



Registration Authority Strategy

This strategy supersedes: CORP/ICT 18 v.2- Registration Authority Strategy.



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Approved by (Committee/Group)	Information Governance Group
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Target Audience	Trust Wide

Amendment Form

Version	Date Issued	Brief Summary of Changes	Author/s
Version 3	2 June 2016	<ul style="list-style-type: none"> ▪ Tri-annual review ▪ Remodelled to reflect on the impact of the Care ID System implementation 	R G Underwood N Hall
Version 2	November 2011	<ul style="list-style-type: none"> ▪ Tri-annual review ▪ Format update ▪ Revising the RA Strategy, and Intranet pages to reflect the now 'split' responsibilities for <ul style="list-style-type: none"> ○ RA/IT Technical Infrastructure, and ○ RA Smartcard Management across the Divisions ▪ Integrated & User Identity Management (IIIM & UIM) Strategic Options ▪ Approval by the Information Governance Team 	R G Underwood A Khaliq

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1. INTRODUCTION

The Doncaster & Bassetlaw Hospitals NHS Foundation Trust's Registration Authority (RA) and associated Smartcard Management Strategy is based on an integrated but devolved working relationship between the RA Manager, IT Services, Human Resources (for medical Staffing), and the Trust's Divisional and Departmental Management arrangements.

2. REGISTRATION AUTHORITY STRATEGY

The RA Strategy, the RA Policy and trust Intranet pages reflect the now 'split' responsibilities for:

- RA Smartcard Management across the Trust Care Groups, and Corporate Departments under the RA Manager
- RA/IT Technical Infrastructure under the Head of IT Services

The current Information Governance Objectives and Workplan includes activities which cover the areas which support the security approach – People, Process and Technology.

The Trust Intranet RA Pages¹ contain very detailed operational and training advice and includes a library of up-to-date RA Forms for RA Sponsors and Agents to use.

3. RESPONSIBILITIES

The Registration Authority for the Doncaster & Bassetlaw Hospitals NHS Foundation Trust is the Trust Chief Executive Officer (CEO).

3.1 RA Smartcard Management Across the Trust Care Groups, and Corporate Departments

The Head of Information Governance is appointed as the Trust RA Manager by the CEO, and acts on his behalf in all Operational RA matters. The Registration Authority in turn report to the Trust Board of Directors through the Audit & Non-Clinical Risk sub-Committee.

The RA Function and Procedural Operations are embedded in the Corporate Information Governance (IG) Framework through the Trust Information Governance Group (IGG).

The Head of Information Governance is responsible for all aspects of RA Smartcard Management across the Trust. The Head of IT Services acts as his appointed deputy.

The RA Manager supervises the appointment of all Trust RA Managers, Sponsors and Agents.

¹ http://intranet/Corporate-Directorates/Medical-Director/RA_Documents_and_Help.aspx

Employee Services (Medical Staffing) facilitate Smartcard management processes for the Trust Clinicians and the cohort of Junior Doctors who are employed on a turn-around basis by the Trust.

The Trust Registration Authority (Smartcard) Web pages have been developed, and continue to develop, to provide a wealth of immediate on-line support to local RA Agents and Users alike: http://intranet/Corporate-Directorates/Medical-Director/RA_Documents_and_Help.aspx

3.2 RA/IT Technical Infrastructure

The Head of IT Services is responsible for all aspects of the Trust's RA/IT Technical Infrastructure in line with Health & Social Care Information Centre (HSCIC's) Registration Authority Programme. This responsibility includes the day to day management of all the RA Smartcard Printers, the Portal Access build state, and the associated Identity Agent version. The maintenance of the RA/UIM Infrastructure runs hand in hand with the IT Service desk RA/UIM support call function.

There are a further cohort of RA Management staff within IT Services appointed for limited business continuity purposes, to assist issues with RA Agents & Smartcards.

4. INTEGRATED IDENTITY MANAGEMENT (IIM)

The HSCIC RA teams have developed a new secure, scalable and streamlined Integrated Identity Management (IIM) system to capture and manage employee identity and control access to electronic patient records. The IIM system aims to improve information governance and patient confidentiality, while reducing the administration costs of managing employee identity in the NHS.

The NHS is required to meet the NHS Employment Check Standards (July 2010) for all staff, volunteers, contractors etc. providing NHS services. Responsibility for these checks currently sits with Employee Services, Care Groups and Corporate Departments. Similarly, robust identity checks (using the same identity management standards) are carried out by RA staff to verify an individual's identity for Locums etc, before allowing access to NHS Care Records Service (NHS CRS) applications.



5. THE CARE ID SYSTEM (CIS)

The Care ID System (CIS) software for managing Smartcards replaced Calendra and the old UIM systems in February 2014. The **NHS Operating Framework 2010/11** required organisations to develop Action Plans to utilise the User Identify Manager (UIM) and Electronic Staff Record (ESR) Interface – to support compliance with the NHS Employment Check Standards and achieve the associated productivity gains. CIS can also link to the Electronic Staff Record (ESR) however our Trust’s HR at that time, chose not to implement this facility. This is a Strategic decision which can be revisited at any time.

6. TRUST REGISTRATION AUTHORITY MAP

Hospital Site	Main RA Centre	Secondary RA Centres	
DRI	Yes		The main RA Management cell will be managed from the RA Office in D Block, DRI
Bassetlaw Hospital		Yes	Local arrangements are in place with Care Group & Departmental managers and their RA Sponsors and Agents to manage any operation smartcard management issues
Montagu Hospital		Yes	Local arrangements are in place with Care Group & Departmental managers and their RA Sponsors and Agents to manage any operation smartcard management issues
Retford			Local arrangements are in place with Clinical Service Units & Departmental managers and their RA Sponsors and Agents
Chequer Rd			Local arrangements are in place with Clinical Service Units & Departmental managers and their RA Sponsors and Agents
Junior Doctors		Yes	Facilitated by Employee Services, Medical Staffing Department

7. MONITORING AND AUDIT

HSCIC: Information Governance Toolkit Standards IGTvx – 303, 304 & 305 must achieve at least Level 2 compliance as directed by MONITOR’s Compliance Framework.

Information Security Assurance	
IGTx-303	There are established business processes and procedures that satisfy the organisation’s obligations as a Registration Authority
IGTx-304	Monitoring and enforcement processes are in place to ensure NHS national application Smartcard users comply with the terms and conditions of use
IGTx-305	Operating and application information systems (under the organisation’s control) support appropriate access control functionality and documented and managed access rights are in place for all users of these systems

8. APPROVAL AUTHORITY

The approval authority for the RA Strategy (CORP/ICT 18) and the RA Policy (CORP/ICT 19) is the Trust Information Governance Group (IGG).

9. EQUALITY IMPACT ASSESSMENT

An Equality Impact Assessment (EIA) has been conducted on this procedural document in line with the principles of the Equality Analysis Policy (CORP/EMP 27) and the Fair Treatment For All Policy (CORP/EMP 4).

The purpose of the EIA is to minimise and if possible remove any disproportionate impact on employees on the grounds of race, sex, disability, age, sexual orientation or religious belief. No detriment was identified. (See Appendix 1).

10. ASSOCIATED TRUST PROCEDURAL DOCUMENTS

Trust RA Policy: CORP/ICT 19

11. REFERENCES

None

APPENDIX 1 – EQUALITY IMPACT ASSESSMENT - PART 1 INITIAL SCREENING

Service/Function/Policy/Project/ Strategy	Care Group/Executive Directorate and Department	Assessor (s)	New or Existing Service or Policy?	Date of Assessment
RA Strategy	Medical Director	Roy Underwood	Existing Policy	12/05/2016
1) Who is responsible for this policy? Name of Care Group/Directorate: Medical Directors Office				
2) Describe the purpose of the service / function / policy / project/ strategy? All RA Smartcard users				
3) Are there any associated objectives? HSCIC & National eGIF Systems Access Controls				
4) What factors contribute or detract from achieving intended outcomes? None compliance				
5) Does the policy have an impact in terms of age, race, disability, gender, gender reassignment, sexual orientation, marriage/civil partnership, maternity/pregnancy and religion/belief? No				
<ul style="list-style-type: none"> • If yes, please describe current or planned activities to address the impact [e.g. Monitoring, consultation] 				
6) Is there any scope for new measures which would promote equality? [any actions to be taken]				
7) Are any of the following groups adversely affected by the policy?				
Protected Characteristics	Affected?	Impact		
a) Age	No			
b) Disability	No			
c) Gender	No			
d) Gender Reassignment	No			
e) Marriage/Civil Partnership	No			
f) Maternity/Pregnancy	No			
g) Race	No			
h) Religion/Belief	No			
i) Sexual Orientation	No			
8) Provide the Equality Rating of the service / function /policy / project / strategy – tick (✓) outcome box				
Outcome 1 ✓	Outcome 2	Outcome 3	Outcome 4	
<i>*If you have rated the policy as having an outcome of 2, 3 or 4, it is necessary to carry out a detailed assessment and complete a Detailed Equality Analysis form in Appendix 4</i>				
Date for next review: May 2019				
Checked by: Roy Underwood			Date: May 2016	