



# SCI – Social Care Information

using



## **DoLS AIS Guidance**

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# Document Control

## Amendment History

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1.5	6.2.17	Addition of Referral closure reasons	Pete Hall
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## Document Control

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# INTRODUCTION

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This guidance explains the process for recording Deprivation of Liberties Safeguards (DoLS) in AIS.

Please note: This guidance applies to Service Users which are in a Residential or Nursing setting. A DoL which is occurring in an individual's own home or in the Community is dealt with via a different process. Please see DoLS in the Community guidance.

When a Deprivation of Liberties occurs in an individual's care the provider must submit an application for a Deprivation of Liberties Safeguard (DoLS).

This application is sent to the DoLS Team in South Gloucestershire Council who are the Supervisory body and have a statutory responsibility to conduct DoLS assessments for Service Users within the Local Authority.

Upon receipt of the application the DoLS Support Officer will record the request as a Contact and Referral in AIS, in addition to recording a Team involvement. The application is then sent via workflow in AIS to the DoLS Senior Practitioner who will prioritise the application using ADASS recommendations. Once this stage has been completed the application will be held on a waiting list to be assessed.

An assessment is completed by a DoLS assessor (Best Interest/Mental Health Assessor) and the forms are returned to the DoLS Support Officer who will input the assessment information into AIS. Following assessment, a decision is made if the DoLS should or should not be recommended and the relevant outcome recorded on the DoLS assessment in AIS.

The authorisation information is also added to the DoLS assessment including the expiry date.

At any point in the process the Service User or an interested party may object to the DoLS application. This information is also recorded in AIS.

If a request for a review or a renewed application is received from a provider the process begins again from the start.

## Definitions

Mandatory fields must be completed, and are marked on the system with \*

Tips or reminders in this guide are marked with a  symbol

Buttons, fields or menus may be denoted by the **Letter Key** effect on the word.

**Supervisory Body** – Refers to the Local Authority (South Gloucestershire Council) or Primary Care Trust which has statutory responsibility for conducting DoLS assessments and reviews.

**Managing Authority** – Refers to the provider with management responsibility of the Hospital or Care Home in which a person is, or may be deprived of their liberty.

# CONTACT

## DoLS Application received

An application for a DoLS Authorisation is received from the Managing Authority or a Third Party. This is normally received via fax.

### Search for person

Search by three different methods, e.g. name, date of birth and address, to ensure no record is on the system for the person and to avoid creating a duplicate.

If the person's record is not already on AIS, you should create them.



Remember to record the person's ethnic origin when creating their record on AIS. Without this recorded, an Assessment record cannot be recorded.

### Create a contact

From the Browse Contacts screen, click **Add Contact**.

Note: If a Contact has already been recorded, AIS prompts the user to choose whether to record a Case Note or a Contact. In this case, select **Contact Record**.

Complete the Contact screen as below. Fields marked with \* are mandatory.

Maintain Contact	
Field	Contents
<b>About the person making the Contact</b>	
Contact Date*	Record date of the application [Auto populates]
Time	Record time [Auto populates]
What relationship is this person/agency to the contact subject?	Select Either <b>DoLS: 3<sup>rd</sup> Party Request</b> or <b>DoLS: Managing Authority Request</b>
Who is making the Contact?	Either found by searching the for the person on the system, or recorded as free text
Does this person work for an agency?	If not already populated, click <b>Find Org.</b> to search for the relevant Managing Authority (organisation)
Address	Auto populated from the Managing Authority searched for above.
Telephone	Record the relevant telephone number of the person making the contact
Does this person wish their identity to remain confidential?	Select Yes or No

Reasons and Issues	
Why is the Contact being	Select either <b>DoLS: Standard Application with Urgent</b>

made?	<b>Authorisation or DoLS: Standard Request</b>
Details	Here you can record text explaining more about the reason for the contact
Date	Input date of the Application
Date Action Required	Enter the date by which South Glos as a Supervisory Body should complete a DoLS assessment
Issues	Select Deprivation of Liberties from the drop down list
<b>Details</b>	
Location	Leave blank
How was the Contact made?	Select the relevant Contact Method
Is a responsible adult aware of this contact?	Choose Yes/No (defaults to Yes)
Is the subject aware of this contact?	Choose Yes/No (defaults to No)
Who took the contact? *	Name of person recording the Contact. Your name will default in
Which team took the contact?	Name of team recording the Contact. Your team will default in, (if this is recorded about you)
Who is the Responsible CSSR?	CSSR is the 'Council with Social Services Responsibility'. If you are attached to an organisation, this field is completed automatically with your team's name. This can be changed if incorrect using the <b>Find Team</b> button.
Additional Commentary	Here you can record text explaining more about the reason for the contact about the CSSR
What was the outcome of the contact?	Choose the relevant outcome <b>DoLS: Progress to Referral, Advice given</b> or <b>NFA</b>
Outcome date	The date of the outcome
Detail of the outcome	Here you can record text explaining more about the outcome of the contact


Save the record by clicking the **Save**

## Record CQC id Number

Click [Extra Quests.](#) to navigate to the Contact Questionnaire and complete the following;

Contact / Referral Questionnaire	
Question	Action/Information Required
Establishment & CQC Location id	Select Managing Authority from the drop down list.  If the Managing Authority is not in the list select ' <b>Other</b> ' and record the Establishment name and CQC id number in the text answer box.

## Sending an Acknowledgement Letter

Return to the Maintain Contact screen and click on the  icon to send a letter to the Managing Authority.

Select **DoLS Acknowledgement Letter** from the Word Report Chooser list, the letter will be produced in Word.



# REFERRAL

## Create a DoLS Referral

Every DoLS application will have a DoLS Referral created, this maybe in addition to another open referral on the Service Users record.

The referral is created from the DoLS Contact type by selecting the 'Yes' radio button to the question 'Progress to Referral?' and clicking [Continue](#).

The referral remains open for the duration of the DoLS Authorisation. If a Managing Authority is requesting an extension or review of an existing DoLS Authorisation then the original Referral should be closed and a new one created.

The maintain Referral screen should be completed as below.

Maintain Referral	
Field	Contents
<b>Referral Details</b>	
Contact Date	Auto populates
Reason for contact	Auto populates
Is a responsible adult aware?	Auto populates
Source confidential?	Auto populates
<b>General</b>	
Referral date*	Auto populates with date of Referral
Time	Auto populates
Why was the person referred?	Select <b>DoLS: Application for Authorisation</b>
Details	Leave Blank
What priority does this referral have?	Leave Blank
This referral should be responded to by	Leave Blank
Current Status	Leave Blank
Eligibility status	Leave Blank
<b>Supplementary Information</b>	
Main Client Category	If an existing SU leave as set. If no Client Category select one from the drop down list
Additional Commentary	Leave Blank
<b>Responsibility</b>	
Who is responsible for this referral?	Auto populates
Which team is responsible for this referral?	Auto populates
Who is the Responsible CSSR	Leave Blank
<b>Presenting Issues</b>	
Date	Leave Blank
Date Action Required	Leave Blank

Issue	Leave Blank
<b>Outcome</b>	
What was the outcome of this referral?	Select either <b>DoLS: Progress to Assessment</b> or <b>No Further Action</b>
When was the outcome determined?	Enter date of Outcome
Reason for Outcome	Leave Blank
<b>Closure</b>	
Why was this referral closed?	Leave Blank
When was this referral closed	Leave Blank
<b>Complete Referral</b>	
Is the referral complete?	Click Yes radio button
Send for Authorisation	Leave Blank
Progress to Assessment	Click Yes if completing DoLS Assessment, otherwise leave set as No

## What if circumstances change or person dies before assessment?

If a person dies or moves accommodation after a DoLS application has been received but before the person is assessed, the referral should be closed on AIS. Anyone who falls into this category should be recorded as **Authorisation Not Granted**.

There are two Referral Closure Reasons to be used in this circumstance when closing the Referral.

- **DoLS - Authorisation not granted- person deceased**
- **DoLS - Authorisation not granted – change of accommodation**

Any remaining open DoLS information should also be closed down in the normal way i.e. Involvement Role.

# INVOLVEMENTS

Involvements are a record of the professional relationships with a Service User. This includes organisational teams, a named practitioner and DoLS Representatives. These involvements should be recorded using the **Involvements** item in the left hand menu bar in AIS.

Other relationships for example family members, friends are not involvements on AIS and should not be recorded as such. These relations should be recorded using the **Relationships** item in the left hand menu bar in AIS.

Upon receiving a DoLS application and recording the Contact and Referral the DoLS Team must be recorded as a Team Involvement.

Involvements are classified using involvement roles that define the nature of the involved persons working relationship with the Service User. Involvement Roles available for DoLS are:

- DoLS: Best Interest Assessor
- DoLS: IMCA
- DoLS: Independent BIA
- DoLS: Managing Authority
- DoLS: Mental Health Assessor
- DoLS: Representative
- DoLS: Paid Representative

## Recording Involvements

In the context of a Service User click on the **Involvements** item in the left hand menu bar in AIS. This will open the Browse Involvements screen.

Under the View Involvement History banner (which will list the involvements) click on the **Add Inv.** Button. This will open the Maintain Involvements screen which should be completed as detailed below.

Maintain Involvements	
Field	Action/Information Required
Start date*	Enter date the involvement started.
Involvement*	Use the <b>Find Person</b> button to search for the person to be added as an involvement. This opens the Person Search screen. In the Search Results click on the Person Identifier of the required person to select them as the involvement. Alternatively use the <b>Add Self</b> button to add yourself.
Key Worker	Not used for DoLS

## Maintain Involvements

Field	Action/Information Required
Organisation	<p>This may be populated already e.g. if the <b>Add Self</b> button was clicked above.</p> <p>To populate the field use the <b>Find Org.</b> button to search for the organisation. This opens the Organisation Search screen. In the Search Results click on the Identifier of the required person to select the Organisation.</p>
Key Team	No used for DoLS
Can be contacted	<p>The default is "U" which is unknown.</p> <p>Use the answer "N" if the involvement should not be contacted e.g. because the person has requested that information should not be shared with this person or organisation.</p> <p>Use the answer "Y" if the involvement can definitely be contacted.</p>
Weighting	Field not used
End Date	Leave blank
End Reason	Leave blank
Consent Giver	Field not used
Responsible Adult's Consent	Field not used
Responsible Adult's Consent date given/withheld	Field not used
Consent to share	Field not used
Consent to share given/withheld	Field not used
Notes	Use this to write up any relevant notes to clarify the involvement and/or any limitations on it.

Click the **Save** button.

# Recording Involvement Role

Involvement Roles describe the nature of the person’s involvement.

In the Maintain Involvements screen of the required Involvement click on the **Add Role** button and complete the fields as detailed below.

Maintain Involvements	
Field	Action/Information Required
Role*	Select Role type from the drop down list. Generally a DoLS prefixed role
Start Date*	Enter date role started
End Date	Leave blank
Notes	This can be used to record any additional information

Click the **Save** button.



**Ending Involvements** – It is important to end the involvement of the Best Interest Assessor and the Mental Health Assessor once the assessments are complete and the DoLS authorisation is in place. This to prevent lengthy Involvement Case Management Lists and reports being generated where a DoLS assessor is also a South Glos Care Management Social Worker.

# PRIORITISING THE APPLICATION AND ADDING TO THE DoLS WAITING LIST

Once the Application Contact, Referral and the DoLS Team Involvement have been recorded, the application needs to be sent to the DoLS Senior Practitioner in order to prioritise the application. This part of the guidance is in two parts; the DoLS Support Officer and DoLS Senior Practitioner.

## DoLS Support Officer

From the Maintain Contact screen of the DoLS Application click on the **Actions** button followed by the **Add Action** button on the Browse Action screen. Then complete the following:

Maintain Action	
Field	Action/Information Required
Action status*	Leave as Open
Action*	Select <b>DoLS Application for Prioritisation</b> from the drop down list
Action by date	Enter date the action is being sent
Date completed	Leave blank
Notes	Leave blank

Click **Add Person** and search for the DoLS Coordinator (143528)

Click **Save** to send the workflow to the DoLS Coordinator where it can be accessed by the DoLS Senior Practitioner.

## DoLS Senior Practitioner

Once the application Contact & Referral has been recorded in AIS the Senior Practitioner must prioritise the application. This is done by completing the following steps;

From the Task List click **View Other List** and select DoLS Coordinator from the displayed list and click **Continue**. This takes you to the DoLS Coordinator Task List.

Click on the hyperlink of the workflow job description '[DoLS Application for Prioritisation](#)' which takes you to the DoLS Application Contact.

From the Maintain Contact screen click **Extra Quests.** To be taken to the Contact Questionnaire and complete the following;

Contact / Referral Questionnaire	
Question	Action/Information Required
DoLS Prioritisation – High, Med, Low	Select <b>Yes</b> to <b>one</b> of the Prioritisation Criteria. If more than one applies select 'High - Urgent - Two or more high reasons apply' and record the reasons in the notes box.

Contact / Referral Questionnaire	
Question	Action/Information Required
IMCA required at time of Assessment	Select Yes or No
Objections	Select Yes or No
Establishment & CQC Location id	Should have been completed by DoLS Support Officer
Allocation	Select <b>Awaiting Allocation</b> from the drop down list

Click **Save**

Return to the Task List and remove the workflow job by ticking the Select box of the workflow job to be remove and click **Complete Task**



Once allocated to a worker for assessment the Allocation field should be changed to 'Allocated'. This will remove the application from the DoLS Waiting List.

# ASSESSMENT

## Recording the DoLS assessment



Remember to record the person's ethnic origin when creating their record on AIS. If an ethnic origin has not been recorded, you will be prompted to do so during the assessment recording.

In AIS, click on the Assessment item on the left hand menu then click Assessment in the sub menu. This takes you to the **Browse Assessments** screen, now click [Add Assess.](#)

In the **Maintain Assessment - Assessment** screen, record the following:

Note: Fields in AIS marked with \* are mandatory.

Maintain Assessment	
Field	Contents
Assessment Type*	Select DoLS: Assessment 2015

Having chosen the Assessment Type, further fields appear on the screen.

Maintain Assessment	
Field	Contents
Resulting From	Select the DoLS Referral that generated this assessment
Is this assessment a reassessment?	Select No
Who is the subject of this assessment?	The person being assessed should appear by default
Status*	Choose the appropriate Status of the assessment
Status Reason	Leave blank
Priority	Leave blank – Not used for DoLS
Location of Subject	The location where the person was when the assessment took place
Target Start Date	The intended start date of the assessment
Target End Date	The intended end date of the assessment (Note: this automatically appears when a Target Start Date is recorded)
Actual Start Date	Date the Assessment occurred.
Actual End Date	Date the Assessment was completed
End Reason	Enter Completed/Cancelled
Delay Reason	Leave blank
Reasons/Views	Can be used to record additional Information
Person responsible	Click <a href="#">Find Person</a> to add the name of the assessor who completed the assessment.

Click [Save](#)



## Recording the Assessment Criteria

Once the assessment has been completed and returned, the DoLS Support Officer can input the questionnaire information.

From the Maintain Assessment screen click on one of the Assessment Questionnaire items on the right hand navigation menu. This takes you to the Assessment Questionnaire.

The questionnaire can also be accessed from the Browse Assessment screen by clicking on the **Questionnaire** button of the appropriate DoLS assessment. The questionnaire can be completed in two parts as each assessor completes their assessment.

The questionnaire is split into two parts representing the DoLS Assessment Criteria evaluated by the Best Interest Assessor and the Mental Health Assessor.

To complete the questionnaire carry out the following:

Assessment Questionnaire	
DoLS: Assessment Criteria – Best Interest Assessor	
Field	Contents
Age Requirement	Select appropriate answer from the drop down list
Mental capacity Requirement	Select appropriate answer from the drop down list
No Refusals Requirement	Select appropriate answer from the drop down list
Best Interests Requirement	Select appropriate answer from the drop down list
Assessor's Summary	Leave Blank
Subject's Summary	Leave Blank
Responsible Adult or Carer's Summary	Leave Blank
Is Category Complete?	Select Yes or No as appropriate
DoLS: Assessment Criteria – Mental Health Assessor	
Mental Health Requirement	Select appropriate answer from the drop down list
Eligibility Requirement	Select appropriate answer from the drop down list
Assessor's Summary	Leave Blank
Subject's Summary	Leave Blank
Responsible Adult or Carer's Summary	Leave Blank
Is Category Complete?	Select Yes or No as appropriate

Click **Save**

## DoLS: Post Assessment Checks

The Post assessment checks section can be completed at any time following assessment and is used to record the date the application was signed off in addition to other local monitoring.

DoLS: Post Assessment Checks	
Representative identified	Select from the drop down
Representative Agency & Date Referred	Select Representative from drop down and select date. If other, record Agency in text box
Representative Paperwork sent	To record date when Representative paperwork sent
Letters sent to Managing	To record letter sent when and what letter are sent and to

Authority and Relevant Person (& any other listed in form 10)	whom
Doctors claim form signed	Date claim form signed
DoLS Authorisation signed off by:	To record date authorisation has been signed off and the Manager authorising
Is there an objection following Assessment / Authorisation?	Select Yes / No
If an objection has been made, has an appeal been instigated?	Select appropriate response from drop down
39D IMCA referral made for person?	Select Yes / No

Click

## Recording Assessment Outcome

The outcome of the DoLS assessment should be recorded upon completion. To do this, navigate to the Maintain Assessment screen and click on the  button.

Then complete the following:

Maintain Assessment	
Field	Contents
Outcome *	Choose appropriate DoLS Outcome
Notes	Record any detail of the outcome here

Click

Click  to save the outcome of the assessment.

# RECORDING AUTHORISATION

## Recording DoLS Authorisation

The DoLS authorisation is recorded in the Questionnaire screen of the DoLS Assessment. This section is used to record the planned duration and the Actual duration of the DoLS Authorisation.

In AIS, navigate to the DoLS Assessment Questionnaire and locate DoLS Authorisation Details section and record the following:

Assessment Questionnaire	
Question	Answers
Authorisation	Select Authorised or Not Authorised
Authorisation Start Date	Enter Date Authorisation is granted
Expected Authorisation End Date	Enter Date Authorisation is planned to ended

Click

## Ending a DoLS Authorisation

In the circumstance where a DoLS Authorisation is ended the authorisation must be ended by completing the following;

Assessment Questionnaire	
Question	Answers
Authorisation Actual End Date	Enter date the DoLS authorisation actually ended
Authorisation End Reason	Enter End Reason If DoLS Authorisation is to continue input end reason of ' <b>Episode ceases and new episode begins</b> ' and enter a new Legal event.

# CASE NOTES

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Case Notes are used to record supplementary DoLS information, they are not used for statutory reporting purposes but they are useful for other AIS users including Practitioners and CSO's.

DoLS Case Note types include:

- DoLS Authorisation Granted
- DoLS Authorisation Extended
- DoLS Authorisation Ended

## Recording Case Notes

To add a new case note:

Select **Case Notes / Visits** item in the Side Bar Menu then select the **Create Notes / Visits** option.

In the resulting **Maintain Case Note** screen complete the following:

Maintain Case Note	
Field	Contents
Note/Visit Type	Select appropriate DoLS Case Note type from the Drop down
Note Date	Auto Populates
Received time	Auto Populates
Headline	Type in an appropriate headline. This will be the title of the note that will appear in Browse Case Notes.
Notes	Type in the detail of the note
Is this note/ visit a significant event?	Leave as No
Outcome	Leave blank
Copy note to family members?	Leave as No
Create a copy of this note?	Leave as No

# REVIEWS

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A DoLS review can be requested by the person subject to the DoLS Authorisation, the person's representative, the Care Home/Hospital (Managing Authority). Alternatively South Glos as a Supervisory Body can arrange a review if needed or if there is a change in a persons circumstances.

If a review is requested a Contact type of DoLS: Review Request 2015 is input and the process is the same. Therefore it is suitable to follow this guidance from the beginning.

# DoLS AUTHORISATION CLOSURE

Once a DoLS authorisation is no longer required it must be ended this work requires:

## Recording a DoLS Ended Case Note

Record a Case Note detailing the fact that the DoLS Authorisation has ended by following the above **Recording a Case Note** guidance.

## Close DoLS Referral

Close the DoLS referral by completing the following on the Maintain Referral screen

Maintain Referral	
Field	Contents
<b>Closure</b>	
Why was the referral closed?	Select DoLS closure reason from the drop down
When was this referral closed?	Enter date of closure

## End DoLS Involvements

End all of the DoLS Involvements by completing the following on the Maintain Involvements screen:

Maintain Involvements	
Field	Contents
<b>Involvement Details</b>	
End Date	Enter date closure
End Reason	Select appropriate End Reason from the drop down

## Ending a DoLS Authorisation

The DoLS Authorisation needs to be ended the authorisation must be ended by completing the following;

Assessment Questionnaire	
Question	Answers
Authorisation Actual End Date	Enter date the DoLS authorisation actually ended
Authorisation End Reason	Enter End Reason If DoLS Authorisation is to continue input end reason of <b>'Episode ceases and new episode begins'</b> and enter a new Legal event.

# APPENDIX A

## Process Map

