

## EPS R2 Transition and Smartcards Guidance for Community Pharmacists and Pharmacies



NHS smart card support is available from the SWCS Registration Authority. Contact the IT Service Desk 8:30am to 6:00pm Monday to Friday:

Telephone **0845 051 4646** or Email [ITServiceDesk@swcsu.nhs.uk](mailto:ITServiceDesk@swcsu.nhs.uk)

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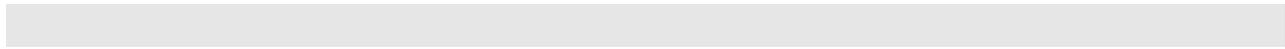
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## 1 Purpose

With Electronic Prescription Services Release 2 (EPS R2) coming into operation, the model for smartcards for community pharmacies is changing.

EPS01 cards that are used for EPS Release 1 will not operate in an EPS Release 2 system. This means that all Pharmacy sites currently using EPS Release 1 will need to ensure staff migrate to the NHS CRS Smartcard and sign the RA01 terms and conditions.

- Pharmacists will not be able to share a smartcard with other staff in the pharmacy
- All staff using the EPS system to interface with the spine will need to register for their own card. This means people who are registering nominations, are pulling down R2 message scripts, confirming dispense and requesting reimbursement will require a card. Staff using the R2 system internally within the pharmacy will not be required to have a card
- Existing cards will need to be upgraded

*The BNSSG Smartcard Transition Policy* details the local processes to migrate NHS smartcards used by pharmacies for R1 onto R2, maintain access to EPS Release 1 and ensure procedures are in place for the operational support of EPS smart cards.

This document describes procedures in relation to EPS Release 1 & 2 for the operation of the Registration Authority and is intended to provide additional operational detail and guidance so that

- Pharmacy staff and managers understand how the change will impact on the use of smartcards in pharmacies,
- smartcards are set up and used appropriately,
- the impact on pharmacy business processes can be managed

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

- Local planned go live dates for EPS R2
- Working practices of the individual pharmacist; particularly, do they work at one site or a range of sites

**It should be noted that it is the responsibility of the pharmacist to ensure that they have a working smart card, and no claim could be held against the NHS for losses if they do not.**

Separate policies and procedures exist for Smartcard support in GP Practices.

## 2 Who is this guidance for?

It is intended that this document will be useful to the following people:

- Pharmacy staff;
- All users of NHS South West Commissioning Support (SWCS) Registration Authority Services;
- BNSSG Pharmacy Confidentiality Specialists including Caldicott Guardians;
- IT Support Services personnel.
- SWCS EPS R2 project team
- Medicines Management teams

This document will be published on Avon Local Pharmaceutical Committee's website and local Medicines Management Internet web-sites. It is the responsibility of the pharmacy to bring it to the attention of relevant pharmacy staff.

## 3 Sponsors

### 3.1 What is a sponsor?

A Sponsor is an individual who has been appointed to approve access to information and functionality of the NHS Care Records Service and other National Programme for IT applications, such as EPS.

The sponsor grants approval of the appropriate Role Based Access Control (RBAC) codes so that staff have appropriate access to EPS based on their job role and, if necessary, area of work.

The Sponsor is appointed by the Executive of the Authority they represent and is responsible for:

- The functionality and information access that a role profile will give to a user and the users need for access to that functionality and information
- Ensuring that the role profile associated with a user is appropriate
- Escalating role profile issues to NHS South West CSU Registration Authority team or RA Manager
- Completing the appropriate sections of any documentation to authorise the issue/revocation, or change to role profiles associated with the use of a Smartcard.

Sponsors are identified by the NHS South West CSU Registration Authority, in conjunction with the EPS R2 Project Board. NHS South West CSU Registration Authority has been advised to consult with local pharmacy representatives to propose individuals who could act as sponsors, for example local pharmacy

advisors, pharmacy managers etc. A key consideration is the accessibility of sponsors to ensure there are not delays in the Smartcard registration process.

### 3.2 Who are the EPS sponsors?

In BNSSG the RA has agreed so far

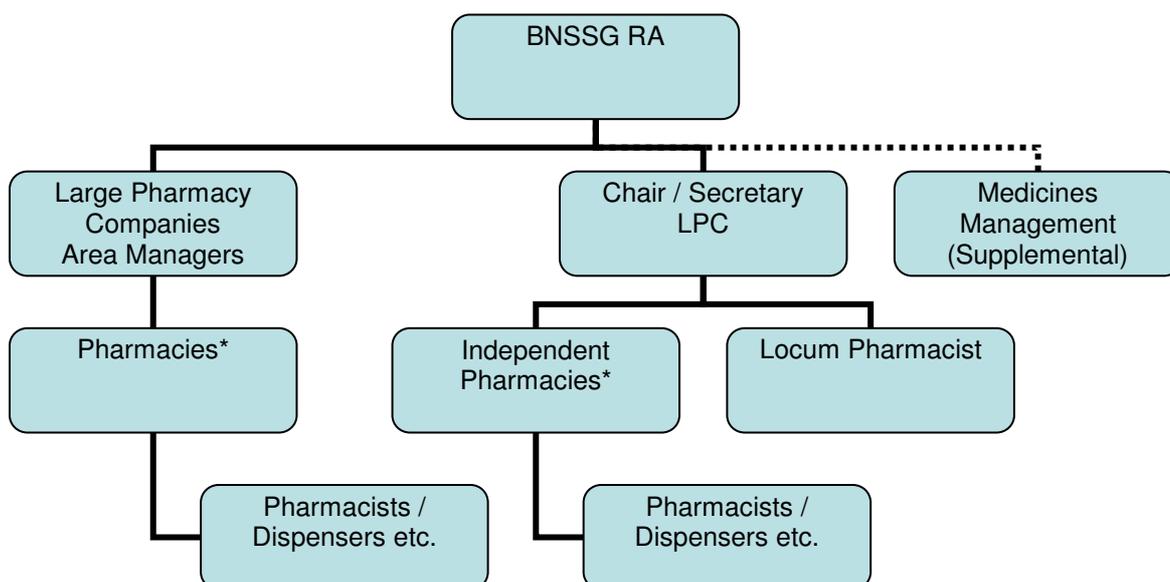
- Lloyds Pharmacy - sponsors are the Area Managers
- Other large companies – Area and Store Managers
- Pharmacists working for Independent Pharmacies and relief / locum pharmacists not attached to a pharmacy (self employed, etc.) will be sponsored by the Local Pharmaceutical Committee (LPC Chair/Secretary).

If the local sponsors such as LPC are unavailable the Medicine Management Teams may occasionally step in and act as Sponsors for Independent Pharmacies and Relief /Locum Pharmacists.

The sponsor does not check identities, but is expected to verify, that the person was a pharmacist. If they do not know this, they should check the pharmacy code, or contact the local manager at the pharmacy they were locum for. Sponsors currently need to sign the form, but direct personal contact with the person they are sponsoring is not necessary.

It is hoped that as pharmacy staff and managers become more proficient in use and understanding of terms and conditions and operational use of smartcards, that managers in each pharmacy in BNSSG will be able to act as local sponsors. The Registration Authority is happy to set up named individuals as sponsors by arrangement and planning with local pharmacy area managers.

### 3.3 BNSSG Smartcard sponsorship hierarchy diagram



\*roles to be assigned

## 4 What is Role Based Access Control (RBAC)?

RBAC is a national set of standards / criteria made up of:

- Job roles
- Related Activities; and
- Areas of Work

These are approved by a sponsor and granted by the Registration Authority to a user of NHS CRS applications. Each application, such as EPS, uses these definitions to enable access to specific functionality and information.

## 5 The smartcard model for EPS R2

The Smartcard model for dispensing contractors and their staff operating EPS Release 2 systems is stated as:

1. One NHS CRS Smartcard per authorised user of the service.
2. To use an EPS Release 2 compliant system, all cardholders will sign the RA01 terms and conditions (this means no Smartcard sharing).
3. EPS Release 2 pharmacy staff will need an appropriate user role profile (URP) registered with the NHS CRS User Directory before they can use any EPS Release 2 compliant dispensing system to access the NHS Spine.
4. The NHS Registration Authority policies and procedures will ensure that pharmacy staff are issued with Smartcards and registered with the user role profile to meet the e-GIF Level 3 Government Standard.
5. All users who need access to the system to link to the Spine such as pharmacists, pre-registration pharmacists, counter assistants, and dispensing technicians will need to be registered with an appropriate access profile as defined by the local Registration Authority.
6. Pharmacy staff will be allocated access rights dependent on their roles within the pharmacy as deemed appropriate by the sponsor (via RA02 form).
7. 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.
8. The NHS Registration Authority in one local area (e.g. BNSSG) can only add, modify, or delete a user role profile for an organisation associated with that area.
9. The only permitted exception to this model is the case of community pharmacists/dispensing technician locums who may need to legitimately work within many community pharmacies at short notice. In such cases, they will also have a user role profile registered against a generic organisation NACS code for a "locum pharmacy". In such cases, a warning will be displayed to the user when they log on to a local pharmacy system.

10. All locum pharmacist/dispensing technicians will be registered with a locum user role profile. All pharmacists/ dispensing technicians with a locum user role profile will be able to work with any EPS Release 2 compliant system connected to the service.

11. All NHS Registration Authorities will be able to create a user role for a “locum” pharmacist/ dispensing technician.

12. 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.

13. In Release 2 of the Electronic Prescription Service, dispensing contractors will have access to a part of the NHS Care Records Service known as the Personal Demographics Service. If a user attempts to access a record in the PDS that has previously been flagged as sensitive, an alert will be generated by the service. These will be sent to the appropriate authority for investigation.

## 6 Types of Cards currently in use

There are three types of card in use

### 6.1 R1 Smartcard

This is a card issued to test the EPS system and is issued to a Pharmacist but can be shared by all staff in a Pharmacy – this card does not work on EPS R2 compliant systems.

### 6.2 R2 Smartcard

This is a card issued to a Pharmacist and must not be shared (this will breach the Terms and Conditions signed by the pharmacist) – this card works only with EPS R2 Compliant systems. If a Pharmacist with an EPS R2 card needs to work in an EPS R1 compliant Pharmacy they will need to use a Premises card.

### 6.3 Pharmacy Premises Card

This is a card issued to a pharmacy operating an EPS R1 system. Once the site upgrades to R2 then staff accessing the Spine will require an EPS R2 card. Locums with an R2 card will be able to use the Premises card whilst they work in that R1 pharmacy as their own EPS R2 card will not work with R1.

## 7 Migrating From EPS R1 to an EPS R2 Smartcard

### 7.1 What do I do if I already have a Smartcard

To upgrade your EPS01 card to an EPS02 card you need to complete the front page of the RA01 Form Part B. Your sponsor needs to complete the back page of your RA01 form (sign Sponsor’s Declaration and fill out the appropriate Sponsor Fields) and complete and sign an RA02 form which determines your level of access. Once both forms are complete they need to be posted to your Registration Authority. (See Section 15 for the address)

You do not have to attend the Registration Authority in person as identity checks would have been conducted when you were first registered for the EPS1 card.

Pharmacists signing the form are declaring to abide by the terms and conditions.

These RA01 terms and conditions include:

- Keeping the Smartcard private and secure
- Not permitting anybody else to use the Smartcard or any access session established with the NHS CRS applications
- Not sharing your Passcode with any other user or making copies of your Passcodes
- Ensuring that you leave your workstation secure when not in use and remove the Smartcard from the card reader
- Reporting any loss, theft or use of your Smartcard by a third party to your local Registration Authority

### 7.1.1 When do I migrate my smartcard?

There is a misconception that you should not upgrade your EPS01 card to an EPS02 card until your system is R2 compliant; this is not the case. You can upgrade your card anytime ready for when your system is R2 compliant because you can use the R1 premises card in the interim period.

## 7.2 I don't have a smartcard

All Pharmacy staff registering for an NHS CRS Smartcard for the first time will have to go through the full registration process which includes identity checks that satisfy government standard 'e-GIF Level 3'. This means providing at least three forms of ID (photo and non-photo), including proof of address and attending a face-to-face meeting with the SWCS Registration Authority, currently located at South Plaza in Bristol. Sometimes, to make it more convenient, the Registration Authority team will come to events or meetings where there will be groups of people needing registration.

Contact SWCS Registration Authority to find out what arrangements are in place locally for this meeting.

## 8 What do I do if I lose or have my Smartcard stolen?

If your Smartcard is lost or stolen you must report it **immediately** to the SWCS Registration Authority who will cancel your Smartcard and organise for a replacement card.

IT Service Desk details are given in section 15 at the end of this document.

## 9 Log on to the Spine with a Smartcard

The function of the Spine Portal is to provide a single, secure point of entry to a number of applications being provided as part of the NHS Care Records Service.

The spine is only accessible from NHS net (N3) and so you cannot log onto the spine from a home PC.

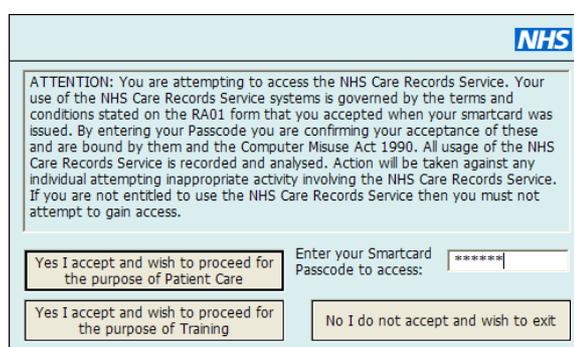
The NHS applications developed by BT are accessible through a web browser and the availability of each application depends upon your job role and its associated permissions.

Note: Gem Authenticate Client v5.2.7.1 was used to capture the screen images.

## 9.1 To Log on to the Spine Portal

1. Insert your Smartcard into the card reader (Keyboard or Omnikey).

The system will check the credentials of the Smartcard and then request you to enter your Passcode.



The screenshot shows the NHS login interface. At the top right is the NHS logo. Below it is a text box containing the following text: "ATTENTION: You are attempting to access the NHS Care Records Service. Your use of the NHS Care Records Service systems is governed by the terms and conditions stated on the RA01 form that you accepted when your smartcard was issued. By entering your Passcode you are confirming your acceptance of these and are bound by them and the Computer Misuse Act 1990. All usage of the NHS Care Records Service is recorded and analysed. Action will be taken against any individual attempting inappropriate activity involving the NHS Care Records Service. If you are not entitled to use the NHS Care Records Service then you must not attempt to gain access." Below this text are three buttons: "Yes I accept and wish to proceed for the purpose of Patient Care", "Yes I accept and wish to proceed for the purpose of Training", and "No I do not accept and wish to exit". To the right of these buttons is a text input field labeled "Enter your Smartcard Passcode to access:" with a masked passcode "\*\*\*\*\*".

**Figure 1 - Log on to the Spine Portal - Passcode required**

2. Enter your Passcode.
3. If you have more than one job role, click the session role you wish to use.



The screenshot shows the NHS login interface for user Kevin Gardens. At the top right is the NHS logo. Below it is the name "Kevin Gardens". Below the name is the text "Please select your session role:". Below this text is a list of session roles: "Anytown PCT, Admin Clerical: Admin: Registration Authority Manag", "Anytown PCT, Associate Specialist: Hospital Practitioner", and "Anytown PCT, Add'l Clinical Services:Associate Practitioner:Associa". Below the list is a scroll bar.

**Figure 2 - Log on to the Spine Portal - Select your session role**

Note: If you only have one job role the job role selection screen will not appear.

The following message will be displayed to confirm your name, organisation and job role; this will disappear after a few seconds.



**Figure 3 - Log on to the Spine Portal - “You are logged on as”**

You are now logged on to the Spine Portal. To open the Portal page, go to: <https://portal.national.ncrs.nhs.uk/>

## 9.2 To Log off the Spine Portal

To log off the system, you simply remove your Smartcard from the card reader. Removal of the Smartcard will log you out of the Spine Portal and its applications.



**Warning:** Simply removing your Smartcard may close any open Browser windows without warning and unsaved data may be lost. This may include Browser sessions that have been launched from outside of the Spine Portal. This depends on local configuration of your system.

## 10 How do I edit my details on the Spine?

You can log on the Spine Portal to change details like email address and telephone number.

These are useful items to update as they are used to help the self unlock smartcard process should you block your card, but you should be aware that this information can be seen by other spine users.

1. Insert your smartcard and enter your Passcode
2. Navigate to the NHS Spine Portal by entering the following in the address bar of your internet explorer: <https://portal.national.ncrs.nhs.uk/portal/dt>
3. Click Launch Spine User Directory
4. Click My Profile
5. From the My Basic Profile tab click Edit under My Basic Details
6. Add or amend your mobile phone number / email address as required
7. Click Save
8. If you need update or add a Passcode / Account Recovery Code click the “Manage My Passcodes” hyperlink

## 11 What do I do in the following scenarios?

### 11.1 I accidentally locked my Smartcard

Registration Authority guidance is available on the use of the Smartcard Service Centre and Self Service Portal.

A copy of the guidance is included as [Appendix A](#).

### 11.2 I need to reset my Passcode

Registration Authority guidance is available on the use of the Smartcard Service Centre and Self Service Portal.

A copy of the guidance is included as [Appendix B](#).

### 11.3 I need to renew my Smartcard Certificates

Registration Authority guidance is available on use of the Smartcard Service Centre and Self Service Portal.

A copy of the guidance is included as [Appendix C](#).

## 12 What do I do if I can not access the Smartcard Systems?

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

## 13 What if I move Pharmacies?

Your manager or sponsor should advise the local Registration Authority via the IT Service Desk prior to a user leaving an organisation. The Registration Authority will then need to follow the appropriate access removal process.

## 14 What if the Smartcard is no longer required?

Leavers with no intention of returning to a role where they need their Smartcard, are required to return it to their local Registration Authority. This includes staff who are retiring, or changing careers.

Pharmacy / Area Managers are responsible of notifying their local Registration Authority of leavers in a timely manner so smartcard accesses are deactivated where no longer needed.

The Registration Authority may also carry out the following checks to ensure smartcards are deactivated if not in use:

- Send periodic lists to Pharmacy/ Area Managers of active users to prompt them to tell us of any leavers.

- Run monthly reports of cards not used for the previous 3 months (or agreed time period) and contact the user. Those cards where the user does not respond will be deactivated.

## 15 Contact details – SWCS Registration Authority

All NHS smart card support for Bristol, North Somerset and South Gloucestershire is available from SWCS Registration Authority via the IT Service Desk 8:30am to 6:00pm Monday to Friday:

**Telephone 0845 051 4646**

**Email [ITservicedesk@swcsu.nhs.uk](mailto:ITservicedesk@swcsu.nhs.uk)**

Out of hours you can leave a telephone message or send an email and your call will be dealt with on the next working day.

**Postal address:**

Registration Authority  
NHS South West Commissioning Support Unit  
5th Floor South Plaza  
Marlborough Street  
Bristol  
BS1 3NX

## 16 Appendix A - Self Unlock Smartcard

### The Smartcard Service Centre

The Smartcard Service Centre webpage (SCSC) allows you to unlock your Smartcard should it become blocked. You can access the SCSC at the following website:

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

### Information you will need to unlock your Smartcard

You will need to have your 'Unique User ID' (UUID) number (this is printed on your smartcard), your 'Account Recovery Passcode' and your mobile phone number / email address.

If your 'Account Recovery Passcode', mobile phone number or email address has not been registered, you will need to update your information on the spine as detailed in ["How do I edit my details on the Spine?"](#)

### How to unlock your Smartcard

(Please note this will only work if you have your account recovery passcode and have registered your email address or mobile phone number)

1. Access the Self Service Centre webpage (address above)
2. Place your Smartcard in the card reader
3. The normal 'Passcode' entry screen is displayed, and you should select '**No I do not accept and wish to exit**' (this will close the passcode entry window.)
4. On the Self Service Centre webpage, click 'manage cards
5. Now enter your Users Unique Identifier (UUID number), your Family name and your Account recovery passcode
6. Click OK
7. Select the method by which you want to receive your one time Passcode, i.e. via your mobile phone or to your email account
8. Click OK

A 12 digit alphanumeric passcode is then sent to your chosen delivery method

9. Enter the 12 digit passcode in the **One Time Passcode** box on the website

**Important:** You must do this within ten minutes of requesting the passcode

10. Set and then confirm a new Smartcard Passcode

The code must be a minimum of 4 letters/numbers up to a maximum of 8

11. Your Smartcard is now unlocked and you can use it as normal.

## 17 Appendix B – Changing Passcodes

### Your Guide to using the Self Service Portal to set your Passcodes and Renew your Smartcard Certificates

#### The Self Service Portal

The Self Service Portal enables you to reset your Smartcard Passcodes at any time

#### Passcodes

Passcodes and certificates are automatically checked every time you use your card and you are warned when they are due for renewal or have to be renewed. You can, however, reset your Passcodes at any time and it is recommended you do so at regular intervals.

When you were registered to use the Spine, you were either given or set your own Smartcard Passcode. You should also now set an Account Recovery Passcode. The purpose of each Passcode is as follows:

- Smartcard Passcode enables you to log in to the system, like a PIN code. This Passcode must be 4-8 characters in length, ideally consisting of alpha-numeric and a mixture of upper/lower case.
- Account Recovery Passcode enables you to unlock your Smartcard if it becomes accidentally locked. The Account Recovery Passcode must be 8-20 characters in length, and contain at least one number and one upper case letter.

#### How to set your Passcodes

1. Log in to the NHS Spine <https://portal.national.ncrs.nhs.uk/portal>
2. Click Launch Self Service Portal
3. From the Self Service Portal, click the Manage Passcodes tab
4. In Reset Passcodes, enter and confirm new Passcodes against those that you require, for example:

Account Recovery Passcode (8-20 characters)

Smartcard Passcode (4-8 characters)

Important: Any Passcode used in the last five Passcode changes will not be accepted, and you are strongly advised to synchronise and set all Passcodes you require at the same time

5. Enter your existing Smartcard Passcode in the Current Smartcard Passcode box.
6. Click Update

A message confirms your Passcodes have been updated successfully

## 18 Appendix C – Renew Smartcard Certificates

### Certificate renewal notification

You are automatically reminded to renew your Smartcard certificates when they are close to expiry. You can renew your certificates twice without contact with the IT Service Desk.

Up to 30 days prior to certificate expiry you will receive an alert once per day.

Upon receiving this message you can choose to renew your certificates at that time or decline and renew later. When certificates are within 20 days of expiry, you will be forced to renew.

At the third renewal you must contact the IT Service Desk who will assist with renewing your certificates.

### **How to renew your Smartcard certificates**

1. At the renewal prompt click "Yes"  
You are taken to the Self Service Portal
2. Click the Renew Certificates tab  
You are presented with Update My Card workflow
3. Enter your Smartcard Passcode, to confirm your identity and the first certificate update
4. Click OK  
'Creating Card' and 'Writing Certificates' warnings will appear one after another. When completed a confirmation message will appear that the certificates have been renewed and the Smartcard has been updated successfully
5. Click Continue to confirm the update
6. Close the browser and authenticate again as normal

**If you need further information or support, please contact the IT Service Desk on 0845 051 4646 or email [ITServiceDesk@swcsu.nhs.uk](mailto:ITServiceDesk@swcsu.nhs.uk)**