

**ESR Smartcard Enablement - Supplementary Information regarding URP Lockdown
and Smartcard deployment to Self Service/NLMS Users**

1. Summary

The move to NHS Care Records Service (CRS) Smartcard access for users of the Electronic Staff Record (ESR) is being undertaken in support of a policy decision to enhance the authentication of ESR users to the same standards deployed by NHS Connecting for Health (CFH) for access to patient records. At the end of October 2009, all NHS organisations in England were using Smartcards to access ESR. Any ESR users that have not yet completed the transition to Smartcard enabled ESR access must do so immediately, **ahead of the planned removal of username and password access during October/November 2009.**

Whilst this is an idealistic aim, it is recognised that this objective may have a detrimental impact to the deployment of ESR Self Service and/or National Learning Management (NLMS) e-Learning functionality. Additionally, the interface between ESR and the CRS (expected to be available to organisations during 2010) may have further implications for the deployment of Smartcards to ESR Self Service users at a local level. These key points are addressed within this document, which provides supplementary information regarding the removal of username and password access from ESR URPs (a process known as URP lockdown) and alternative approaches to the deployment of smartcards to Self Service/NLMS users.

Please note: an NHS CRS Unique User Identifier (UUID) ESR data load facility is in place to support the move to NHS CRS Smartcard access to ESR. This facility, which saves the need to manually key the NHS CRS UUID into ESR, will be available until the end of 2010 to support the deployment of Smartcard access to Self Service and NLMS users.

2. Removal of username and password access from Core ESR URPs

ESR users with access to Core URPs identified in Columns A, B and C (refer to table 1) that have not yet completed the transition to Smartcard enabled ESR access must do so as soon as possible ahead of the removal of traditional username and password access. To assist organisations with this process the NHS Data Team distributes weekly UUID reports detailing ESR users at each organisation that have not yet been Smartcard enabled (i.e. users that do not have a UUID against their corresponding person record within ESR).

The following provides further details regarding the lockdown of core URPs and exclusions that **may** be agreed with the Central Team.

- All Organisations were required to provide authorisation to lockdown the URPs in **column A** by the end of **October 2009**. Organisations that have not yet provided authorisation are required to do so as soon as possible.
- Following the lockdown of the URPs in column A organisations are required to provide authorisation to lockdown all remaining core URPs (**column B** and **column C**) by the end of **November 2009**.
- Smartcards should preferably be issued to users requiring access to the Administrator, Manager and Supervisor Self Service URPs alongside, or prior to, the deployment of this Self

Service functionality. It is recognised however that the lockdown of these URPs (column C) may have a detrimental impact on local Self Service implementation plans. Organisations are therefore able to request temporary Smartcard exclusions for the URPs identified in column C. A completion date for the deployment of Smartcards to users of these URPs and subsequent URP lockdown will however need to be agreed with the ESR central team.

- An organisation will be unable to activate the forthcoming ESR/CRS interface until all appropriate ESR users have been Smartcard Enabled. This includes all core URPs as defined in **column A** and **column B** of the table, plus those defined in **column C**.

2.1 Actions Required

- Organisations that have not yet provided authorisation to lockdown the URPs in Column A are required to do so as soon as possible. The NHS Data Team will continue to contact each organisation that has not yet provided authorisation. Queries regarding the URP lockdown process should be directed to esr.smartcard@nhs.net
- Following the lockdown of the URPs in column A organisations are required to provide authorisation to lockdown all remaining core URPs (Column B and Column C) by the end of **November 2009**. The NHS Data Team will contact each organisation to request authorisation to lockdown these URPs.
- If temporary Smartcard exclusions for the URPs identified in Column C are required, an exclusion request should be submitted to esr.smartcard@nhs.net by the end of November 2009 (prior to providing authorisation to lockdown the URPs in column B and column C).
- Organisations requesting exclusions are required to provide planned timescales as to when users with access to the Administrator, Manager and Supervisor Self Service URPs (column C) will be deployed with Smartcards. These must be reasonable and agreed with the Central Team; the standard CFH metric that will be used when agreeing the completion date is approximately 50 Smartcards actioned per RA agent per week. Username and password access to the URPs described in column C will be removed on the agreed completion date. **The final date for the removal of username and password access to these URPs (column C) is the end of May 2010.** This date is in line with the Central Team support provided for Self Service implementations.
- If exclusions are not agreed with the Central Team, the URPs in Column C will be locked down during November 2009 (in addition to the URPs in column B), upon receipt of the authorisation letter. **Organisations must therefore consider the implications that the lockdown of these URPs may have on local Manager, Supervisor and Administrator Self Service implementations.**
- The availability of UUID load dates (if required) will be discussed and agreed based on the information that is received through this process.

3. Removal of username and password access from Non-Core ESR URPs

ESR users with access to the non-core ESR URPs identified in **Column D**, that have not yet completed the transition to Smartcard enabled ESR access, must do so as soon as possible. These URPs will not however be locked down within the November timeframe, unless specifically requested by an organisation.

The following provides further details regarding the lockdown of non-core URPs.

- Organisations are **not** required to request exclusions for the non-core URPs identified in Column D.
- Smartcards should preferably be issued to users requiring access to the Employee Self Service or NLMS URPs (column D) alongside, or prior to, the deployment Employee Self Service and NLMS functionality. It is recognised however that this approach may have a detrimental impact on future Employee Self Service and NLMS implementations. Consequently, these URPs will not be locked down within the November timeframe, unless specifically requested by an organisation.
- The NHS Data Team will work closely with organisations to agree completion dates for the deployment of Smartcards to users with access to the URPs described in column D. Username and password access to these URPs will be removed on the agreed completion date.
- The final date for the removal of username and password access to these URPs (column D) is the end of March 2011.

3.1 Actions Required

- The NHS Data Team will monitor the number of users with access to the URPs in column D and contact each organisation accordingly to agree completion dates for the deployment of Smartcards. Completion dates that have already been agreed with organisations via esr.smartcard@nhs.net will not be affected by this process.
- When organisations are contacted by the NHS Data Team they are required to provide timeframes for the deployment of Smartcards in order for a completion date to be agreed with the Central Team. The standard CFH metric that will be used when agreeing completion dates is approximately 50 Smartcards actioned per RA agent per week. Username and password access to the URPs described in column D will be removed on the agreed completion date. **The final date for the removal of username and password access to these URPs (column D) is the end of March 2011.** This date is in line with the Central Team support provided for Self Service implementations.
- The availability of UUID load dates (if required) will be discussed and agreed based on the information that is received through this process.
- Queries regarding the URP lockdown process should be directed to esr.smartcard@nhs.net

Table 1 – summary of ESR URPs in relation to Smartcard Access: **Core URPs – required to be Smartcard enabled for the ESR/CRS interface** **Non-core URPs - not required for interface activation**

A	B	C	D
Core URPs – required to be Smartcard enabled prior to ESR/CRS interface activation			Non-core URPs - not required for interface activation
Authorisation to lockdown URPs required no later than 31/10/09	Authorisation to Lockdown URPs required no later than 30/11/09	URPs that may be agreed as exceptions to the 30/11/09 deadline, but must be Smartcard enabled prior to the ESR/CRS Interface activation (these exceptions to be agreed with the ESR team). The final date for the removal of username and password access to these URPs is the end of May 2010.	URPs that are not required for interface activation but need to be completed as soon as possible. The final date for the removal of username and password access to these URPs is the end of March 2011.
xxx HR Administration	xxx Absence Administration	XXX Administrator Self Service (Payroll Approvals Required)	xxx e-Learning User
xxx HR Administration (With RA)	xxx Absence Data Entry	XXX Administrator Self Service (Payroll Approvals Not Required)	xxx Employee Self Service
xxx HR Data Entry	xxx Bank Administration	XXX Manager Self Service (Payroll Approvals Required)	xxx Learning User
xxx HR Data Entry (With RA)	xxx Career Management	XXX Manager Self Service (Payroll Approvals Not Required)	xxx Learning Administration
xxx Local Workstructures Administration	xxx Disco Ad Hoc	XXX Supervisor Self Service	
xxx Payroll Administration	xxx Element Entry- All Elements		
xxx Payroll Data Entry	xxx Element Entry- Expenses		
xxx Payroll Super Administration	xxx Element Entry- Timesheets		
xxx RA Workbench	xxx Employee Relations Administration		
	xxx Finance Reporting		
	xxx Finance Reporting and Hub Mapping		
	xxx HR Management		
	xxx Inter Authority Transfer Approval		

A	B	C	D
Core URPs – required to be Smartcard enabled prior to ESR/CRS interface activation			Non-core URPs - not required for interface activation
Authorisation to lockdown URPs required no later than 31/10/09	Authorisation to Lockdown URPs required no later than 30/11/09	URPs that may be agreed as exceptions to the 30/11/09 deadline, but must be Smartcard enabled prior to the ESR/CRS Interface activation (these exceptions to be agreed with the ESR team). The final date for the removal of username and password access to these URPs is the end of May 2010.	URPs that are not required for interface activation but need to be completed as soon as possible. The final date for the removal of username and password access to these URPs is the end of March 2011.
	xxx Inter Authority Transfer Initiation		
	xxx Local HRMS Systems Administration		
	xxx Local HRMS Systems and User Administration		
	xxx Local HRMS User Administration		
	xxx Local Reports		
	xxx Occupational Health Administrator		
	xxx Payroll Audit		
	xxx Pensions Administration		
	xxx Recruitment & Applicant Enrolment Administration		
	xxx Recruitment & Applicant Enrolment Data Entry		
	xxx Recruitment Data Entry		
	xxx Vehicle Administration		
	xxx Vehicle Administration & Expenses		
	xxx Vehicle Administration & Payroll Data Entry		

Please note: all ESR URPs should be Smartcard enabled. URP list is correct as at 6 October 2009