

Registration Authority and Smartcard Guidance

Community Pharmacy

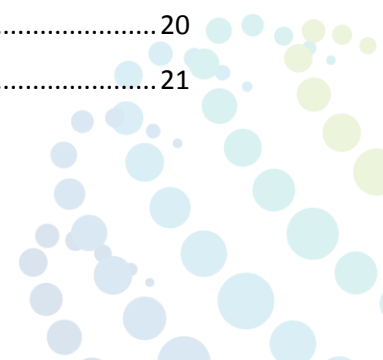


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1. Purpose

This document aims to provide process and operational guidance for Registration Authority and Smartcards.

Audience: Pharmacy Contractors, particularly Pharmacy Smartcard Sponsors

2. Cheshire and Merseyside Commissioning Support Unit (CMCSU)

Cheshire and Merseyside Commissioning Support Unit (CMCSU) is the local NHS body commissioned by NHS England to support smartcards for the Cheshire, Wirral and Warrington footprint.

CMCSU offers a range of professional services to NHS stakeholders. The Registration Authority Team (smartcard support) sits within the ICT directorate.

3. Roles and Responsibilities

There are a number of roles that contribute to smartcard management.

3.1. Pharmacy Organisational Sponsor

Responsible for nominating and approving Pharmacy Smartcard Sponsors. Typical position:

- Superintendent
- Regional Manager / Company EPS Lead (large chains)

Sole traders would usually act as Organisational Sponsor and Smartcard Sponsor.

Works for: Community Pharmacy Contractor

3.2. Pharmacy Smartcard Sponsor

Responsible for approving requests for smartcard registrations and any changes to a user's smartcard profile. Typical position:

- Pharmacist Manager
- Area Manager / Business Manager (large chains)

Note: Dispensers and Technicians **cannot** be set up as the sponsor as part of the normal process. Exceptions can be requested via the CMCSU IT servicedesk, these will be forwarded to the NHS England area pharmacy team for approval.

Works for: Community Pharmacy Contractor



3.3. Pharmacy Smartcard Unlocker

Responsible for unlocking or renewing smartcards onsite. The unlock function is automatically granted to Agents and Sponsors, but can be granted to other pharmacy shop staff to ensure business continuity.

Works for: Community Pharmacy Contractor

3.4. Smartcard Users

All registered smartcard users are responsible for complying with the NHS Care Records Service Smartcard Terms and Conditions which can be accessed at <http://nww.hscic.gov.uk/rasmartcards/docs/ra01a.doc>

3.5. Registration Authority Agent

Responsible for delivering support of smartcards in adherence with local and national procedures.

Works for: NHS Cheshire and Merseyside Commissioning Support Unit (CMCSU)



4. Processes

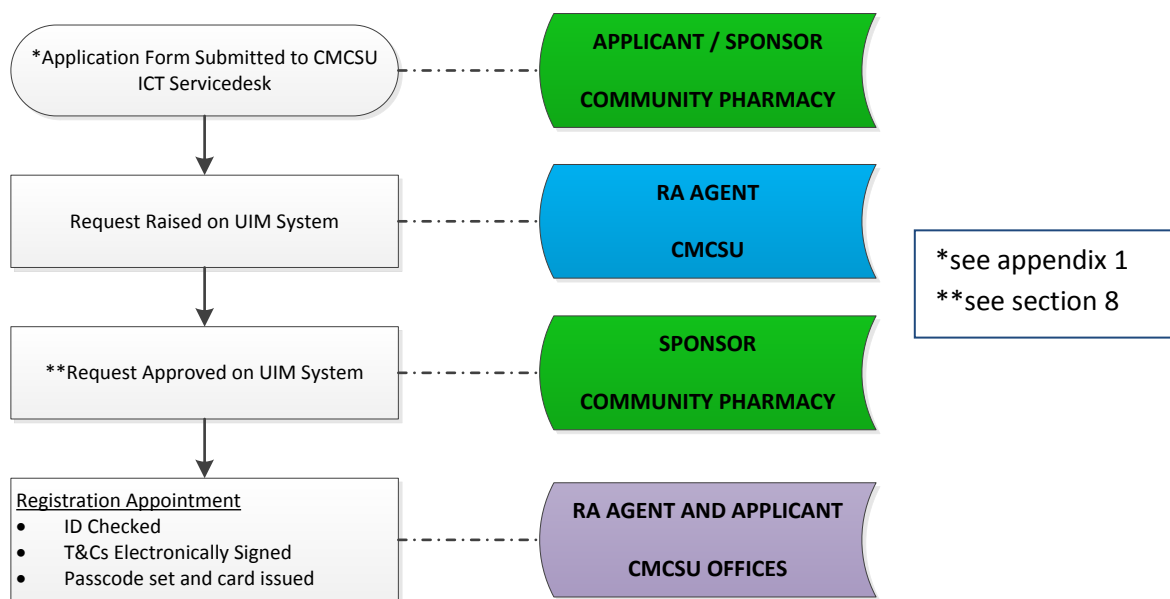
Most processes require the Community Pharmacy Smartcard Form to be submitted to the CMCSU IT Servicedesk. See appendix A.

4.1. Smartcard Registration

What does this process cover? New applicants who have never been registered with a smartcard in the past.

How do I begin it? Submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk

How long will it take? We aim to register new users within **5 working days**. This will depend on the pharmacy sponsor being available to approve the request, and the applicant being able to visit the CMCSU offices with their identification.

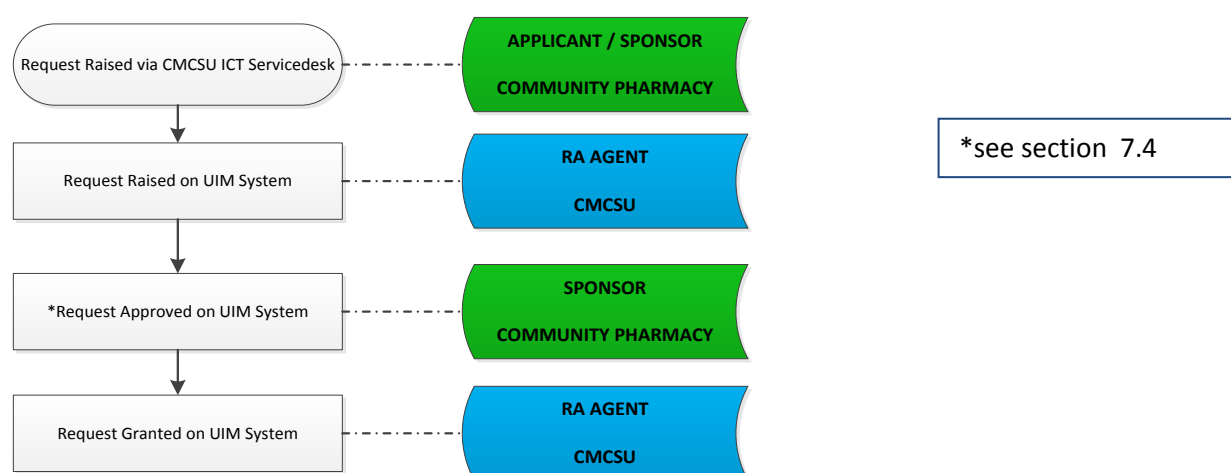


4.2. Add/Remove Access Position (users changing store or role within store)

What does this process cover? New starters with a smartcard., leavers, change of role within a store

How to I begin it? Submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk.

How long will it take? We aim to process change requests within **3 working days**. This will depend on the pharmacy sponsor being available to approve the request. If necessary, please indicate that the request is urgent in the subject of your email and we will aim to prioritise it.



4.3. Smartcard Unlock or Renewal

What does this process cover? Unlocking locked smartcards, and renewing

How to I begin it? Contact your Pharmacy Unlocker or Pharmacy Sponsor. If unable to help, Submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk

How long will it take? If this can be done onsite then it depends on your store unlocker. If you need to visit our offices we aim to respond within 24 hours and arrange a time to suit you. If you urgently need to visit us for a smartcard unlock, please telephone the CMCSU IT servicedesk and ask them to notify the RA Team that it is urgent.

Smartcards are unlocked on site by a Pharmacy Sponsor or Unlocker.

If there is no pharmacy unlocker available, then your store should apply for an unlocker to be set up, or the user will make an appointment to have their smartcard unlocked at a CMCSU locality base.

GP Unlockers – Smartcard unlocking is not restricted by organisation. You could set up a reciprocal arrangement with your local GP Practice for smartcard unlocking as they also use smartcards. (DO NOT ASSUME THAT YOUR LOCAL GP WILL BE ABLE TO ASSIT)



4.4. Lost, Stolen and Damaged Smartcards

What does this process cover? Lost, stolen and damaged smartcards for replacement

How to I begin it? Report it to the CMCSU ICT Servicedesk (IMMEDIATELY) by submitting the Community Pharmacy Smartcard Form.

How long will it take? This will depend on whether we can send the card out locked (see next paragraph). We aim to issues the replacement within 3 working days, which can then be collected from our offices or posted out locked as necessary.

The old smartcard will be cancelled and a replacement will be issued. If there is a Pharmacy Unlocker in place then the replacement smartcard will be sent out locked (Royal Mail Recorded Delivery). Otherwise the user will arrange an appointment at a CMCSU locality office to be issued with a replacement.

4.5. User Name Change

What does this process cover? Smartcard users changing their name.

How to I begin it? Submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk

How long will it take? We aim to register new users within **5 working days**. This will depend on the pharmacy sponsor being available to approve the request, and the user being able to provide a copy of their name change certificate.

The user will be required to submit a copy of the name change certificate (marriage/deed poll) The name change will be processed on the UIM system as outlined in section 3.2.

The old smartcard will be cancelled and a replacement will be issued. If there is a Pharmacy Unlocker in place then the replacement smartcard will be sent out locked (Royal Mail Recorded Delivery). Otherwise the user will arrange an appointment at a CMCSU locality office to be issued with a replacement.

4.6. Change of Pharmacy Smartcard Sponsor

What does this process cover? Changing a pharmacy store's smartcard sponsor.

How to I begin it? Complete and submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk

How long will it take? We aim to process sponsor change requests within **3 working days**

The CMCSU RA Team will contact the Organisational Sponsor for approval before processing the request.



If the new sponsor is not already registered with a smartcard they will need to complete the registration process.

4.7. Change of Pharmacy Smartcard Unlocker

What does this process cover? Changing a pharmacy store's smartcard sponsor.

How to I begin it? Complete and submit the Community Pharmacy Smartcard Form to the CMCSU IT Servicedesk

How long will it take? We aim to process unlocker change requests within **3 working days**.

The CMCSU RA Team will contact the Pharmacy Smartcard Sponsor or Organisational Sponsor for approval before processing the request.

To unlock smartcards you may need to get your IT supplier to configure your computer desktop. Please request the technical instructions via the servicedesk if necessary.



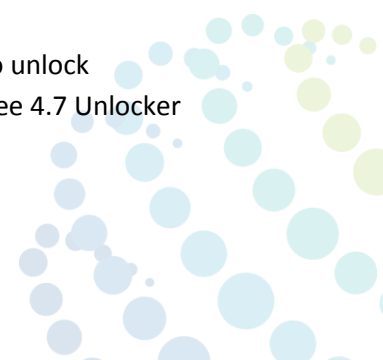
5. Smartcard Access Levels

Levels of smartcard access are managed using Position Based Access Control (PBAC). A predefined set of access positions is set up for each pharmacy site, and users are assigned to the most appropriate position.

	Position Name		Description
1	Pharmacist Access Position	Apply to:	Qualified pharmacists with current GPhC registration
		Includes:	<ul style="list-style-type: none"> ▪ Process authorised prescriptions and dispense medicines ▪ Return prescription ▪ Reimbursement claims ▪ View medication ▪ Set nominated pharmacy ▪ Confirm that an order is safe to supply or administer
2	Pharmacy Manager Access Position (Sponsor)	Apply to:	Qualified pharmacists with current GPhC registration who also act as smartcard sponsor
		Includes:	Same as pharmacist, but can also approve smartcard registrations and changes
3	Pre-Registration Pharmacist Access Position	Apply to:	Qualified pre-registration pharmacists
		Includes:	Same as pharmacist
4	*Dispensing Access Position	Apply to:	Qualified Dispensers / Qualified Pharmacy Technicians / Staff working towards a dispensary qualification
		Includes:	<ul style="list-style-type: none"> ▪ Process authorised prescriptions and dispense medicines ▪ Return prescription ▪ Reimbursement claims ▪ View medication ▪ Set nominated pharmacy
5	Counter Assistant Access Position	Apply to:	Shop staff
		Includes:	Set a patients nominated pharmacy
6	*Non-Pharmacist Sponsor Access Position	Apply to:	Area managers (large chains) and business managers who do not dispense.
		Includes:	Approve smartcard registrations and changes

*Dispensers cannot also act as a sponsor.

Unlocking Rights – Sponsors (Positions 2 and 6) are automatically granted the right to unlock smartcards. Users on other access positions can be set up to unlock if appropriate (see 4.7 Unlocker Change Process)



6. Smartcard Systems

6.1. MyID (Smartcard Management System)

What is it used for? MyID is used for unlocking and renewing smartcards

Who uses it in a pharmacy? Pharmacy Smartcard Unlockers, Sponsors and RA Agents

6.2. User Identity Manager (UIM)

What is it used for? UIM is used for new smartcard registrations and access changes.

Who uses it in a pharmacy? Pharmacy Sponsors approving smartcard registrations and access changes.

6.3. MyID and UIM Technical Support

Technical issues with either system are the responsibility of your IT supplier. There is a technical information document for both systems that can be requested via the CMCSU IT Servicedesk.

7. UIM and MyID User Guides

This section contains operational instructions for unlocking and renewing smartcards, and for approving requests in UIM.

7.1. Security Message

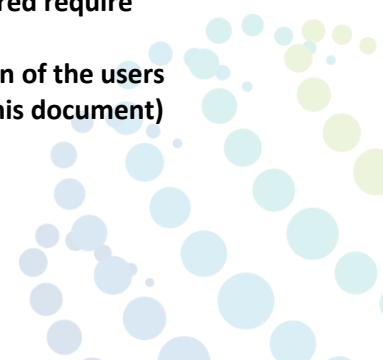
Smartcard Unlockers and Sponsors are reminded to act responsibly when carrying out the activities detailed in this section.

Key points to consider when unlocking a smartcard:

- **Never Unlock a Smartcard when the user is not present**
- **Always check the photo on the smartcard is the likeness of the person presenting the card**
- **Always hand the smartcard directly back to the user**
- **NHS Care Records Service Smartcard Terms and Conditions**
To view go to <https://portal.national.ncrs.nhs.uk/> and select 'Launch User Terms and Conditions'
- **All actions on the system are auditable**

Key points to consider when approving a UIM request:

- **Only approve smartcard registrations for users who you know and are assured require smartcard access**
- **Ensure that all access position assignment approved is an accurate reflection of the users role and they are qualified to carry it out (see access levels in section 5 of this document)**

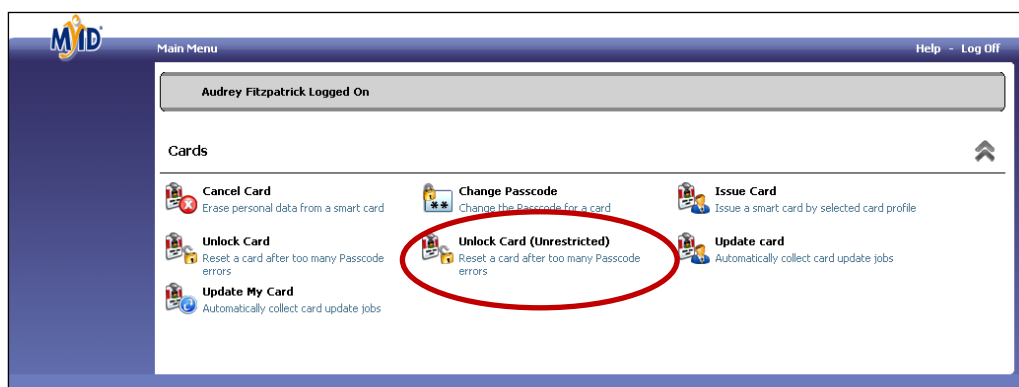


7.2. How to Unlock a User's Smartcard

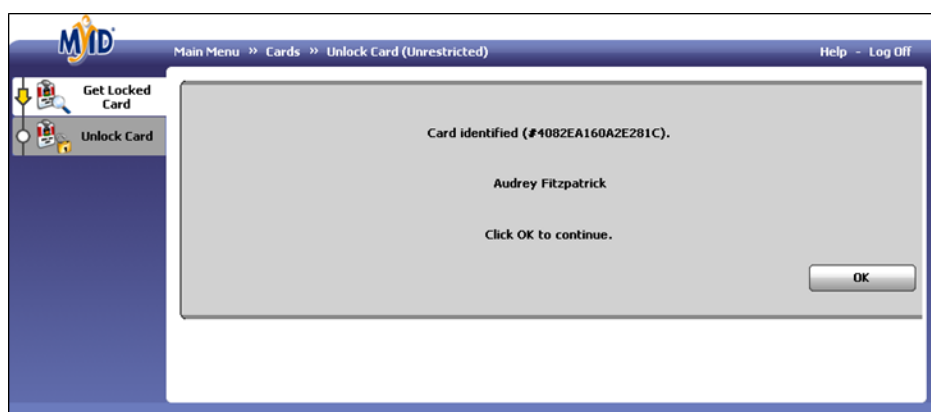
These instructions are for Pharmacy Unlockers when unlocking a user's smartcard.

Note: To complete these instructions you need to make sure that you have two Smartcard readers (including the one in your keyboard) attached to your computer.

- A. Insert your own card into one of the readers and login through GEM Authenticate.
- B. Open NHS spine portal <https://portal.national.ncrs.nhs.uk> in Internet Explorer.
- C. Click on the blue link '[Launch NCRS Smartcard Management Service](#)'. Then input PIN number when asked and hit 'Login'.
- D. Then click on the option 'Unlock Card (Unrestricted)'



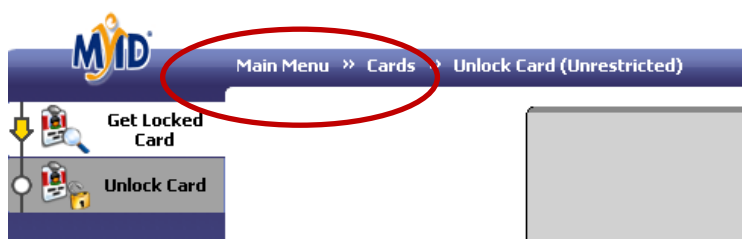
- E. Place the user's card in the second card reader. **(Do not remove your own card from the reader as this will log you out of MyID).**
- F. When MyID has read the card you should see the screen below. Click 'OK'.



- G. You will now see the following screen. Ask user to set PIN to one of their choice (4-8 characters) and click **'Unlock'**

You should now see a message saying “Card Unlock Operation Successful”, and the card will be unlocked and ready to use.

Note: If you want to go back to the beginning at any point just hit 'Main Menu' in the top left hand corner of the screen.



7.3. How to Re-Issue Smartcard Certificates

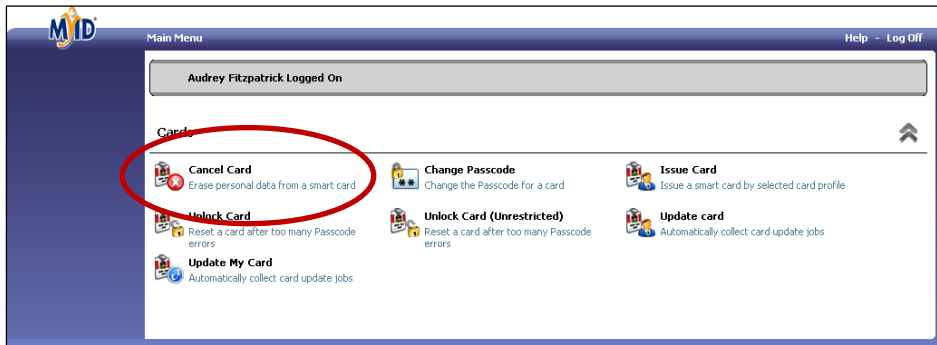
These instructions are for Pharmacy Unlockers when unlocking a user’s smartcard – please read the security message at the start of section 5.

To complete these instructions you need to make sure that you have two Smartcard readers (including the one in your keyboard) attached to your computer.

- A. Insert your own card into one of the readers and login through GEM Authenticate.
- B. Open the NHS spine portal <https://portal.national.ncrs.nhs.uk> in Internet Explorer.
- C. Click on the blue link in the centre of the page saying ‘[Launch NCRS Smartcard Management Service](#)’. Then input PIN number when asked and hit ‘Login’.

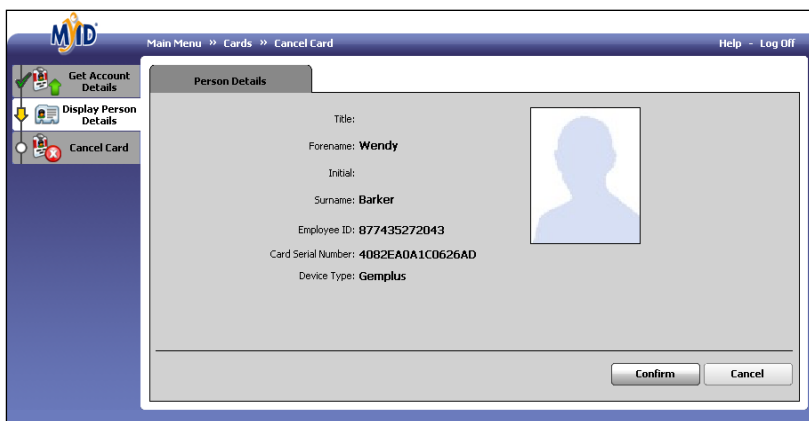


- D. Then click on the **'Cancel Card'** option (circled in red below).

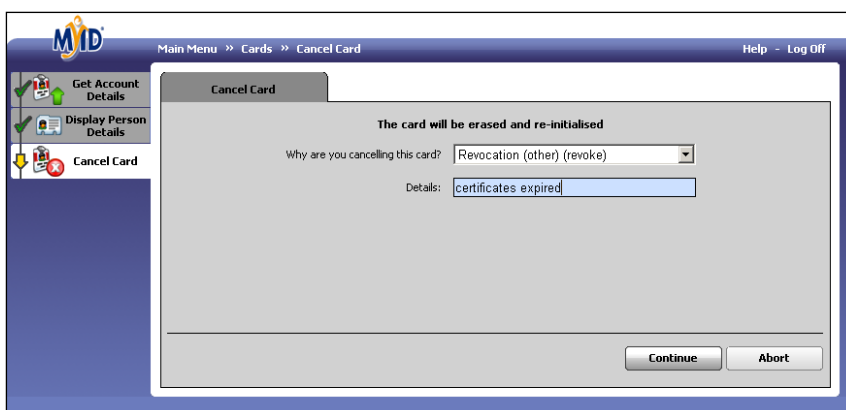


- E. Place the user's card in the second card reader. **(Do not remove your own card from the reader as this will log you out of MyID).**

- F. When MyID has read the card you should see the screen below. Click **'confirm'**.



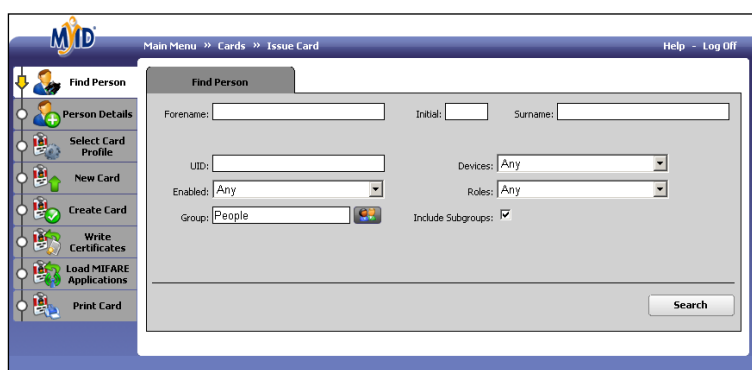
- G. You will now be required to give a reason for cancelling the card. From the drop down menu select **'Revocation (other) (revoke)'**, and in the **Details** field type **'certificates expired'**. Then click **'Continue'**.



It will usually take about 30 seconds for the card to cancel and you will then see the message **'Cancel Card operation completed'**.



- H. You now need to issue new certificates onto the card, so select **'Issue Card'** in the main cards menu. *(Similar to instruction D)*
- I. You now need to search for the user. You can do this by typing their name into the **'Forename'** and **'Surname'** fields. If the user has quite a common name then it will be easier to search by typing their UID (the number on the front of the user's card) into the UID field instead.



If the User is also a Sponsor then you will need to click on the icon next to the 'Group' field and select Sponsor. Once you have found the user, tick the box next to their photo.

(If you have removed the user's card make sure you replace it in the card reader at this point).

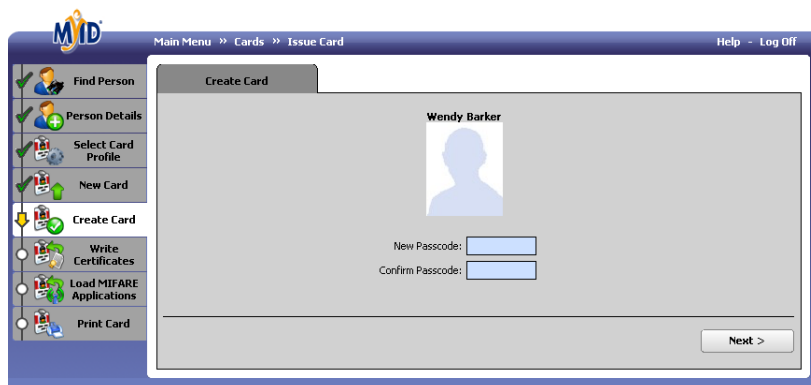
- J. You will now see the screen below asking you to select a profile from the drop down menu.

Important – Make sure that you select the right card option from the drop down menu:

- Select the option for the card that you are issuing to rather than your own card.
- You can select 'locked' or 'unlocked' depending as appropriate Then click 'Accept'



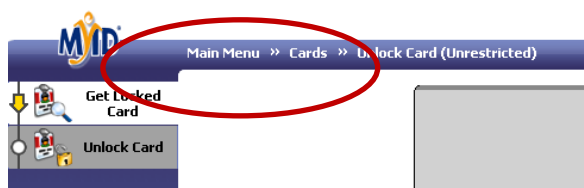
- K. If you have opted to input the PIN then the User will now set their passcode when the screen below appears.



- L. It will take MyID several minutes to write the certificates (this can vary, sometimes it may take longer), when it is finished you will see the following screen.

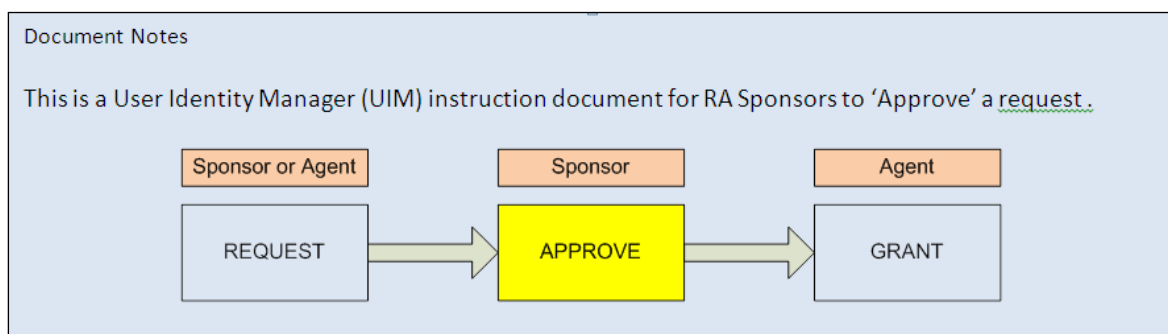
Click 'Skip Printing' and you should see the screen 'Issue Card Operation Successful'. Now remove the user's card from card reader.

Note: If you want to go back to the beginning at any point just hit 'Main Menu' in the top left hand corner of the screen.

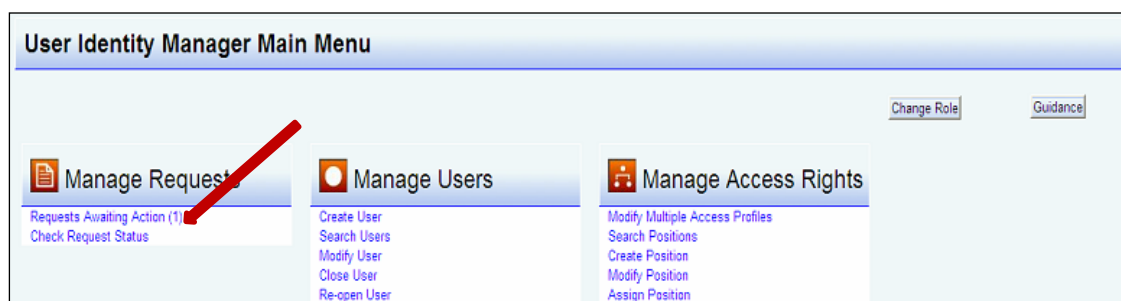


7.4. How to Approve a Smartcard Request in UIM

These instructions are for Pharmacy Sponsors when approving an RA request – please read the security message at the start of section 5.



- A. Put smartcard into reader and input your smartcard passcode
- B. Open the NHS Spine Portal <https://portal.national.ncrs.nhs.uk> in Internet Explorer
- C. Select 'Launch User Identity Manager'
- D. Select 'Requests Awaiting Action'



- E. Click on the 'Request ID Number' of the request that you wish to 'Grant'

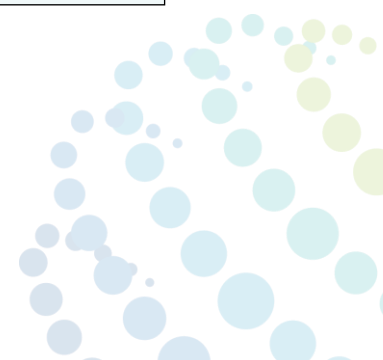
Requests Awaiting Action

My Organisation Name: THE NEW SERVICE OOH - Y00408 | Guidance

Show Filter

<input type="checkbox"/>	Request ID	Worklist Organisation Name	Worklist Name	Request Type	Subject Details	Request Status	Originator's Name	Date Submitted (GMT)	Sponsor Name
<input type="checkbox"/>	100000452098	Y00408 - THE NEW SERVICE OOH	GPs	Register New User	Anne Other - THE NEW SERVICE OOH	Pending Approval	Connolly Nathy	2011-08-11 18:48:57	
<input type="checkbox"/>	100000452098	Y00408 - THE NEW SERVICE OOH	Nursing	Modify User	862171156568 - Test Test - THE NEW SERVICE OOH	Pending Approval	Connolly Nathy	2011-08-11 18:51:42	

Exit | Refresh | Re-assign Selected Requests



- F. Check that the details of the request are correct, then scroll to the bottom of the screen and select 'Approve'

Tip 1: It is important that you check:

- Personal details of the applicant or user
- The access position being applied (in the case of new registrations or adding an access position)

This will ensure that you **do not** approve the wrong level of access to the wrong person!

Request Notes

Request Note

Exit Re-assign Reject Approve

Tip 2: You may choose to include a request note at this point which can be seen by the RA Agent when they 'Grant' the request.

- G. Input your smartcard passcode and select 'Confirm and Sign Request'

Smartcard Passcode

Smartcard Passcode

By signing this request you commit to provide the requested Smartcards, Positions or Access Profiles only to the subject of the request. Additionally, if this request is for a new user you are also signing to confirm that the identity checks have been satisfactorily completed and that the Smartcard produced will include a photograph of true likeness of the subject of the request [where appropriate].

Exit Confirm and Sign Request

You should now see this message

Success

The request has been successfully approved.



8. Identification Documents

Smartcard applications can only be completed if one of the following combinations of identification are produced:

- A. **Two forms of photographic identification AND one document confirming your address**
- OR
- B. **One form of photographic identification AND two documents confirming your address**

- Current Passport
- Current UK or EU Photo Driving Licence
- National ID Card

Acceptable
Photo ID



- Recent utility bill (mobile phone bills are NOT permissible)*
- UK full or provisional photo-card driving licence (must include paper counterpart); or a full old-style paper driving licence (if not already presented as a personal ID document).
- Local authority tax bill valid for the current year **
- Bank, building society, credit card or credit union statement or passbook (if address is visible) *
- Most recent HM Revenue & Customs tax notification**
- Most recent mortgage statement **
- Current local council rent card or tenancy agreement *
- Confirmation from an electoral register *

Acceptable
Address
Confirmation



*Documents must be dated within the last three months

**Documents must be dated within the last 12 months

All other documents must be in date and not expired.

If applicants are unable to produce the required identification documents they must inform the RA Team prior to the registration appointment.



9. CMCSU Contact Details

Call Us



0844 800 9982

Email Us



ICT Contact Centre -
Servicedesk@cmcsu.nhs.uk

10. CMCSU Offices

All appointments **must** be arranged in advance with an RA Agent. The RA Team can accommodate most times between 9am-5pm Monday – Friday, but the offices are **not** manned by RA staff at all times. If you visit without an appointment there is a strong chance that an RA Agent will not be available to see you.

Locality	Address
Birkenhead (Wirral)	Ground Floor, Old Market, House Hamilton Street, Birkenhead, CH41 5AL
Chester	1829 Building, Countess of Chester Health Park, Liverpool Road, Chester, Cheshire, CH2 1HJ
Macclesfield	Ground Floor Clark House, Hulley Road Macclesfield, Cheshire, SK10 2LU
Warrington	1st Floor, Wilderspool Business Park, Greenhalls Avenue, Stockton Heath, Warrington, WA4 6HL
Nantwich	Bevan House, Barony Court, Nantwich, Cheshire, CW5 5QU
Crewe	CMCSU doesn't have offices in Crewe, but smartcard sessions are occasionally run at Eagle Bridge Health Centre

Appendix - Community Pharmacy Smartcard Form

Below is a copy of the form used for community pharmacy smartcard requests. The form is completed as a PDF and submitted electronically to servicedesk@cmcsu.nhs.uk.

You can download the full version from the LPC Website - www.cpcw.org.uk/lpc-resources/electronic-prescription-service-eps

Cheshire and Merseyside
Commissioning Support Unit

Community Pharmacy Smartcard Request Form

SECTION 1 AND 2 ARE MANDATORY. COMPLETE SECTIONS 3 AND 4 AS APPLICABLE.

1. YOUR DETAILS

Full Name	
Smartcard Number (12 digits on front of card)	
Job Role	
Email Address	
Telephone Number	
GPhC Number (if applicable)	
Store Name (indicate here if Iocum)	
Store Address	
Store Post Code	
Store Prescribing/NACS code (F _ _ _ _)	

2. REQUEST TYPE (PLEASE CHECK BOX)

Smartcard Registration	Change of Access	Lost, Stolen Damaged Smartcard	Locked or Expired Smartcard	Other
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

IF OTHER PLEASE GIVE DETAILS:

--	--

3. CHANGE OF ACCESS (IF APPLICABLE)

Change of Store	Store Leaving		Store Joining	
		Store Name		Store Name
	Address		Address	
	Postcode		Postcode	
	Prescribing / NACS Code		Prescribing / NACS Code	
Other	Please add details			

4. SMARTCARD REGISTRATION (IF APPLICABLE)

Details must be as they appear on identification documents

Title*	
First Name*	
Middle Name(s)	
Surname*	
D.O.B.*	
Preferred Full Name (practising name)	
NI Number*	
Occupation*	
Smartcard Access Position (if not known, input job role)	SELECT FROM DROP DOWN LIST
GPHC Number (if applicable)	
Work Email Address	
Work Telephone Number	

*mandatory field

SUBMIT

If unable to submit using button, save the form and email to ServiceDesk@cmcsu.nhs.uk

Working Smarter for Better Health