

Smartcards in the Pharmacy Workshop

A presentation delivered at the
Pharmacy Show by Addi Bostan
Access Control Programme Manager
11/10/2011



Agenda

- Smartcard Governance
- EPS Release 1
- EPS Release 2
- Migration from Release 1 to release 2
- Locum Pharmacy (FFFFFF)
- Smartcard Management
- Different Smartcards
- FAQ

Smartcard Governance

The e-Government Interoperability Framework (eGIF)

E-Government Strategy Framework Policy and Guidelines published in 2002.

NHS Care Record Guarantee first published in 2005 (latest revision 2011)

Cabinet Office published Suffolk Matrix in 2008

- placed Health Records transactions and storage at a minimum standard of Impact level 2 (not directly comparable to eGIF Levels)
- Although level 2 is adequate for individual records it isn't sufficient for a national service storing patient data.
- The *Information Governance Assurance Programme* (IGAP) concluded that the level 3 standard should not be reduced, particularly as health records are classed as sensitive (category 3) data in the Data Protection Act.
- The NHS Chief Executive mandated the assurance framework on all NHS organisations in 2009.

This standard (eGIF level 3) is now adopted as NHS pre employment identity check standard for all NHS employees, and all those involved in the delivery of NHS services (NHS Employers 2008)



NHS Care Record Guarantee

<http://www.nigb.nhs.uk/guarantee>



Sets out our commitment to the public on how we use patient data, e.g.

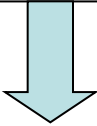
- Only seen by those who need to see it to provide care
- Only see what they need to see to do their job
- Provides an audit trail
- Some statutory access

Access to patient data must therefore be tightly controlled by;

- Professional Codes of Conduct
- Local Codes of Conduct and business processes and;

Technical IT controls- two of these concern Registration Authority (RA):

- Authentication: who are you?
- Authorisation: a) whose record can you see, b) what parts of the record can you access, what can you do with it?



NHS CRS Registration

eGIF Level 3 Authentication Definition

Strong authentication is achieved through

2 factor authentication;

“something you have”

and

“something you know”.

Smartcard



Registration Process

The Registration process consists of three distinct activities:

- 1) **Registration of identity** – a user is sponsored (either by a sponsor or by the nature of being assigned to a position in ESR that requires NHS CRS access) to be issued with a Smartcard; has their identity checked to eGif level 3 and a personal details record is created in the Spine User Directory (SUD); this part need only be performed once, by a Registration Authority Agent or Manager.
- 2) **Choosing appropriate access** to NHS CRS functionality/information (via their profile) and linking it to the SUD record; this may be changed as necessary (by each organisation); a profile requires a sponsor's approval and they are granted by a Registration Authority Agent or Manager.
- 3) **Creating a card** to link the user (Smartcard holder) to their SUD record and access profile(s) to allow access to NHS Systems.

Registration Authority Roles

RA Manager Responsibilities

The RA Manager will be responsible for ensuring the adherence to policy and governance related to the RA, for the efficient day to day operation and capacity planning of the RA services.

RA Agent Responsibilities

The RA Agent will be responsible for ensuring RA services are delivered in accordance with the policy and governance to users of RA services.

Sponsor Responsibilities

The Sponsors will be responsible for approving, where appropriate the registration and profiles to be granted to users. Additionally, they may be responsible for the appropriate issue of Fallback Smartcards and Passcode resetting.

EPS Release 1

Community pharmacists issued with an EPS01 card to operate the service.

Registered to government standard e-GIF Level 3 with the Registration Authority of a primary care trust (PCT).

For Release 1, only community pharmacists and locum pharmacists are required to register.

PCTs are responsible for issuing the smartcards.

Different PCTs have in place different arrangements for issuing cards.

Registering for a Smartcard

Pharmacists who have an EPS Release 1 card (known as the EPS01 card), will only have to sign the terms and conditions for the NHS CRS Smartcard.

All Pharmacy staff registering for an NHS CRS Smartcard for the first time will have to go through the full registration process

Your local PCT Registration Authority can advise you on the arrangements in place for the registration meeting

Pharmacy access rights

Different Staff will require different levels of access

- Community Pharmacist
- Pre-Registration Pharmacist
- Community Pharmacy Dispensing Technician
- Community Pharmacy Medical Counter Assistant

EPS Release 2

In Release 2, dispensing contractors will have access to the Personal Demographics Service (PDS) part of NHS Spine services.

Dispensing contractors and their staff will be required to adopt the same 'single card' access model as all other staff accessing parts of the NHS CRS.

Smartcards allow 'nominations' setup and can be audited

Smartcard Model for Release 2

1. One NHS CRS Smartcard per authorised user of the service.
2. No Smartcard sharing and no sharing of access sessions with the NHS CRS.
3. An appropriate user role profile (URP) registered with the NHS CRS User Directory
4. Pharmacy staff will be allocated access rights dependent on their roles within the pharmacy as deemed appropriate by the sponsor.
5. All pharmacy staff will be registered with an organisation identifier that represents the NACS code of the pharmacy site where they operate the service on a regular basis.

Cont'd

6. The NHS Registration Authority within a primary care trust (PCT) can only add, modify, or delete a user role profile for an organisation associated with that PCT.
7. Community pharmacists who may need to legitimately work within many community pharmacies at short notice will also have a user role profile registered against a generic organisation NACS code for a “locum pharmacy”.
8. All locum pharmacists will be registered with a locum user role profile.
9. The NHS Registration Authority within any PCT will be able to create a user role for a “locum” pharmacist.
10. If a user does not have a user profile for the site they are in or the locum pharmacy profile they will not be able to use the service.

Migration of Pharmacists with Release 1 Cards to NHS CRS Cards

EPS01 cards that are used for EPS Release 1 will not operate in an EPS Release 2 system.

A number of factors will need to be considered when deciding the specific action required. These include:

- Planned go live dates
- Circumstances of the individual pharmacist; In particular, do they work at one site or a range of sites
- Ensuring business continuity of EPS Release 1 functionality throughout the transition to EPS Release 2.

Key messages for PCT RA

Nomination is a key feature of EPS Release 2. As it is led by patient choice dispensers may start to receive nominated prescriptions from outside their own PCT.

Many pharmacies are already EPS Release 2 enabled, or have ordered an EPS Release 2 system from their supplier.

Pharmacies and DACs can use Release 2 even if their PCT does not have Secretary of State Directions.

PCT RA teams should process Release 2 Smartcard applications from Pharmacies and DACs swiftly to ensure the PCT does not cause a delay in the roll out of EPS to dispensing sites

PCT RA teams should process user role profile amendments from General Practice organisations swiftly to ensure the PCT does not cause a delay in the roll out of Release 2 to prescribing sites.

Pharmacists have been advised that they must apply for their Release 2 Smartcards in the usual manner.

PCT RA leads should ensure that the local process is clearly signposted for contractors to follow bearing in mind that they do not have access to the NHS/PCT nww intranet site.

Non NHS RA

Policy Restriction

NHS Reorganisation (Health & Social Care Bill)

Changes to Policy

Identifying new Governance arrangements.

National Locum Pharmacy

Special arrangements have been made for some locum pharmacists to use a virtual national locum organisation code “FFFFFF”.

It is expected that regular locums and those where their identity (UUID) is known prior to starting a shift will be dealt with via normal RA Process

Locum pharmacists requiring access to release 2 functionality in an Organisation other than their own should be associated with **National Locum Pharmacy Organisation (FFFFFF)**

Alerts generated by Pharmacists accessing functionality via the **National Locum Pharmacy Organisation NACS Code** will be re directed to the appropriate individual associated with the Pharmacy Site at which the access occurred.

Arrangements for locum pharmacists using EPS Release 2

Pharmacists that only ever work in one pharmacy

Normal Smartcard arrangements

Pharmacists that work in a regular group of pharmacies (e.g. 5 local pharmacies)

Normal Smartcard arrangements

Pharmacists that work in one pharmacy/a regular group of pharmacies but are also sometimes required to work at short notice in an unknown pharmacy

Normal Smartcard arrangements will apply as above

Pharmacists that work in a range of unknown pharmacies at short notice

These pharmacists will need to be issued the FFFFFF URP.

'FFFFF' Q&A

1. What is the FFFFF code?

FFFFF refers to the code for the national locum organisation.

2. When should the FFFFF URP be used?

The FFFFF URP should be used for pharmacists who work at pharmacies they do not regularly work at and at very short notice.

3. How does a locum pharmacist get the FFFFF URP added to their Smartcard?

A pharmacist that needs the national locum URP added to their Smartcard should contact their RA sponsor regardless of where they will be working in England.

4. What is the RA sponsor's responsibility in relation to FFFFF?

The RA sponsor has responsibility for ensuring that the pharmacist has a legitimate reason for having the FFFFF URP added to their Smartcard.

5. What are the PCT responsibilities in relation to FFFFF?

PCTs have a duty to provide pharmaceutical services and will therefore recognise that they need to take a responsibility for the differences in the working arrangements of the pharmacy workforce. Use of the FFFFF URP will avoid the need for a RA function 24 hours a day, seven days a week

RA Forms / Purpose

RA01 Part A

Contains the conditions a successful applicant has to agree to prior to becoming an authorised NHS CRS user and being issued with a Smartcard.

RA01 Part B

Captures a users registration details and their signed acceptance of the terms and conditions, and the sponsor's declaration.

RA02

Captures the access profile changes, which when approved by a sponsor can be granted to the user by the RA manager or agent.

EPS01 Part A

Contains the conditions a successful applicant has to agree to prior to becoming an authorised EPS Release 1 user and being issued with an EPS01 card.

EPS01 Part B

Captures a users registration details and their signed acceptance of the terms and conditions, and the sponsor's declaration.

EPS01 Premises Part A

Contains the conditions that pharmacy contractors have to agree to when a pharmacy is issued with an EPS01 Premise card.

EPS01 Premises Part B

Captures the registration details of the Pharmacy and the signed acceptance of the terms and conditions, and the sponsor's declaration.

Certificate Renewal and Resetting Passcodes

Smartcards contain two digital certificates for the purpose of authentication. Pharmacy staff can use the self-service portal to re-set passcodes and re-new certificates.

Authenticate to the NHS Spine :

<https://portal.national.ncrs.nhs.uk/portal>.

Click Launch Self Service Portal.

From the Self Service Portal, click the Manage Passcodes tab.

Unlocking Smartcards

The Smartcard Service Centre (SCSC) allows you to unlock your Smartcard should it become accidentally locked.

If you are unable to access the Smartcard Service Centre you should check with your system supplier.

Information required to unlock your Smartcard

- your User's Unique Identifier (UUID)
- Account Recovery Passcode, and
- a @nhs.net email account or mobile phone number previously defined in the Spine User Directory.

Cancelling a Smartcard

If a Smartcard is no longer required, for example a member of the dispensing staff has left, the pharmacist or pharmacy manager should advise the local Registration Authority prior to a user leaving an organisation. The Registration Authority will then need to follow the appropriate access removal process.

Leavers with no intention of returning to an organisation in the near future, where a Smartcard is required to access NHS CRS compliant applications.

Short term Access Smartcard



This is appropriate when:

- the location/role change or temporary/locum member of staff are
- arranged at short notice
- where their identity or UUID is unknown until they arrive
- they arrive when there are no RA staff available
- where approve and grant access rights cannot be given at that point in time.

Premises Cards



Premises cards are introduced at the transition from EPS Release 1 to EPS Release 2, when some sites are still using EPS Release 1 and other sites have upgraded to EPS Release 2.

Smartcard FAQs

What happens if I forget my Smartcard Passcode?

This will vary locally so you will have been told when you were issued with your Smartcard how to deal with this situation, such as using the Self Service functionality or contacting your local sponsor or Registration Authority.

Can I change my own Passcode?

Yes, provided it has not been locked. You should change your Passcode from time to time to ensure it remains secure and secret.

What happens if I forget my Smartcard?

You should seek advice from your local sponsor or Registration Authority agent or manager.

What do I do if my Smartcard is locked?

Your Smartcard could be locked because you entered an incorrect passcode three times. The Smartcard Service Centre (SCSC) allows a user who has locked their Smartcard, to unlock it without visiting a RA.

Smartcard FAQs

Who do I report a lost, stolen or damaged card to?

You should contact your local sponsor and Registration Authority as soon as possible. They will cancel your Smartcard and arrange for a replacement.

What do I do if my Smartcard is used by someone else?

Smartcards must not be shared. Users are responsible for keeping their Passcodes secret.

What do I do if my name changes?

You need to inform your local Registration Authority agent or manager and provide proof of your new name.

So, what next?....

EPS01 cards used for Release 1 will not operate in Release 2 system.

Consider:

- Planned go live dates
- Circumstances of the individual pharmacist; In particular, do they work at one site or a range of sites
- Ensuring business continuity of EPS Release 1 functionality throughout the transition to EPS Release 2.
- PCT process for NHS CRS Smartcard issuance.

Thank you

Further information is available at

www.cfh.nhs.uk/eps/smartcards