CUSTOMER FINANCE AUDIT TEAM - ACCESS TO RESTRICTED RECORDS

Issues with restricted records assigned to CFAT

When sent via the Direct Payment Set Up step, or awaiting follow-up audits, Direct Payment Audit steps will either be assigned to the Customer Finance Audit Team or virtual workers within the team. For restricted records, CFAT workers are not able to view information in the 'Date' or 'Note' fields in Full Workview (which they rely on to maintain an awareness of what audits are due when, and any other important info about forthcoming audits).

Further, there's no movement of the steps between the Future and Incoming Work folders, as and when their due dates fall within the prescribed timescales.

Steps associated with restricted records behave in the following ways in Mosaic:

- If a step for a restricted record is assigned to a team, it resides within the 'Restricted' folder, with information in the 'Date' and 'Note' fields hidden.
- If a step for a restricted record is assigned to a virtual worker, it also resides within the 'Restricted' folder, with information in the 'Date' and 'Note' fields hidden.
- It's only when a step for a restricted record is assigned to an actual worker that it resides within either the 'Future Work' or 'Incoming Work' folders, with dates and notes visible.
- Steps for restricted records that are assigned to a team or virtual worker do not automatically move from the 'Restricted' folder into the 'Incoming Work' folder closer to the due dates of the steps.

Access requirements

Access to all restricted records allocated to CFAT and affiliated virtual workers will be required for all BSAs within the team for as long as the associated customers require audits. This is because BSAs interact with the steps before the FSOs and allocate to them accordingly, so they'll always need to be aware of what audits are due when.

Access to a restricted record will be required for the FSO responsible for conducting an audit at any given time, and only for the duration of an audit. When the audit is completed and the associated step is

finished, they will no longer require access to the record. If a follow-up audit is required in 6, 12 or 18 months' time, they'll need to request access to the record again, when the audit is due to commence.

Procedure for requesting CFAT worker access to restricted records in Mosaic

- Access to restricted records should be requested on an ad hoc basis, as and when associated steps are sent to CFAT, and are assigned to either the team or virtual workers affiliated to the team.
- When access to a restricted record is required, CFAT BSAs should inform the Team Leader of such.
  - The Team Leader will request access to the record for themselves and, once access is granted, check details of the case in Mosaic to ensure there are no particular reasons that would engender concerns for CFAT worker access.
  - If there are no concerns, the Team Leader will provide the necessary authorisation for all BSAs within CFAT to have access to the record.
- Once granted, access to the restricted record should remain for as long as the customer requires DP Audits, so that the CFAT BSAs will always have an awareness of when follow-up audits are required (by being able to view due dates within the Incoming Work folders).
- When a BSA allocates an audit for a restricted record to a FSO, access to the restricted record should be requested for the FSO responsible for completing the audit.
- When a FSO completes work on an audit for a restricted record, it must be requested that their access to the record is removed. If there's a follow-up audit required, the 3 BSAs will retain access to the record, so they will be aware of precisely when it is due, through monitoring the Incoming Work folders.
- When audits are no longer required for a customer with a restricted record (ie. when Direct Payments cease and a final audit has been completed), it must be requested that access to their record is removed for the 3 BSAs (along with the allocated FSO).

Restricted records access monitoring

It will be the responsibility of the CFAT Team Leader to monitor access to restricted records for workers within the team and retain an awareness of who has access to what records at any point in time. The Team Leader will maintain and update an Excel workbook that includes all relevant details (ie. Person

IDs of restricted records; dates requests made/authorised/granted for BSAs and FSOs; dates when access is no longer required for BSAs and FSOs, etc).

Under normal circumstances, due to the nature of the audit process, there will be a period of a few weeks between a BSA requiring access to a restricted record and a FSO requiring access. Once the Team Leader has authorised access to a particular record for a BSA, when they subsequently receive a FSO access request, they'll be able to authorise access to the same record, without having to significantly recheck case details in Mosaic.

It is the FSO's responsibility to inform the team leader when they've completed a DP Audit and no longer require access to a particular record. Likewise, it's the responsibility of BSAs to inform the team leader when a customer no longer requires DP Audits and removal of their access to the record is required.