BrisDoc Patient care by people who care

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Smart Card Policy

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7.0	Jon Rex	01/03/2011
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1. Policy Statement

The purpose of the Smartcard Policy is to:

1.1 Inform individuals of their responsibilities.

1.2 Monitor compliance.

1.3 Inform individuals of the process of dealing with misuse (Disciplinary Action).

2. Purpose and Aims

2.1 To set out the required actions to ensure users comply with Terms and Conditions of Smart Card use.

3. Background and Current Position

3.1 Smart Cards provide more robust security, which is critical when handling sensitive medical information. Whilst paper records are generally in one place at a time, access to electronic information can be provided on a much wider basis. We must ensure all access is appropriate.

3.2 Usernames and passwords are easily shared, sometimes knowingly, sometimes not. Even with the best policies, processes and education in place, this still happens. A Smart Card is harder to share as it can only be in one place at one time. People are more familiar with protecting cards (i.e. credit cards). NHS Smart Cards will also require a PIN code, so both the card and code need to be entered to gain access.

3.3 Do not let anyone else use your Smart Card. Sharing a Smart Card and PIN number (or password) is illegal under the Computer Misuse Act 1990. It is also potentially fraudulent and could be harmful to patients. New computer systems will be used to prescribe and dispense drugs and it is critical that there is an accurate record of who has done this. Sharing a Smart Card will be a disciplinary matter.

4. Smart Card Details

What is a Smart Card?

A Smart Card is like a ‘Chip and Pin’ credit or debit card. It will hold your unique identity and will provide secure access to systems and information you will need for your job.

You will only need one Smart Card and PIN number to access all the new systems being implemented, including the PDS (Personal Demographic Service). It can be used in multiple locations and organisations in the NHS.

How do I get my Smart Card?

Once it has been identified that you require a Smart Card in order to perform your role within BrisDoc, the necessary paperwork will be completed and a face-to-face meeting will be arranged in order to take your photograph and prove your ID (this will require ID documents, usually a Driving Licence/birth certificate). This will all be arranged by the member of staff within your service who is the nominated Smart Card sponsor.

How often does this have to be updated?

The full process only has to be done once. As new systems in the National Programme are implemented, you do not have to be issued with a new card. The access your role gives you can be updated without using your card.

If you move from one NHS organisation to another, then you may well be able to keep the same card, only the access you get needs to be updated. If you leave the NHS altogether, then the card must be returned.

Your Smart Card certificate will need renewing after a period of time – usually every couple of years. You will need to arrange a meeting, face-to-face, with the Smart Card sponsor (UIM) within your service to confirm the identity of the Smart Card User and to allow you to set your own password. For security reasons this can only be done by the owner of the card.

What if I forget my PIN code?

If you enter the wrong code several times your card will 'lock' in the same way usernames do when you enter the wrong password. If your smartcard is locked, you can use the Self-Service Unlock Process to reset your pin code. Failing that please contact your Manager, Shift Manager or Digital Team who can assist in unlocking the card for you.

5. Outline Principles and Processes

Informing individuals of their responsibilities

5.1 South West and Central Commissioning Support Unit (SWCCSU) provides the Smart Card service to BrisDoc they are the Registration Authority (RA). The CSU issue each new user with a guidance from (see Appendix A), each user is required to read these terms and abide by them.

5.2 The RAO1 forms are stored by the CSU. Copies may also be stored by BrisDoc.

6. Breaches in the use of Smart Cards

Breaches of the Terms and Conditions can occur in the following situations:

6.1 Where a card has been shared.

6.2 Where a card has been left in a machine and access left open.

6.3 Where a card continues to be used after a member of staff has left and the card has not been cancelled.

Monitoring Compliance

6.4.1 All staff will be encouraged to report any card sharing or access left open to their Line Manager. The identity of the individual(s) involved will be noted and further investigation undertaken as determined by the relevant Manager and/or SIRO.

6.4.2 Requests for changes to access are only processed on authority of nominated individuals, so a false change request is highly unlikely. However, should any such

request come to light, SWCCSU will report the details to the BrisDoc Service in order that appropriate action can be taken.

7. Monitoring Reports

7.1 SWCCSU will provide a list of active users once a quarter. This list will be used to identify any users whose access is no longer required. However, this is as a fallback to SWCCSU being informed of individuals who no longer require access at the point in time that this is determined.

7.2 In addition SWCCSU: can provide the following:

- Date card last used
- User Activity Report

These can be either as random monitoring or as part of evidence in any investigation.

8. Process for Dealing with Misuse (Disciplinary Action)

8.1 Whilst action is at the discretion of the management, any of the following situations will generally lead to disciplinary action:

- Deliberate card sharing
- Repeat breaches (even minor), i.e.' regularly leaving their card in the machine to be used by others
- Any malicious activity, including suspected actions
- Falsification of a change request.

8.2.1 Should such a situation arise, the relevant Manager will instigate an investigation within the remit of the HR policies.

8.2.2 Depending on the situation, BrisDoc will request reports from the Smart Card system to be provided by the SWCCSU.

9. CHANGE REGISTER

Date	Change	Changed by
12/09/2012	Removed Richard Graingers name from list of people who can unlock cards. (pg 3)	Sarah Pearce
12/09/2012	Deleted - You will either be asked to visit the Smart Card team at NHS Bristol, South Plaza for this or arrangements will be made for a member of the team to visit in order to take your photograph and verify your documents.	Sarah Pearce

	Added - This will all be arranged by the member of staff within your organisation who is the nominated Smart Card sponsor.	
12/09/12	Added - Your Smart Card certificate will need renewing after a period of time – usually every couple of years. You will need to arrange a meeting, face-to-face, with the Smart Card sponsor (UIM) within your department to confirm the identity of the Smartcard User and to allow you to set your own password. For security reasons this can only be done by the owner of the card. (Pg3)	Caroline Hawkins
16/10/12	Restructure so that sections flow from purpose and scope through to the details Change Practice references to BrisDoc or Services Removed MM and BC added CH/FC in forgetting PIN section 5.1 added RA reference 6.4.1 add SIRO reference General formatting removing double spaces, adding full stops, header reformat etc	
26/10/12	Annual review changed front page and footers	
21/12/15	Names of staff who can unlock cards updated to job role.	
28/02/17	Change Avon IM&T references to South West and Central Commissioning Support Unit SWCCSU	
29/01/19	Change in RA process and addition of Appendix A.	
19/08/19	SOPS for managing Smart Cards and Unlocking Smart Cards added	Bev Dickinson
20/03/24	Annual review	
15/07/26	Reworked Section – What if I forgot my Pin code. If your smartcard is locked, you can use the Self-service Unlock process to reset your pin code. Failing that please contact your manager or Shift Manager who can assist in unlocking the card for you	Nero Namdhari

Appendix A – Staff Guidance issued on new card



SCW

NHS
South, Central and West
Commissioning Support Unit

Work Smart, Be Smart – Smartcard Information

Your Smartcard is your responsibility, so remember.....

- NEVER share your Smartcard or leave it unattended.
- All transactions made when your Smartcard is in use are recorded for audit purposes. Access is audited, and you will be held accountable for any inappropriate transactions made using your Smartcard, whether you were responsible for them or not.
- Your Smartcard will expire every 2 years. When you are notified to renew it, please contact your Sponsor or RA Team (the self-renewal service is not always reliable)
- Your Smartcard is a national token of your identity which is not specific to a particular organisation. You should keep your card if leaving an organisation for use in other health and social care settings, unless you are leaving healthcare permanently.
- When you first log in with your card you will be asked to read and accept the terms and conditions of Smartcard use and then each time you enter your passcode you confirm your acceptance of them.

Forgotten your Smartcard passcode?
Your local Sponsor or Smartcard Administrator will be able to reset your passcode.

Is your Smartcard lost, damaged or stolen?
Report this immediately to your RA Team who can cancel it and print you a new one.

Your RA Team can be contacted by:

Email	scwcsu.smartcards@nhs.net
Telephone	0300 5610429 for all areas other than those listed below 01793 422336 (for Swindon, Wiltshire, Gloucestershire, Bath, NE Somerset, Oxfordshire, Buckinghamshire and Berkshire) We will soon have all areas using the 0300 number

South, Central and West

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STANDARD OPERATING PROCEDURE: **OPERATIONAL**

Appendix B - Smartcard Management – Set Up

Smart Card Policy

Introduction

This document outlines the process for obtaining a smart card if a new user does not have one and setting the correct levels off access to relevant systems both existing smart cards holders and new users.

Objectives of the procedure

The object of the procedure is to ensure that all clinicians have a SMART Card for them to be able to access clinical systems, Cleo, EPS, etc.

The Standard Operating Procedure

To ensure all clinicians have the correct SMART card access to use EPS details will be collected as follows:

Employed clinicians:

- SMART card details will be a requirement on the 'Staff Details' form, which must be completed for Workforce Team.
- Workforce Team to add the SMART card number (if available) to Rota Master
- Workforce Team to pass the SMART card number to the Smart Card Administrator, who will assign BrisDoc Healthcare Services as an organisation and pass it over to Cleo Support for access to be enable.
- If the clinician does not have a SMART card Workforce Team to advise the Digital Team of this.
- For the digital team to setup a new smart card user. The staff member will need to share the same ID documentation as supplied for the DBS check to the Digital Team to arrange for a new card to be set up.

Employed/Agency clinicians:

- SMART card details will be collected by the Rota Team at induction.
- Rota Team to add the SMART card number (if available) to Rota Master
- Rota Team to pass the SMART card number to the Smart Card Administrator, who will assign BrisDoc Healthcare Services as an organisation and request logins setup for Cleo.
- If the clinician does not have a SMART card Workforce Team to advise the Digital Team of this.
- The clinician will need to share the same ID documentation as supplied for the DBS check to the Digital Team to arrange for a new card to be set up

Monitoring

Content of document

Related Documents

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STANDARD OPERATING PROCEDURE: **OPERATIONAL**

Change Register

Date	Version	Author	Change Details
Mar 2011	1	C Hawkins	
Sept 2012	2	Reviewed and amended	By Caroline Hawkins
Aug 2012	2	Reviewed and amended	By Mandy Murphy
Oct 2012	3	Amended to apply to all of BrisDoc, including SIRO reporting and restructure of document	Deb Lowndes
Oct 2015	3.1	Annual Review	Deb Lowndes
Jan 2016	4	Annual Review	Sarah Pearce
Feb 2017	4.1	Annual Review	Deb Lowndes
Jan 2019	4.2	Annual Review	Deb Lowndes
Aug 2019	4.3	SOPS added as addenda to this policy	Bev Dickinson
Mar 2024	5.0	Annual Review	Deb Lowndes
June 2025	6.1	Added CLEO.	Deb Lowndes
July 2026	7	Reworked entire document – removed Adastra information. Added Cleo context.	Neroshin Namdhari