

Pharmacy Registration Authority Agent (RAA) Briefing

APRIL 2014

Background

This document details local plans to issue NHS smart cards to community pharmacy staff in order that they can use EPS Release 2 and other NHS Care Records Service Applications. Separate policies and procedures exist for smart card support in GP Practices. This policy supersedes the Dorset PCT EPS R2 Smart Card Distribution and Transition Plan.

For Healthcare Professionals to access NHS Care Records Service Applications such as EPS Release 2, they need to be registered. The registration process has to meet the current Government requirements and will be applied nationally. All the NHS Care Records Service Applications use a common security and confidentiality approach. This is based upon the NHS professional's organisation/s role/s, area/s of work and business function. The primary method by which users will be enabled to access EPS Release 2 is via a Smartcard issued during the Registration Process.

Once an applicant has been successfully registered they will have a User ID, pass-codes and Smartcard – which will permit their access to the appropriate application/s and information. The Registration Process is operated at a local level by a Registration Authority which is required to conform to the National Registration Policy and Practices.

- All pharmacies working with the Dorset CCG Registration Authority will comply fully with the latest published National Policies and Procedures identified in the following documents:

- The NHS Confidentiality Code of Practice
<https://www.gov.uk/government/publications/confidentiality-nhs-code-of-practice>

The HSCIC website has further information which is worth reading including a version of the “Terms and Conditions” for smartcard issue and use.

<http://systems.hscic.gov.uk/eps>

Registration Agent Approval and Smartcard Process

In order to access the Electronic Prescription Service Release 2 (EPS R2) users must have a Smartcard. The sharing of Smartcards is not permitted and therefore each person who needs to use EPS R2 must have their own card.

- To complete a smart application the Sponsor must complete a CIS Form- Request Create User or CIS – Assign Position; this form should be given to the RA Agent at the Pharmacy who will then undertake the identity checks and complete the CIS – Create New User form. These cannot be the same person. The **Sponsor** will identify what access level is appropriate for a member of their staff in their area of work. The **RAA** is responsible for checking the ID, ensuring the applicant understands their responsibilities and also that the forms are fully complete before being submitted. There is a document named “Pharmacy Sponsor Briefing” which is more detailed about a Sponsor’s responsibilities.
- This briefing describes what it means to act as a Registration Authority Agent (RAA) for staff to be issued (by the Dorset CCG Registration Authority) with a Smartcard. It also describes the procedure for becoming a Registration Authority Agent (RAA).
- RAA applicants should ensure that they have the approval of their company before applying to become a Registration Authority. If you are a Sponsor for Smartcard applications then you cannot be a RAA. As an RAA you should be at manager level or part of the HR department for your organisation.
- The role of the RAA will involve verification of the applicant’s identity and personally checking their relevant identification documents. Upon receipt of the Request Create New User from the Sponsor, they should complete the CIS Form – Create New User, once all the other details have been completed. Both forms should then be sent to the smartcard support team.

How to become a Registration Authority Agent (RAA)

- Area managers (or similar), superintendent pharmacists, pharmacist owners, HR department staff or pharmacist pharmacy managers may become an RAA but not if they are already a Sponsor.
- You must already have a smartcard to apply to become an RAA.
- Appendix 2 of this document contains a form, which potential RA’s need to sign to say that they have understood the process and that they agree the terms for being an RAA.
- The completed form (appendix 2) must be returned along with the CIS Form – Assign Position to:

Smartcard Support Team
Dorset Clinical Commissioning Group
Canford House
Discovery Court
Wallisdown Rd
Poole
BH12 5AG Phone - 01202 541604
Email smartcard.support@dorsetccg.nhs.uk

How to act as an RAA for a smartcard application

- Once you have been confirmed as an RAA for staff in your area / pharmacy you will be able to complete the CIS –Create New User forms for other members of staff. (upon receipt of the Request Create New User form from the Sponsor for the pharmacy).
- All forms can be found on <http://intranet.dorsetccg.nhs.uk/support/it-support/smartcards.htm> under the Community Pharmacy Assistance section.
- To obtain a Smartcard for the first time, members of staff will need to go to the Sponsor and with them complete the Request Create New User form. Once this is complete they can come to the RAA to complete CIS Form – Create User and provide a photograph which is also required. The photo should be taken by the RAA and emailed to smartcard.support@dorsetccg.nhs.uk or if provided by the applicant posted with the forms. You as RAA must complete the RAA's part of the form and you must verify the identity of the prospective user. Completed forms along with the photo should be returned to the Smartcard Support Team at the address above.
- If the user already has a Smartcard and a change of position is necessary then a CIS Form – Assign Position should be completed and signed in the appropriate place by the RAA. Completed forms should be sent to the address above.

Other important information

- The CIS Form – Create User form only permits a user to be associated with one pharmacy, if a user needs to access EPS R2 in more than one pharmacy (e.g. relief pharmacist – would need to be sponsored by an area manager) then you will need to use form CIS Form – Assign Position to add extra pharmacies.
- Locum pharmacists should continue to approach the Dorset CCG Smartcard Support team directly for sponsorship. They will also need to attend a Dorset CCG location to have their ID checks completed by one of our own RAA's.
- If a Smartcard is lost, stolen or access needs to be revoked for any reason then form CIS Form – Cancel Card should be completed by the RAA and returned to the smartcard support team.
- If a staff member leaves you must send a CIS Form – Assign Position requesting the removal of any profiles for your Pharmacy. This must be done within 24 hours of them leaving.

Responsibilities of the Registration Authority

- You MUST check the user's identity before signing the CIS Form - Create User as RAA. This is done by witnessing 3 forms of identification. This must be done regardless of the length of time you have known the user.

Further information on appropriate identification documents and guidelines is found on the NHS Dorset Clinical Commissioning intranet website:

<http://intranet.dorsetccg.nhs.uk/support/it-support/smartcards.htm>

- It is important that any unused boxes on these forms are struck through so that no additions can be made to the request(s).
- Check the CIS forms are completed correctly and fully in order that the card can be issued or updated by Dorset CCG smartcard support team.
- Ensure that the user understands the conditions of use for a smartcard.

Data Protection and Information Governance requirements for the use of Smartcards

All smartcard holders must be made aware of the following:

- Keep your card safe and secure at all times
- Do not leave your smartcard unattended at any time
- Keep your card with you at all times whilst at work
- Do not carry your smartcard with you when not required, i.e. outside of work hours, weekends, social occasions
- Do not leave your smartcard logged into systems
- Do not share or allow anyone else to use your Smartcard
- Do not write down your passcode or attach it to the card in any way such as on the reverse
- Do not divulge your passcode to anyone
- Change all set passcodes immediately if you feel any codes may have been compromised.
- Do not log in for someone else to use your smartcard.
- If your card is lost or stolen, please contact the Dorset CCG Smartcard Support Team on 01202 541604 or by email to smartcard.support@dorsetccg.nhs.uk or to Julia Booth, Commissioning Manager – Pharmacy Services on 01305 213616 **immediately**. A significant event form (available on the pharmacy section of the CCG websites) should be completed together with the CIS Form – Cancel Card
- The security of your card and its use is your sole responsibility

Appendix 1

Clinical Commissioning Group

Identification for Smartcard Applications

Introduction

Due to the level of patient information NHS members of staff can have access to with the Smartcards, it is essential the identity of Smartcard users is checked before a Smartcard is issued. Although identity is checked at the recruitment stage, this will need to be checked again for Smartcard applications and recorded on the CIS Form – Create User. (The same ID shown at recruitment can also be used for the Smartcard as long as it complies with date restrictions, or done at the recruitment stage if this is possible).

Acceptable Personal Identification Documentation

The staff member applying for a smartcard will need to provide documentation in either of the following combinations:

- Two forms of photographic personal identification and one document confirming their address;
- Or
- One form of photographic personal identification and two documents confirming their address.

Any documents that are witnessed must be originals. Documents downloaded from the internet (e.g. bank statements) cannot be accepted.

Acceptable forms of Photographic Identification

The following can be accepted for photographic personal identification:

- UK (Channel Islands, Isle of Man or Irish) passport or EU/other nationalities passport
- Passports of non-EU nationals, containing UK stamps, a visa or a UK residence permit showing the immigration status of the holder in the UK*
- UK full or provisional photo-card driving licence (must include paper counterpart); or an EU/other nationalities full photo-card driving licence (providing that the person checking is confident that non-UK photo-card driving licences are bona fide)
- A national (UK or EU) ID card and/or other valid documentation relating to immigration status and permission to work*.

A HM Forces photo ID card is acceptable but employers should bear in mind that such cards must be surrendered upon leaving the forces so only those individuals currently in the forces will hold such a card.

Any other document that is not listed above (e.g. organisational ID card) must not be accepted.

2.2 Acceptable forms of Address Confirmations

Acceptable documents for confirmation of address include:

- Utility bill (gas, water, electricity or phone), or a certificate from a utility supplier confirming the arrangement to pay for the services on pre-payment terms at a fixed address. More than one utility bill may be accepted if these are from two different suppliers and utility bills in joint names are also permissible*. **Please note mobile phone bills cannot be accepted**

- Local authority tax bill (i.e. council tax)**
- 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). Old style provisional driving licences are not acceptable
- Most recent HM Revenue & Customs tax notification (i.e. tax assessment, statement of account, notice of coding). A P45 or P60 is not acceptable**
- Financial statement (e.g. bank, building society, store card, credit card or credit union statement) containing current address*
- Mortgage statement from a recognised lender**
- Local council rent card or tenancy agreement*
- Benefit statement, book or card; or original notification letter from Department of Work and Pensions (DWP) confirming the rights to benefit (e.g. child allowance, pension)**
- Insurance certificate**
- UK court claim form**
- TV licence**
- Confirmation from an electoral register search that a person of that name lives at the claimed address*.

Documents marked with an ‘*’ must be dated within the last three months. (Unless there is a good reason for it not to be, e.g., clear evidence that the person was not living in the UK for three months or more). These documents must contain the name and address of the applicant.

Documents marked with ‘**’ must be dated within the last 12 months.

What if the applicant cannot provide any acceptable photographic personal identification?

If an individual is unable to provide any acceptable photographic personal identification, then the following combination of identifications can be accepted:

- two forms of non-photographic personal identification
- And
- two documents confirming their address

Acceptable forms of Non-Photographic Identification

Acceptable non-photographic documents include:

- full UK birth certificate – issued within 12 months of birth
- UK full old-style paper driving licence. Old-style provisional driving licences are not acceptable
- Residence permit issued by the Home Office to EU Nationals on inspection of own-country passport
- Adoption certificate
- Marriage/civil partnership certificate
- Divorce/annulment or civil partnership dissolution papers
- Deed poll certificate
- Police registration document
- Certificate of employment in HM Forces
- Benefit statement, book or card, or original notification letter from the Department of Work and Pensions (DWP) confirming legal right to benefit (e.g. child allowance, pension)**

- Most recent tax notification from HM Revenue and Customs (i.e. tax assessment, statement of account, notice of coding). A P45 or P60 is not acceptable**
- UK firearms certificate
- Application Registration Card (ARC) issued to people seeking asylum in the UK (or previously issued standard acknowledgement letters, SAL1 or SAL2 forms)
- GV3 form issued to people who want to travel in the UK without valid travel documents
- Home Office letter IS KOS EX or KOS EX2
- Building industry sub-contractor's certificate issued by HM Revenue and Customs
- Grant letter or student loan agreement from a Local Education Authority.

Documents marked with '**' must be dated within the last 12 months.

2.5 What if the applicant has changed their name or practice in their maiden name and cannot provide documents in their new name?

Employers must only accept identity documents in the applicants' previous name where they are able to provide documentary evidence of the recent name change because of:

- Marriage/civil partnership (i.e. marriage/civil partnership certificate)
- Divorce/civil partnership dissolution (i.e. decree absolute/civil partnership dissolution certificate)
- Deed poll (i.e. deed poll certificate)

How to record Identification Documents on the CIS Form – Create User

You must record on the CIS Form – Create User what identification documents you have witnessed for the Smartcard application. Please note that you must not send originals or copies of the identification documents into the helpdesk with the CIS Form – Create User.

For photographic identification documents, you will need to record the number on the document (for example, if a passport is shown, the passport number must be recorded). For address confirmation documents, with the exception of a drivers licence, only record what the document is and when it was dated. Please do not record any identification numbers.

Appendix 2

Registration Authority Acceptance of Terms

Dorset CCG

Acceptance of Registration Authority Terms.

Organisation name	
Organisation NACS Code / s	
RAA name	
RAA contact telephone number	
RAA email address	
RAA Smartcard UUID (if you already have a smartcard)	
Signed	
Date	

By signing this form, I confirm that I have read the “Pharmacy Registration Authority (RA) Briefing” document and that I understand and will follow the processes outlined within the document. I understand the responsibilities involved when sponsoring staff within my organisation and the implications for Information Governance.

Please return this form along with CIS – Assign Position form to:
smartcard.support@dorsetccg.nhs.uk