Registration Authority and smartcard management procedure

Issue sheet

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<tr>
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<td>Gordon Wanless</td>
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1. Introduction

1.1 This document details the roles and responsibilities within the NHS Business Services Authority operating as a Registration Authority. This document will also detail the processes required to create and maintain users of NHS Clinical Records Systems (NHS CRS), through the use of smartcards.

1.2 Further information concerning the management of a Registration Authority can be found at http://systems.hscic.gov.uk/rasmartcards

2. Roles and responsibilities

Registration Authority

2.1 The role of the NHSBSA Registration Authority is to ensure that individuals providing healthcare services to the NHS directly or indirectly have timely access to NHS Care Records Service compliant applications (and information) in accordance with their role. It is the NHSBSA’s responsibility to ensure that all the requirements of Registration Authorities are met and maintained to meet the requirements of the NHS Confidentiality Code of Practice and the Care Record Guarantee.

RA Manager

2.2 The RA Manager is approved and sponsored by the Caldicott Guardian for the NHSBSA.

The NHSBSA RA Manager is the Head of Internal Governance.

The RA Manager is responsible for:

- assigning RA Agents and RA Sponsors
• ensuring RA Agents are adequately trained and aware of their responsibilities number local and national policies and procedures
• reporting all RA related incidents to the Caldicott Guardian / Information Governance and Security Group
• escalating all incidents that cannot be resolved locally to the next layer of RA cascade
• ensuring RA roles have adequate hardware and software necessary to administer the RA and have access to Spine applications.

RA Agents

2.3 RA Agents are assigned by the RA Manager and act on his behalf at each of the NHSBSA divisions.

The NHSBSA has RA Agents in the following business areas:

• NHS Protect
• NHS Dental Services
• Contact Centre Services
• NHS Pensions & Student Services
• People and Organisational Development
• Finance
• Prescription Processing

They are responsible for:

• assigning users within their own Business Area.
• ensuring RA Sponsors are trained in their responsibilities, including how to unlock smartcards and if necessary issue fallback smartcards
• monitoring use of NHS CRS by all users within their business area
• reporting all incidents that cannot be resolved locally to the RA Manager
• supporting the RA Manager in ensuring RA roles have adequate hardware and software necessary to administer the RA and have access to Spine applications.

RA Sponsor

2.4 The NHSBSA has the following RA Sponsors:

• Corporate
  Director of Finance
• NHS Dental Services
  Dental Services Release and Programme Manager
• NHS Protect
They are responsible for:

- approving users
- working with the RA Manager / Agent to ensure all users are given the correct user access levels to NHS CRS applications
- unlocking smartcards and resetting passwords.

3. **Hardware and software requirements for Registration Authority**

3.1 To ensure that the NHSBSA is able to function efficiently as a Registration Authority, it is necessary that all appropriate staff have access to the appropriate hardware and software necessary for the administration of the RA and allowing access to appropriate Spine applications.

3.2 IT requirements

3.2.1 For the management of the RA and access to the relevant spine applications, the RA Manager and each RA Agent will require the following equipment:

- PC or laptop with 4 or more USB ports or USB hub;
- N3 network connection;
- Supply of blank smartcards;
- Smartcard printer;
- Digital camera / web cam
- Two smartcard readers

The RA Manager and Agents must ensure that all equipment is securely stored. In particular the smartcard printer and blank smartcards must be stored in a secure location at all times, in a location that can only be accessed by authorized staff.

An adequate supply of smartcards must be retained, to allow for the creation of smartcards for new staff, and for replacement when cards are lost / stolen / broken.

At least one spare ink cartridge should be retained centrally with the spare smartcard printer.

3.2.2 Any user that requires access to Spine applications will require the following equipment:
- PC or laptop
- N3 network connection
- 1 Smartcard reader.

3.3 Card security

3.3.1 All users must be made aware of their responsibilities for security of their smartcard.

3.3.2 As the NHSBSA is now using User Identity Manager (UIM), a user will only be allocated a smartcard if their role requires them to have one. This will be an automatic process that is fully integrated with the Electronic Staff Record (ESR) system.

3.3.3 Cards which appear to have been lost or stolen must be reported promptly and action taken to ensure that their use is revoked in accordance with the advice in Section 5.1.

3.3.4 The security of the NHS systems underpins ‘The NHS Care Record Guarantee’ which is a commitment to use the records we hold about patients (past and present) in ways that respect their rights and promote their health and wellbeing, see: http://www.connectingforhealth.nhs.uk/crdb

3.3.5 If there are any breaches of this agreement in the use of the smartcard, the card should be confiscated and the RA Manager and Caldicott Guardian must be informed.

4. Registration and issuing of smartcards

4.1 In order to use the NHS CRS users must have a smartcard that defines their type of access to specific applications, such as the Personal Demographic Services (PDS).

4.2 Overview of process

4.2.1 The RA Sponsor, in conjunction with the responsible manager for a member of staff decide whether a role requires a smartcard or not and if it is decided that it should then an application should be put to the RA Manager or Agent, whilst at the same time deciding on what systems can be accessed.
4.2.2 The RA Manager / Agent is responsible for ensuring that People & Organisational Development are asked to create the link for the role in ESR to show that it requires a smartcard.

4.2.3 When a staff member is allocated to a role that requires a smart card, People & Organisational Development will ensure that satisfactory identity documents are seen (as per DH guidance) and recorded and will then create a task in the RA Management work list so that the smartcard can be created.

4.3 Accessing the RA Management work list in Care Identity Service (CIS)

4.3.1 This can only be carried out by the RA Manager or RA Agent, who has an authorised Smartcard and at least one card reader.

To logon to CIS:

- Connect a smartcard reader to the computer and insert your smartcard. Enter your smartcard password and ensure you receive a confirmation message that confirms you have been logged on successfully
- Connect to the National Health Service Spine Portal at https://portal.national.ncrs.nhs.uk
- Select the ‘Launch Care Identity Service (CIS)’ link

![National Health Service Spine Portal](image)

and you will see the CIS Dashboard, an example of which is shown below:
Current guidance leaflets can be found on the HSCIC website at (http://systems.hscic.gov.uk/rasmartcards/cis/guidance) and you should refer to the following as required:

- Managing Requests  
  (http://systems.hscic.gov.uk/rasmartcards/cis/guidance/16.pdf)
- Issuing a Smartcard  
  (http://systems.hscic.gov.uk/rasmartcards/cis/guidance/6.pdf)
- Unlocking a Smartcard  
  (http://systems.hscic.gov.uk/rasmartcards/cis/guidance/10.pdf)
- Repair Smartcard Certificates  
  (http://systems.hscic.gov.uk/rasmartcards/cis/guidance/12.pdf)
- Destroying or Cancelling a Smartcard  
  (http://systems.hscic.gov.uk/rasmartcards/cis/guidance/13.pdf)

5 Card security

5.1 Each time a staff member uses their smartcard they are accepting an agreement and agree to abide to Terms and Conditions regarding the correct use of the card. In particular they agree not to permit anyone else to use their card.

Cards which appear to have been lost or stolen must be reported promptly and action taken to ensure that their use is revoked.
The security of the NHS systems underpins ‘The NHS Care Record Guarantee’ which is a commitment to use the records we hold about patients (past and present) in ways that respect their rights and promote their health and wellbeing, see: [http://www.connectingforhealth.nhs.uk/crdb](http://www.connectingforhealth.nhs.uk/crdb)

If there are any breaches of this agreement in the use of the smartcard, the card should be confiscated and the NHSBSA Registration Authority and Caldicott Guardian must be informed.

6. **Validity of this procedure**

6.1 This procedure is designed to avoid discrimination and be in accordance with the Human Rights Act 1998 and its underlying principles.

6.2 This procedure should be reviewed annually under the authority of the NHSBSA Leadership Team.

6.3 The NHSBSA will regularly audit its RA management practices for compliance with this procedure.

The audit will:

- identify areas of operation that are covered by the NHSBSA’s policies and identify which procedures and/or guidance should comply to the policy
- follow a mechanism for adapting the procedure to cover missing areas if these are critical to RA management, and use a subsidiary development plan if there are major changes to be made
- set and maintain standards by implementing new procedures, including obtaining feedback where the procedures do not match the desired levels of performance
- highlight where non-conformance to the procedures is occurring and suggest a tightening of controls and adjustment to related procedures.
- The results of audits will be reported to the IGSG.