amended.

### **5.0 Special circumstances: when a third party Provider closes, goes into administration or changes ownership**

5.1 When Gloucestershire Integrated Brokerage receives notification that a Provider of care services they have commissioned is closing, going into administration or changing ownership, there are implications for access to Provider Portal user accounts.

5.2 In the case of planned closure or change of ownership, all third parties involved must work with the Integrated Brokerage team to agree the suspension of existing and/or creation of new user accounts on dates that coincide with the changes occurring. This will be managed on a case by case basis.

5.3 In the case of sudden change then as soon as the Integrated Brokerage team has received notification that a Provider registered to use the Provider Portal is no longer in business or no longer the owner, that

Provider's user accounts will be suspended. Any requests for continued access will be dealt with on a case by case basis.

5.4 In all cases the responsibility for managing personal and sensitive information such as would normally be contained within a funded individual's care plan remains with the Provider (or appointed Administrator) as required by the Care Quality Commission (CQC).

## **6.0 Policy Review**

6.1 This policy will be reviewed every 12 months, or when any other significant changes impacts upon this policy.

**Annex A: ContrOCC Provider Portal Third Party User Management guidance**

**Implementation of new providers:**

1. Nominated staff within the Gloucestershire Integrated Brokerage team will contact the named main contact for contracted Providers on ContrOCC to provide instructions and resources for registration and use of the Provider Portal. These resources are published separately with online instructional videos shared via a private Gloucestershire County Council YouTube link and additional user guidance documents available to view on the Portal once registered.
2. Gloucestershire Integrated Brokerage will check each Provider’s system access needs for the following:

<p>ContrOCC Provider Portal</p>	<ul style="list-style-type: none"> <li>• Confirm Lead correspondent for the Provider and set up user account for that user first.</li> <li>• Lead correspondent must request accounts for other users employed by the Provider, supplying contact details and confirming which permissions each user should have (using guidance on Security Roles).</li> </ul>
<p>Your Circle – provider account for Gloucestershire’s online directory for adults needing care or support</p>	<ul style="list-style-type: none"> <li>• If a Provider doesn’t already have a user account and up-to-date profile on Your Circle, additional instructions will be provided to enable them to complete this.</li> <li>• User access for Your Circle is managed separately by the Your Circle team at Gloucestershire County Council and users are required to abide by the Terms and Conditions of Use.</li> </ul>
<p>Electronic Call Monitoring via the Care Management (CM) system.</p>	<ul style="list-style-type: none"> <li>• If a Provider needs to use ECM to monitor care visits for individuals whose care is funded by GCC/GCCG, and doesn’t already have this set up, Integrated Brokerage will arrange for ECM implementation.</li> </ul>

**Amendments to user access in Business As Usual / following implementation:**

<b>Amendment required</b>	<b>Action taken by Provider</b>	<b>Action taken by Gloucestershire Integrated Brokerage</b>
<b>New Lead correspondent for Provider</b>	Outgoing Lead correspondent or new Lead correspondent contacts <a href="mailto:brokeragesystems@gloucestershire.gov.uk">brokeragesystems@gloucestershire.gov.uk</a> to request the change.	Change is confirmed via telephone and email before revised user accounts and permissions are set up. Changes are confirmed on other related systems and records including where applicable: Your Circle, ECM.
<b>New additional correspondent for Provider</b>	Lead correspondent requests new user via Provider Portal.	New user account set up with requested permissions Security role.
<b>Security role amendment for existing user</b>	Lead correspondent requests amendment via Provider Portal.	Changes made as per request.
<b>Additional user leaving role / no longer requires access to Provider Portal</b>	Lead correspondent requests user account suspension via Provider Portal.	Account suspension actioned as per request. Changes are confirmed on other related systems and records including where applicable: Your Circle, ECM.
<b>Numerous changes required due to special circumstances – planned or sudden (e.g. Provider closure, administration, change of ownership)</b>	Provider or Appointed Administrator to provide information about changes via the Portal or by email to <a href="mailto:brokeragesystems@gloucestershire.gov.uk">brokeragesystems@gloucestershire.gov.uk</a> , depending on the urgency and complexity of the circumstances.	Manage on a case by case basis. In urgent cases may act on advice received internally via GCC Commissioning and Market Management colleagues. Ensure changes to accounts are confirmed in writing from those with relevant authority to approve them, externally and internally (i.e. Registered

<b>Amendment required</b>	<b>Action taken by Provider</b>	<b>Action taken by Gloucestershire Integrated Brokerage</b>
		<p>Manager, Appointed Administrator.</p> <p>Check with other Provider(s) who have picked up packages of care following a closure that they can see the relevant documents for individuals via the Portal.</p>
<p><b>Reinstating inactive user accounts that have been suspended</b></p>	<p>The user to whom the account belonged must request that their account be made active again by emailing <a href="mailto:brokeragesystems@gloucestershire.gov.uk">brokeragesystems@gloucestershire.gov.uk</a> from the email address linked to the account.</p>	<p>Check that the named contact and email address from which the request is made matches the user account in question before reinstating.</p>
<p><b>Auditing user accounts</b></p>	<p>The Lead correspondent must check all their correspondent Provider Portal user accounts every 3 months to ensure all accounts and permissions are still required. Changes must be requested through the Portal as above.</p>	<p>User accounts will be suspended automatically by the system when they have been inactive for 60 days. Specific audits on user access may be conducted e.g. for the purposes of compliance management, query resolution or investigation.</p>