

## HOPS ID Card System

Draft 2, 13 January 2019. Written by Danny Scroggins, HOPS Program Manager.

### Description

The HOPS ID Card system aims to provide a solution for the generation, management, issue and co-ordination of ID cards in a heritage/volunteer organisation context.

The issue of an ID Card, Work Permit, etc, to a new employee or volunteer in the organisation sets a good tone and expectation that the person is working *for* the organisation, this is especially true in the case of volunteers, and especially effective if issued on the first day.

There is further opportunity to manage expectations on both sides where the application for an ID Card is preceded by a written agreement or set of expectations. This is something that has been found relatively painless to apply when a person joins the organisation, but extremely difficult to impose retrospectively.

In this document the cards will be called ID Cards, but on the cards is shown the text set by the client organisation.

The issue of a temporary ID Card on the first day allows a policy of “no work without an ID Card”, enabling the organisation to keep a strong control over who is authorised to conduct work on its behalf – especially in the case of control of safety-critical work.

### Principles

The HOPS ID Card system facilitates the following processes:

- Generation of ID cards (to individual users or to many users en-bloc)
  - Digital generation of ID cards for local printing
- Physical generation of ID cards for centralised printing
- Printing and distribution services for ID cards printed centrally
- Inclusion of a photo of the holder on ID cards
- Ability to verify an ID card by virtue of scanning a QR code or visiting a website and entering a code
- Ability to mark cards as lost / stolen
- Ability to re-issue cards on demand
- Management of overlap of cards when a new card is issued
- Ability to view the status of all cards in circulation/production/expired/cancelled/etc

ID cards need to be sufficiently robust in their security, in proportion to the risks associated with the context of their use.

Passive provision is made for the future:

- Use of ID cards for signing-in and signing-out purposes
- Use of ID cards in connection with point-of-sale systems for obtaining discounts etc
- Development of ID cards to show ‘endorsements’.

As with all HOPS features, the system will aim to bring an element of standardisation with regard to the management of ID cards across its client organisations, realising the benefits to clients associated with standardisation of process and infrastructure, whilst maintaining the need to meet the requirements of the client organisations.

### **Vocabulary & Card Lifecycle**

- Generate – the process of creating a record for a new card in HOPS.
- Process – the use of a generated card record to provoke a new/updated competence element record.
- Produce – the process of physically printing the card hardware.
- Activate – the process of marking a card as alive and ready for use.
- Expire – the end date for the validity of the card, after which it is no longer in use.
- Cancel – the process of explicitly marking a card as not in use before it naturally expires. This can take place at any stage in the lifetime of the card, including before it is produced.
- Check – the process of checking a card's validity via the QR code or the website interface.

### **Note.**

The HOPS ID Card system continues to be under development. This document will be updated periodically, but users should be aware that system developments may have progressed further since the last issue of this document.

### **Document and Use**

There are two parts to this document. Part A describes the functionality of the system. Part B describes the policy of ID Card operation at the client's organisation. As with all HOPS features, clients may choose to use some or all parts of the HOPS system, and hence implement some or all parts of this document. However, the principles and management processes described here represent the intended use of the system, the principles on which it will be further developed and the standard of operation against which audit processes will be applied in any future accreditation scheme. Where clients' use of the system or management processes deviate from those contained in this document, the client is responsible for making that decision explicitly and conducting and recording the necessary risk assessment etc which it is recommended is accepted at a high level.

# PART A – Functionality of the System

## Configuration of System and Elements

The ID Card system is dependent on the Competence Elements system. A Competence Element must be created for each type of card required, and the records in this element for part of the records of each card issued.

Competence Elements are configured in HOPS > Competence > Competence Elements (permissions 242 and 236 required).

It is possible for organisations outside the SLS to create competence elements for the purpose of managing ID cards only.

Select 'add new element'.

Enter the details of the ID Card:

- Name – the name of the ID Card. This will appear on the card.
- Abbreviated name – for use in tables etc in HOPS
- Element group – for the control of permissions.
- Owner – select the person responsible for this element. (In the case of ID cards, the 'first award' is not relevant, so this setting is not used further.)
- Competence Length (Expiry) – At present the HOPS ID Card system is fixed to an annual cycle and ignores these settings. Leave at default values.
- Special element – Set to ID Card
- ID Card Configuration Details:
- Cards can be generated in User Details Editing Page – if ticked, a tickbox will be added to the bottom of the User Details Editing page to prompt the issuing of a new card. This is useful if cards are to be generated upon return of a signed sheet from the user that is manually checked against their saved details in HOPS. Note this is only available to those editing other users' details, not the user themselves.
- Cards can be generated in ID Card pages – if ticked, the 'Generate Cards' tab in HOPS > HOPS ID Cards > View ID Cards will allow the generation of cards for an individual user or a batch of users. This is useful if cards are to be generated other than on the return of a signed sheet from the user.
- Card Processing & Production:
  - Central (recommended) – cards will be processed and produced centrally by HOPS.
  - ~~Local – cards will be processed and produced locally.~~
- 'Cards Activated' specifies the point at which the card becomes live and in use.
  - As soon as printed – the card will become live as soon as it is printed. [Old cards will remain valid until the first scan of the new card or they expire naturally]
  - When scanned by the [organisation] – the card will become live when it is scanned by the issuing office. [Old cards will be cancelled at that point]
  - When activated by the user – the card will become live when the user completes the activation process. [Old cards will be cancelled at that point]
- 'Allow Normal Award', when ticked, will allow awards in this element to be made via the normal method, without a card being issued.

- 'Show Postal Address on Letter' is designed for if the cards are going to be posted to the end user. The address is printed in the correct place to appear through the window of a C5 envelope.
- 'Text for Letter' – in addition to the text hard coded in, any text entered here will appear in a box on the letter that accompanies the ID Card.

Save the configuration details.

This element may stand alone (ie, there does not *have* to be any competences dependent on this element), but the system lends itself to making competences dependent on this element as a means of assisting the control of (particularly) safety-critical work to only those with valid ID Cards where these are used as Work Permits.

Difference to normal elements – in normal elements there is a permission (238) to enter details of a competence award, distinct from being recorded as the assessor which is achieved by a person being an assessor status in that element. In ID Card elements there is no assessor and the person who **generates the ID card** is recorded in the assessor space (ie the person with permission 238).

## Generation of Cards

ID Cards may be generated for users by one of three methods (configured in the Competence Element configuration options described above):

- At the bottom of the User Details Editing page:
  - A section shows the current issue status of the Competence Element (ie, the ID Card). A tick box allows the generation of a new card. If ticked, when saved, the card is generated and goes into the queue for processing.
  - The card can be cancelled before it is processed by returning to the User Details Editing page and un-ticking the box, or by viewing the details of the card in HOPS > HOPS ID Cards > View ID Cards and cancelling it from there (see below).
  - If a user has a new card waiting to be processed (generated by any method) the tick box will already be ticked. Saving again in this state will not cause a second card to be generated, but un-ticking will cause the card to be cancelled.
  - Permission 238 is required to see this option.
- In the ID Cards Pages:
  - Visiting HOPS > HOPS ID Cards > Generate ID Cards
  - A card for an individual user can be generated by selecting the 'Single User' tab (selected by default) and selecting their name from the list. When saved, the card is generated and goes into the queue for processing. Note, only users who don't already have cards waiting to be processed are shown.
  - Cards for numerous users can be generated in one go by selecting the 'Pick from List' tab and ticking the tick box adjacent to each user required. A 'select all' box is available at the top. When saved, cards are generated for all the selected users and sent into the queue for processing. Note, only users who don't already have cards waiting to be processed are shown.
  - Permission 238 is required to access this option.

## Viewing Details of Cards

Details of all cards can be viewed in HOPS > HOPS ID Cards > View ID Cards. There are several tabs:

- **1. Cards Generated** – All cards that have been generated but not yet processed.
- **2. Processed Cards** – All cards that have been processed (ie competence element records updated) but not yet produced (printed). [Note this tab will almost always contain no records, as cards are generally processed and then produced immediately afterwards. Cards may appear in this list briefly while the printing process is taking place.]
- **3. Produced** – All cards that have been produced (ie printed) but not yet activated. [Note this tab will contain no records if the competence element is configured to activate cards as soon as they are printed.]
- **4. Live Cards** – All cards that have been issued and are not expired or cancelled.
- **5. Expired** – Cards that have naturally expired
- **Cancelled** – Cards that have been cancelled before they naturally expired.
- **Lost** – Cards that have been marked as lost
- **Stolen** – Cards that have been marked as stolen.

The numbers 1-5 refer to the five stages of the lifespan of a card.

Clicking the ref number of any card will return more details about that card (including details of its 'scans'.)

## Processing of Cards

Cards are processed in batches. This is the mechanism by which the waiting card provokes a new/updated competence element record.

- **Local Processing**

This is achieved by selecting the cards to be processed from the 'Cards Generated' tab in HOPS > HOPS ID Cards > View ID Cards (select all option available at the top) and pressing the 'Process' button. When this is pressed, competence element records will be created/updated for the rows selected and the cards will move from the 'Generated' tab to the 'Processed' tab.

- ~~**Central Processing (recommended)**~~

~~HOPS centrally processes the generated cards monthly. Competence element records will be created/updated for all the generated cards, and they will all will move from the 'Generated' tab to the 'Processed' tab automatically. Cards will then immediately be produced (see below).~~

## Production of Cards

Cards can be produced (printed) when they have been processed.

### • ~~Local Production~~

~~Cards are produced onto butterfly card stationery by printing the PDF linked at the top of the 'Processed Cards' tab in HOPS > HOPS ID Cards > View ID Cards. Appropriate stationery for local is available from Royale Graphics, Nottingham (0115 949 1880 – sales@royalegraphics.co.uk – contact Nick). Request card stationery for printing HOPS cards and Royale will provide in the appropriate dimensions. Artwork for background (if desired, not mandatory) will need to be supplied by the organisation. For clarity, the specification of the cards is: 1 part integral duo card form, A4 size, card size 54mm x 172mm, on white 145gsm board, with gloss laminate to face and adhesive to rear. Note, locally produced cards may not use the HOPS wavy background artwork.~~

~~Cards can then be delivered to users.~~

### • Central Production (recommended)

Cards that are generated (ie in the 'Generated') tab are produced **fortnightly** by HOPS and sent to the client organisation or directly to the user as dictated by the client. This is done immediately after they are processed. Centrally produced cards use the wavy HOPS background artwork to reduce the ease of fraud.

Cards are activated when they are printed if this option is selected in the Competence Element configuration options. Otherwise they are not activated at this stage (and will return INVALID if scanned).

## Activation of Cards

There are three options for the activation of cards, configured in the Competence Element options for this competence element:

- Cards can be activated when they are printed. If this is selected, no action is required. [Old cards will continue to be valid until they naturally expire.]
- Cards can be activated when they are scanned by the client organisation. This can be achieved by visiting HOPS > HOPS ID Cards > Activate ID Cards and then one of the methods below by a person with appropriate HOPS permissions (permission 318 required). When this is done the user's old card is immediately cancelled, so this must only be done at the point of giving the user their new card.
  - Scanning the QR code
  - Scanning the barcode
  - Entering the activation code
- Cards can be activated by the user themselves following the card activation process in HOPS > HOPS ID Cards > HOPS ID Card Activation (permission 319 required). When this is done the user's old card is immediately cancelled.

## Expiry of Cards

~~All cards expire on 31 January of the following year, unless they are generated in November or December, in which case they expire on 31 January of the year after next.~~

The determination of expiry dates on cards is being re-designed to give greater flexibility. The maximum validity length of any card is 15 months.

## Cancellation of Cards

Cards may be cancelled for any reason at any time in their lifespan. This may be because a card was generated in error, a user has their card removed, etc.

Cards are cancelled by clicking on the Ref number in HOPS > HOPS ID Cards > View ID Cards (then the appropriate tab), then selecting 'Cancel'. A prompt will ask 'Are you sure?'

Permission 238 required.

TEMP - The competence element is not withdrawn.

## Lost / Stolen Cards

If cancelling a card because it has been lost or stolen, follow the same procedure as above for cancelling but select 'Lost' or 'Stolen' as appropriate. Permission 31 required.

TEMP - The competence element is not withdrawn.

## Temporary ID Cards

To facilitate a 'No work without an ID card' rule, a solution is required to overcome the time between a user arriving on their first day, and their ID card arriving potentially several weeks later.

It is also recognised that many organisations have a probationary period for new staff and volunteers, during which they don't obtain privileges such as discounts in shops and cafes, free travel, etc which normally come with an ID card.

Furthermore some companies require staff to attend certain training sessions or carry out a set number of turns before obtaining a full ID card.

To meet this requirement, Temporary ID Cards may be issued. These use a stock of immediately-available, pre-printed cards held by each client (available from HOPS).

When a temporary ID card is required, this is registered in HOPS, which issues the card number etc for hand-writing onto the card.

Appropriate-fitting rubber stamps with the client's company name on are also available from HOPS if required.

Temporary ID cards are valid for a maximum of X months, and a maximum of Y may be issued to a user.

Temporary ID cards can be scanned and verified online in the same way as all other cards.



## Verifying

Cards can be verified at any time by any person by either scanning the card's QR code or using the HOPS website.

- Via the website:

When using the HOPS website select 'Verify HOPS ID Card' from the home page (if not logged in), or select 'Check HOPS ID Card' from the HOPS ID Card menu when logged in (permission 316 required). [Note this permission is simply to keep the menus tidy for users who don't require to check cards. Not having the permission will hide the menu option but the page can still be accessed by anyone if they know how.]

Enter the card number in the box.

The result of the check will be visible, highlighted in red or green.

For more details, the user can enter the four-digit code printed on the rear of the card (this proves (within reason) that they have the physical card in their possession. The information subsequently revealed is the same as that on the card. This allows the validity of the card to be checked, by without revealing any information that isn't already visible to the checker by being on the card. (This guards against any additional information being discovered by a person who finds a lost card.)

A link to the user's competence profile is given at the bottom of the details. If the checker is not already logged in, or does not have permission, they will be directed to the log in screen before the competence profile is shown.

- Via the QR code.

Scan the QR code on the ID card with any QR code reader. The QR code will direct to a URL which is the same as if the checker had visited HOPS and entered the card number.

The QR code does not contain any more details about the card than its number and the URL of the HOPS Card Checking page.

## PART B – ID Card Management Policy

This is the local management policy for ID cards which the HOPS system is designed to support. Each organisation may call their ID card by a slightly different name, suggested name is 'Work Permit' or 'Permit to Work'. The name used is the name of the Competence Element which is printed on the card.

The paragraphs below refer initially to a user obtaining their ID Card on a rolling cycle. The process for new users is shown after.

### Obtaining an ID Card

Users may obtain an ID Card by one of the following methods:

- Returning their ID Card application. This is manually checked against the user's details in HOPS by the admin clerk and an ID card generated at that time.
- Local request method. Users request an ID Card via a local method and when that is received the admin clerk generates a card for the user using HOPS > HOPS ID Cards > Generate ID Cards.
- The user requests their own ID Card via HOPS. (FUTURE)

In requesting their ID Card users are committing to the terms and conditions of working for the organisation, and confirming contact details are correct. Annually is a reasonable frequency with which to actively check users' contact details remain accurate and update them if they aren't.

### ~~Local~~ Processing and Production

The admin clerk 'processes' the generated cards into Competence Element Records when convenient and at whatever intervals are convenient.

~~The admin clerk can then print the cards using the PDF download link.~~

~~The cards will be activated immediately if this is how the competence element is configured.~~

~~The printed cards can then be delivered to the user.~~

### ~~Central~~ Processing and Production

The generated cards are ~~processed and~~ produced automatically by HOPS on a ~~fortnightly~~ basis.

The cards will be activated immediately if this is how the competence element is configured.

The printed cards are then delivered to the organisation [or directly to the user if arranged].

### Activation

If required, cards are activated when given to the user, or when received by the user.

## New Users

When a new user joins the organisation it is important they are properly registered and equipped from their first day, but it is acknowledged that some new staff attend on one or two occasions and then never attend again and it would be wasteful to apply the full ID Card system to these staff. It is also sometimes desirable to wait to issue a full ID Card to a new person until they have undertaken induction/PTS/etc. In many cases a new person may need to meet a certain threshold of work done before they are entitled to discounts etc that an ID Card provides.

The Temporary ID Card Scheme facilitates this.

When a new user joins they will complete the ID Card application form. This includes reference to the conditions of working under which the card is issued. The organisation issues a hand-written temporary ID Card from a stock of pre-printed cards.

Holders of Temporary ID Cards:

- are new to the organisation
- have not undertaken the inductions/basic training required of all volunteers/staff

and therefore not familiar with all the local practices and rules.

Holders of Temporary ID Cards:

- may not work alone
- may not obtain a competence
- may train for certain roles as determined by the organisation
- must make themselves known to the group in which they are working, at the start of the work, that they have a Temporary ID Card. The person in charge of the group will know to specially supervise that person.

When a new person has undertaken all the induction sessions required a full ID Card is generated by the admin clerk. This is processed in the normal way and supersedes the temporary ID Card.