



To ESR Executive Sponsors
and
SHA Registration Authority (RA) Leads

Electronic Staff Record

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Dear colleague

ESR Move to NHS Care Records Service (CRS) Smartcard Access

ESR is moving to NHS CRS Smartcard facilitated access as part of the drive to improve information governance for all personal identifiable data held by the NHS. This will provide ESR with the e-GIF Level 3 security required to effect changes on the NHS CRS through the forthcoming interface between both systems. It will also ensure staff data is secured to the same level as patient data.

HR functions currently update ESR when changes are made regarding an employee's assignment to an established position. The ESR interface will be triggered by such changes and will automatically update an individual's access rights to NHS CRS compliant systems, reflecting the requirements of their new position.

It will enable the management of access control via a single point of data – the change to the employee's position within ESR.

The move to NHS CRS Smartcard access is scheduled to take place between May and August 2009, during which time your Registration Authority function will need to lead the project for all ESR users to transition from the existing login process to using the NHS CRS Smartcard to access ESR.

Support for the transition to NHS CRS Smartcard access to ESR is provided by the central ESR Data Team, but **your organisation will need to allocate itself to one of four data loading slots between May and August 2009**. 'Move of ESR to NHS CRS Smartcard Access' (attached), provides further details on the move to NHS CRS Smartcard access and instructions explaining how to allocate your organisation to one of the four slots. Please ensure your Registration Authority Manager, in consultation with your HR and IT teams, allocates your organisation to one of these by following the information presented within the briefing.

Further detail surrounding the ESR to NHS CRS interface will be communicated to the NHS within the next month.

Yours sincerely

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ESR Programme Director

Philip Brown
Head of Access Control, NHS Connecting for Health

Encl:
Move of ESR to NHS CRS Smartcard access

Move of Electronic Staff Record (ESR) to NHS Care Records Service (CRS) Smartcard Access

1. Purpose

This document provides background to and details of the move of the ESR system from a user name / password mechanism to the use of the NHS CRS Smartcard for user access.

It also outlines the actions required by your organisation to ensure your allocation to one of the go live slots between May and August 2009.

2. Actions required by NHS organisations in England:

- **Request allocation to one of four data load slots between May and August 2009 for your NHS CRS data to be loaded into ESR**
- **Follow the NHS CRS Smartcard implementation guidance set in the document 'M-3970 ESR NHS CRS Smartcard Login Enablement' (available late April 2009)**
- **Deploy the Java Runtime Environment (JRE) software on ESR users' computers in advance of the ESR Smartcard deployment (detailed in an ESR user notice due in April 2009).**

3. ESR Move to NHS CRS Smartcard Access – key points

- Use of the NHS CRS Smartcard for access will not give ESR users access to patient data.
- The move of ESR users away from the current user name / password mechanism to the use of NHS CRS Smartcard for user access will ensure staff data is secured to the same level as patient data.
- ESR requires NHS CRS Smartcard access to be able to effect changes on NHS CRS automatically through the forthcoming interface between ESR and the NHS CRS.
- All ESR users need to move from the existing username and password logon arrangement to using the NHS CRS Smartcard. This includes Manager and Self Service users.
- NHS CRS Smartcard allocation to ESR users will need to be undertaken by your organisation's Registration Authority (RA) function, in line with standard NHS CRS Smartcard issuing processes.
- The ESR Data team will provide assistance with the process to load the necessary NHS CRS data into ESR.
- Detail of the Smartcard implementation steps is covered in document 'M-3970 ESR NHS CRS Smartcard Login Enablement' which is currently in draft format pending completion of a pilot phase. This document will be updated with the learning from the pilot sites and made available in April 2009.
- The move of ESR to NHS CRS Smartcard access is targeted to take place earlier than deployment of the ESR to NHS CRS interface.
- Organisations that are deploying ESR Manager and Employee Self Service may wish to complete the move to Smartcard access early to prevent the need to migrate large numbers of staff from the existing user name / password mechanism to using NHS CRS Smartcard access.
- Sun JRE (Java Runtime Environment) software needs to be installed on end users' computers in advance of the NHS CRS Smartcard deployment. The NHS ESR Data team will be managing this transition – and will be communicating to IT departments through an ESR User Notice user notice during April 2009.

4. Implementation and Support

- The move to allow ESR users to access the system with an NHS CRS Smartcard will be led by your organisation's RA agents, who have responsibility for deploying NHS CRS Smartcards.
- Some HR input (from local ESR system administrators) will be necessary in this process. If your organisation has not yet commenced looking at HR and RA business process integration, this would be the ideal opportunity to start.
- Input from your IT function will also be necessary to assist in making some adjustments to ESR users' computers, such as the provision of an NHS CRS Smartcard reader and the installation of desktop software.
- It will be necessary to identify all current ESR users and for your RA function to add these users to the NHS CRS Spine User Directory and issue them with an NHS CRS Smartcard, in line with standard RA processes
- The addition of ESR users to the NHS CRS Spine User Directory will generate a Unique User Identifier (UUID) – this will then either need to be loaded electronically (via one of the data load slots mentioned above) to the employees' records on ESR or manually added (where there are small numbers of ESR users).
- Once the UUID is added to the ESR user's employee record, they can then login to ESR via the NHS CRS Smartcard; the first login using the Smartcard disables the traditional login.
- All security within ESR, controlled by the allocation of User Responsibility Profiles (URPs) will remain the same.

For all but the smallest groups of ESR users, a service will be provided by the NHS ESR Data team to migrate the NHS CRS UUIDs into ESR. This will involve extracts of data being taken from ESR and the NHS CRS Spine User Directory, matched electronically based on key data such as name and national insurance number, and reports being generated showing any mismatches. Corrections may need to be made locally to either Spine User Directory or ESR entries to ensure that all records match prior to loading.

5. Further Information and Next Steps

- In order to initiate the process for your organisation's move to ESR access via NHS CRS Smartcard it is necessary for you to request a preferred data load slot between May and August 2009. Allocation will be on a first come, first served basis.**
- Four data loading slots are available: 28.05.2009; 04.06.2009; 30.07.2009 and 27.08.2009. The activities outlined above will need to be completed prior to your slot date; these will be outlined fully in 'M-3790 ESR NHS CRS Smartcard Login Enablement', available from late April 2009. For those organisations wishing to manually key their data it will still be necessary for a date to be agreed for completion of the work.**
- To request allocation to a slot, or for further detail please email: esr.smartcard@nhs.net and include contact details of your RA Manager.**
- Following confirmation of your organisation's data load slot, a member of the NHS ESR Data team will contact your RA Lead to agree the data load completion dates and to communicate implementation requirements.**
- Your IT function will need to action the forthcoming ESR User Notice in order to deploy the JRE desktop software to ESR users.**
- Your SHA Registration Authority Leads have been copied on this correspondence and are aware of the ESR move to NHS CRS Smartcard Access.**