

## Smartcard Compliance Monitoring form

Date undertaken:

Undertaken by:

Use of smartcards		Yes	No	N/A
		√	√	√
1	Do staff members take all reasonable steps to ensure their workstations are kept secure when they are not using it by removing their smartcard?			
2	Are staff members sharing their smartcards or allowing another to use their login sessions?			
3	Are staff members sharing their pass-codes with other system users?			
4	Do staff members keep their smartcards private and secure?			
5	Do staff members make any electronic or written copies of their pass-codes?			
6	Do staff members inform the Deputy Practice Manager/Practice Manager as soon as possible if their smartcards are lost or if they suspect that it has been stolen or used by a third party?			
7	Do staff members possess their lanyards and card holders to ensure that their smartcards remain in their possession when away from their PC			
8	Is there any evidence that smartcards have been used inappropriately? E.g. unauthorised access/alteration of medical records; tampering with the smartcard, etc.			
9	Do staff members inform the Deputy Practice Manager immediately if their smartcard becomes damaged or defaced in any way.			
Management of access controls				
10	Are only staff members regularly working in the practice registered as active users on the system?			
11	Is the allocation of administrator rights restricted with additional users only granted such rights on authorisation by a senior member of staff?			
12	Are the access rights in place regularly reviewed to ensure they remain appropriate for each member of staff?			
13	Is there any evidence of staff members sharing their access rights?			
14	Are staff members appropriately logging out of the practice system?			
15	Is there any evidence that staff members are using the system inappropriately? E.g. excessive personal use, downloading software without authorisation, etc.			
16	Is there a system for ensuring that people leaving the company have their smartcard account dealt with and their EMIS access stopped			