NRL Phase 2 Onboarding Guide for Consumers using SCRa only

DRAFT Published 20th November 2019

Document Management

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Directorate / Programme  Integrating Care | |  | Project  National Record Locator |  |
| Document Reference | | |  | |
| Programme Manager | Richard Pugmire | | Status | Draft |
| Owner | Richard Pugmire | | Version | V0.5 |
| Author | Dave Jarvis | | Version Issue Date | 14/11/2019 |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date | Summary of Changes |
| V0.1 | 31/10/2019 | First Draft for phase 2 based on v0.7 of phase 1 guide |
| V0.2 | 06/11/2019 | Updates to section descriptions to reflect phase 2 content |
| V0.3 | 07/11/2019 | RBAC Codes made explicit and link to WES included |
| V0.4 | 14/11/2019 | Updated to clarify CIS /RBAC / Smartcard relationship and glossary |
| V0.5 | 20/11/2019 | Updated Benefits reporting section |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

Contents

[2 Glossary 3](#_Toc24641820)

[3 Summary and Document Purpose 4](#_Toc24641821)

[4 Introduction to NRL 4](#_Toc24641822)

[4.1 Existing Connecting Parties 4](#_Toc24641823)

[5 Roadmap & Current Eligibility Criteria 5](#_Toc24641824)

[6 Pre-requisites 5](#_Toc24641825)

[7 Onboarding Task List 6](#_Toc24641826)

[8 Onboarding Documentation 6](#_Toc24641827)

[8.1 Consumer / Provider Guidance 6](#_Toc24641828)

[8.2 End User Organisation Declaration (EUOD) 7](#_Toc24641829)

[9 Business Requirements 7](#_Toc24641830)

[10 Live Service Implementation 7](#_Toc24641831)

[10.1 Implementation High Level Steps 7](#_Toc24641832)

[10.2 Implementation Pre-requisites 8](#_Toc24641833)

[10.3 RBAC 8](#_Toc24641834)

[11 Post Implementation 9](#_Toc24641835)

[11.1 Support Model – Process for Raising Incidents 9](#_Toc24641836)

[11.2 Benefits reporting 10](#_Toc24641837)

# Glossary

|  |  |
| --- | --- |
| Term / Abbreviation | Definition |
| Activity code | A code applied to a user’s Smartcard (or equivalent), giving access to a particular function. Forms part of the RBAC model. |
| EUO | The End User Organisation is an organisation that will be using NHS Digital Service(s) to facilitate or support the provision of Direct Care or a Commissioning Organisation (CO) which is the lead End User Organisation acting on behalf of multiple individual health and care organisations or professionals e.g. CCG, LCHRs. |
| EUOD | End User Organisation Declaration - Agreement formed between the End User Organisation and NHS Digital. Comprises of a set of terms and conditions, any Special Terms for a particular service and exists as an agreement for the duration of connection to the service. |
| LHCR | Local Health Care Record: NHS England funded regional partnerships, providing better and faster access to patient information |
| NRL Consumer | An organisation that retrieves record pointers from the NRL |
| NRL Provider | An organisation that publishes record pointers to the NRL. |
| RA Manager | The Registration Authority Manager ensures the governance and security of information accessed via NHS systems using smartcards, as part of the Care identity Service (CIS). This role is performed at a Trust level. |
| RBAC | Role based access control: a method of restricting access based on the roles of individual users |
| Record Type | The clinical type of a record as defined by SNOMED CT code. The clinical types permitted on the NRL are defined by a controlled list. |
| Record Group | A grouping that contains one or more Record Types |

# Summary and Document Purpose

This guide outlines the key tasks required for a new consumer to gain access to the NRL (National Record Locator), using the SCRa (Summary Care Record Application). It also lists key supporting links, reference material and guides that provide more detail for each step where necessary.

# Introduction to NRL

An introduction to NRL can be found on the NHS Digital website at the following address:

<https://digital.nhs.uk/services/national-record-locator>

The below presentation provides a visually rich companion to the introduction:



## Existing Connecting Parties

Phase 1 of NRL went live as a Beta service on 30th November 2018. It was restricted to Mental Health Trusts publishing pointers either directly onto the NRL or via Shared Cared Records, indicating the presence of a Mental Health Crisis Plan for a given patient, such that Ambulance Trusts can view these pointers using the SCRa or their own system (via direct API integration). The below diagram shows the connecting parties that went live with NRL on 30th November 2018.



# Roadmap & Current Eligibility Criteria

NHS England have provided a steer that, going forward, a policy of “LHCR first” should be adopted. LHCRs form the cornerstone of the strategy for national rollout of the NRL service beyond the Beta stage. As such, the NRL should only onboard additional trusts and Shared Care Records where they have written consent from the LHCR within which they sit, or where there is not currently LHCR coverage. This is often the case where a LHCR has not sufficiently matured in their development and is not yet able to integrate with the NRL within a reasonable timescale (thereby acting as the hub by which all trusts and Shared Cared records within their area can interact with the NRL).

A second element to Phase 2 (a.k.a. Phase 2b) sees the introduction of two new use cases: Digital Child Health and Maternity, due to go-live alongside the phase 2a enhancements to the core NRL service (pointer model update and retrieval). NHS Digital is currently in the process for agreeing the governance process to decide which other additional use cases will be added to the NRL and the timescales for doing so.

# Pre-requisites

1. Confirm that the SCRa is the most appropriate method for your organisation to consumer the NRL. The following guide will be of assistance:



This guide assumes that your organisation will be consuming pointers using the SCRa only. If this is not the case, please contact the NRL for a copy of the *NRL Onboarding Guide for Direct API Integration.*

1. Consistent use of NHS number to identify patients. (An organisation must be fulfilling their duties under the NHS Standard Contracts to use the NHS number as a 'consistent identifier')
2. A valid NHS Smartcard for all users (<https://developer.nhs.uk/apis/spine-core/smartcards.html>)
3. An N3 or HSCN connection
4. Computer systems which access NHS Digital services through Spine have to meet certain technical standards. The Warranted Environment Specification (WES) defines the client environments that we support (<https://digital.nhs.uk/services/spine/spine-technical-information-warranted-environment-specification-wes>)
5. Full functionality of NRL is only supported on the latest version of the SCRa, which itself is only compatible on desktops with Chrome or Firefox browsers installed (accompanied by a valid SmartCard).

A pilot is currently being undertaken involving the use of I-Pads using the NHS Identity solution, available over the internet, that relies upon biometrics, removing the reliance upon SmartCards. If your organisation uses I-Pads, please get in touch to discuss the possibility of joining the pilot.

1. Ideally, your users should be using the latest version of the NHS Digital Identity Agent (currently v2.2.2.7) (<https://digital.nhs.uk/services/registration-authorities-and-smartcards/care-identity-service/news-and-service-updates/oberthur-smartcard-updates/ia-v2.2.3.7>)
2. Each user must have the NHS Identity Hub installed on their Desktop <download link TBC>

# Onboarding Task List

The following activities are listed in an approximate chronological order as a guide only, to be tailored according to local working practices and processes:

1. Assign key resources to the project including:
   1. Primary Contact (e.g. project manager)
   2. IG Lead
   3. Clinical Lead
2. Review Onboarding Documentation (this document)
3. Commence any applicable local clinical safety assessments / processes
4. Update local Business Processes and Train Users
5. Obtain all necessary local approvals for go-live (e.g. clinical safety, board approvals)
6. Deploy Chrome/Firefox browsers to all users (where not already in place)
7. Deploy latest NHS Identity Agent to all users (where not already in place)
8. Deploy National Identity Hub to all users
9. Provide NHS Digital with the UUIDs for all users that require access
10. Sign NHS Digital EUOD End User Organisation Declaration
11. Distribute internal comms regarding go-live
12. Undertake implementation with NHS Digital (including adding RBAC code to the relevant users in CIS and performing live validation of SCRa)

# Onboarding Documentation

## Consumer / Provider Guidance

The NRL Consumer Guidance document provides an overview of how the NRL can be used during a care episode.

The NRL Provider Guidance document outlines how a provider (e.g. a Mental Health Trust) should use the NRL from an operational perspective. Of key importance is the pointer lifecycle and its relationship with the patient journey and, as such, it is recommended that Consumers also read this to obtain a holistic knowledge of the NRL.



## End User Organisation Declaration (EUOD)

The End User Organisation Declaration (EUOD) must be signed by the End User Organisation (EUO) that will use the SCRa to consume pointers from the NRL.

When you are ready to complete the form, please contact [interop.mgmt@nhs.net](mailto:interop.mgmt@nhs.net) who will provide you with a link to the online portal.

The below is an example extract of the draft questions contained in the online portal and should only be used as an indication of the questions that need to be answered in advance of completing the online form itself.



# Business Requirements

The purpose of this document is to define the business requirements that need to be satisfied for Consumer and Provider systems wishing to connect and use the National Record Locator (NRL). Given the SCRa is a consuming system already built by NHS Digital, it is not necessarily an essential read. However, it has been included here for reference as it provides the basis upon which the SCRa has been designed.



# Live Service Implementation

## Implementation High Level Steps

Following completion of the on boarding process, Service Operations can then guide you through the Live Connection process.

This includes:

1. Implementation of pre-requisites
2. Adding RBAC code to relevant users’ smart cards (triggers Live activation)
3. Live Validation by accessing dummy pointers (i.e. for fictitious patients)

## Implementation Pre-requisites

Before any activity can take place on the Live Service, approval must be granted via a Go / No-Go assessment (usually undertaken as a teleconference). The following checklist must be completed and returned in advance to provide a basis for the assessment:



## RBAC

To use the NRL, users will need to have Role Based Access Control (RBAC) codes added to CIS (Care Identity Service) by the RA (Registration Authority) of the End User Organisation. This will enable access to the NRL via a Smartcard (or equivalent). There are different RBAC codes applicable to the NRL, giving different levels of access. The codes that should be added will depend on the level of access that an individual user needs. For full details on the activity codes required to access the NRL and which record types they give access to, see the [RBAC mapping table section](https://developer.nhs.uk/apis/nrl/explore_rbac_mapping.html%20) of the NRL technical specification.

For example, for access to Mental Health Crisis plan pointers/records, either of the following codes should be added, depending upon the access level deemed appropriate to the user:

|  |  |
| --- | --- |
| **Smartcard activity code** | **Description** |
| B0268 | Access pointers in NRL record group 1 |
| B0269 | Access pointers and retrieve records in NRL record group 1 |

Users will also need to be able to perform a patient trace to use the NRL. If they don’t already have this RBAC code it will need to be added:

|  |  |
| --- | --- |
| **Smartcard activity code** | **Description** |
| B0264 | Access SCR Application (Perform Patient Trace) |

The addition of RBAC codes needs to be performed by the Registration Authority Manager within your organisation. Guidance for Registration Authority Managers is available on the [NHS Digital website](https://digital.nhs.uk/services/registration-authorities-and-smartcards/care-identity-service/guidance-leaflets), including how to [assign access to users](https://digital.nhs.uk/binaries/content/assets/legacy/pdf/j/8/assigning_access_to_user.pdf) and how to [perform batch updates](https://digital.nhs.uk/binaries/content/assets/legacy/pdf/j/5/batch_management.pdf).

During Implementation it is important that only users that will be involved in the Live Validation have the above codes enabled. Only once the service has been validated and go-live confirmed, should the full user set have the relevant codes added.

Existing members of the NRL Beta who are upgrading to the New version of SCRa as part of Phase 2, are required to remove the previous code (copied below) from all users, once successfully transitioned to the New SCRa:

|  |  |
| --- | --- |
| **Smartcard activity code** | **Description** |
| B1693 | View mental health functions |

# Post Implementation

## Support Model – Process for Raising Incidents

It’s vital that all incidents or requests for support are raised through the appropriate channels so that they can be investigated and resolved as quickly as possible. This is especially important whilst we are in the beta phase so that we can resolve any issues before going into full national rollout. If there are any incidents that have taken place previously and have not been reported please can you do so.

Attached is the support model for your information. In summary, the key action is that any incident that is raised and can’t be resolved locally must be raised to the NHS Digital National Service Desk:

****

**National Service Desk**

* Tel: 0300 3 035 035
* Email: [ssd.nationalservicedesk@nhs.net](https://hscic365.sharepoint.com/sites/IP/National%20Record%20Locator%20Phase%202/Requirements/Processes%20and%20Guidance/ssd.nationalservicedesk@nhs.net)
* [Weblog](https://nww.serviceportal.digital.nhs.uk/CherwellPortal/NHSD#0) – Account Creation Required (see guide)



Incidents could occur for either NRL Consumer or Providers. A couple of example scenarios are described beneath:

NRL Provider Scenario

No response returned from the NRL after an NRL Provider request e.g. NRL Provider makes a Create request to the NRL but does not receive a Create response

NRL Consumer Scenario

The patient overview screen shows there are records available to view but when a user clicks on the Documents tab there are no records displayed.

## Benefits reporting

It is essential that we are able to quantify and qualify the benefits of using NRL and as such all consumers and providers will be required to provide baseline information in the form of short surveys and questionnaires prior to going live and then again, 1 month, 3 months and 6 months post go live. This information will be used to ensure that NRL is delivering the benefits identified during the discovery phase and to enable future work to be commissioned to continue to increase uptake and provide feedback to the users of NRL and the project board.

Reports will be produced by NHS Digital that will provide the user ID of the staff at consuming trusts along with the date and time a record has been accessed. The consuming trust will be required to provide the names and contact details of the users to NHS Digital staff. This will enable NHS Digital colleagues to contact them at an agreed time to discuss the benefits of using NRL and provide valuable information for management reporting, case studies and benefits realisation.

Example Ambulance Clinician user survey below.

