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# THE ELECTRONIC STAFF RECORD PROJECT



NATIONAL HEALTH SERVICE

## M-3980 NHS CRS TO ESR DATA MATCHING USER GUIDANCE

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## 1. Document Control

### 1.1. Change Record

Date	Author	Version	Change Reference
03/07/08	Sean Murphy	0.1	Draft Document.
16/07/08	Sean Murphy	0.2	Updated following Alexia Rothwell comments received.
22/07/08	Sean Murphy	0.3	Updated following Stuart Fox comments received.
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29/08/08	Sean Murphy	0.4	Updated following additional comments from Stuart Fox
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04/11/08	Sean Murphy	0.6	Updated following review/meeting with Allan Morris, Alexia Rothwell and Steven Finney prior to handover to Alexia's team
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23.06.09	Steven Finney	1.1	Updated following inclusion of additional tests within the Data Matching report
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### 1.2. Reviewers

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### 1.3. Distribution

Copy No.	Name	Location
1	NHS Library Master	NHS RPP Project Library
2	File Copy	CFH Access Control Document Repository
3	File Copy	CRS Project Library (Data Analysis)

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## 3. Introduction

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### 3.1. Background

Data is currently held independently on both the ESR and NHS CRS systems for individuals who are both NHS employees and users of NHS CRS compliant systems. This creates an additional overhead on HR/RA resources by maintaining two sets of data, and also gives scope for inaccuracies to be introduced across the two systems.

As part of the Integrated Identity Management initiative a number of NHS CRS data items need to be loaded into the ESR system (in particular the NHS CRS UUID) so that an Employee can be accurately identified across the two systems.

Separate data matching will need to be performed for each of the following groups of individuals:

1. ESR users
2. All individuals who are both NHS employees and users of NHS CRS compliant systems

ESR users are expected to move to access by NHS CRS Smartcard as soon as possible as covered by communications issued to NHS organisations in England in April 2009 and as per the detailed steps contained within the [M-3970 ESR Smartcard Login Enablement Implementation Guide](#).

Data relating to all other individuals with matching employee records on both ESR and the NHS CRS Spine User Directory (SUD) will be loaded as part of the implementation of the interface between ESR and NHS CRS. This is expected to take place at a later time than the ESR user load and will be after the completion of a number of other pre-requisite activities that are also part of the Integrated Identity Management Initiative including the implementation of new registration software, UIM (User Identity Manager). A forthcoming guide for the implementation of the ESR interface will explain in more detail how the data matching and load process fits within the wider initiative.

A matching application has been developed that takes an extract data file from ESR and matches this to an extract file from the Spine User Directory (SUD), using data items common across both systems, such as National Insurance Number combined with Surname. Where an exact match on NI Number and Surname between ESR and CRS can be established, the matching application will output a file containing the NHS CRS data items that can then be loaded into ESR. Where it is not possible to identify an exact match, a suite of Data Cleansing reports (Excel format) will be produced that detail where the two sets of extract data differ (including blank fields).

Your organisation will need to determine whether to use the data matching application and data load process or to manually associate records. Manual set up involves the entry of the SUD Unique User Identifier (UUID) against the ESR user's person record on ESR. It should be noted that it is critical that the correct UUID is entered. If an incorrect value is entered then it may be possible for the employee to sign on as a different employee (if their UUID value of their Smartcard, and they work in the same organisation is the same as the incorrect value entered) which is a serious breach of security. It is strongly recommended that this data entry is verified by a second person prior to committing to the ESR database. Other factors to consider when making this decision include: available resources, the number of records to be loaded, timeframe for loading records and so on. You should inform the NHS Data Team if you intend to use manual data entry and the expected time frame for completion.

Manual entry of the UUID field is also necessary to manage any new or changed ESR user records prior to the ESR interface to NHS CRS being activated. Following activation of the ESR interface the UUID field will not be available for input. Instead a lookup facility will be available from ESR to select and link SUD records to employee records on ESR.

**Note: For the purposes of this document, data extracted from the SUD will be referred to as the NHS CRS extract or NHS CRS data.**

## 3.2. Scope

The scope of this user guidance is to detail the activities to be undertaken when using the data matching application and load procedure to ensure the two systems contain consistent data and to explain how the Data Cleansing reports can be used as guidance in aligning the relevant data fields across ESR and NHS CRS.

The user guidance is intended for those responsible for the required data cleansing exercises on both the ESR and NHS CRS Systems, such as Project Leads, RA Managers and ESR Administrators.

Due to the importance of Data Protection, the method of obtaining data extract files by the NHS ESR Central Team, and the process of delivering Data Cleansing reports to the relevant organisation will also be explained within this document.

## 3.3. Definitions

A number of acronyms are in use throughout this document and for reference a simple glossary follows to explain the system or function that each one represents:

**e-GIF Level 3.** Security standards for access to government systems. e-GIF (Government Interoperability Framework) Level 3 refers to policies and standards to enable information to flow seamlessly across the public sector and provide citizens and businesses with better access to public services.

**Integrated Identity Management:** The development of closer integration between the currently separate processes involved in capturing and managing staff identity, and controlling access to the NHS Care Records Service (NHS CRS).

**NACS:** National Administrative Codes Service. These are codes allocated by NHS Connecting for Health that provide a unique identification record for any organisational entity at almost any level, be that an NHS Trust or PCT, or one of its hospitals. Used by IT systems to identify locations reliably, quickly and easily. The NACS coding structure provides a picture of the NHS' organisational hierarchy, and the links between the various organisations at different levels. Each VPD will have an equivalent NACS code at the highest organisational level.

**NHS CRS:** The NHS Care Records Service will help NHS organisations in England to store patient health care records on computers that will link information together quickly and easily. An NHS CRS Smartcard will give a user access to the NHS CRS and other National Programme for IT (NPfIT) applications such as Choose and Book and the Electronic Prescription Service.

**NHS CRS Data:** Data that is received from the SUD will be referred to as NHS CRS data. In the context of this document this is limited to:

- When a user inserts their NHS CRS Smartcard, the ESR Smartcard login functionality will use Identity Agent software to validate that they are a registered and active user on NHS CRS before allowing entry to ESR.
- The NHS CRS extract data that is used for populating the NHS CRS UUID within ESR.

**NHS CRS Smartcard:** A plastic card containing an electronic chip (like a chip and PIN credit card) that is used to access the NHS CRS and other NPfIT applications, along with a Passcode. The chip does not contain any personal information. The combination of the NHS CRS Smartcard and Passcode together provide high levels of security and confidentiality.

**NHS organisation:** Any organisation using ESR will be referred to as an "NHS organisation" within this document. This can be any single entity that translates to a unique VPD within ESR. It is recognised that one NHS organisation can support several other NHS organisations, in particular in a shared service environment. To that end, updates or process changes required on ESR should be applied to each individual VPD within an NHS organisation or shared service managed group. Each ESR VPD will have an equivalent NACS code at the highest Organisational level.

**UIM:** User Identity Management is the new registration software which will provide the electronic management of access control which is replacing the current paper based registration process (expected to be available in late 2009).

**UUID:** The User's Unique ID Number is used by all NPfIT applications to uniquely identify the user to the application. The UUID is the 12 digit number displayed on the NHS CRS Smartcard, Occasionally called the UID (Unique ID Number). ESR will also hold the NHS CRS UUID against employee records so that it can validate that the employee has an active registered entry on NHS CRS.

**VPD:** Virtual Private Database is a database security facility developed within the ESR application. Each of the 586 NHS organisations using ESR use exactly the same application over the same database at the same time, but can only see the employee data relating directly to their individual organisation.

## 4. Obtaining Data Extract Files

There are two Data Extracts to be used for the matching exercise:

### 4.1. ESR Extracts

An extract file will be produced per VPD that details information to identify the employee: including ESR Employee Number, National Insurance Number, First Name and Family Name. Following analysis of data held on both ESR and NHS CRS, it was deemed that National Insurance Number and Employee Names are the most reliable data items present in both systems. The NI Number is also the only unique identifier within ESR that is also held within NHS CRS. The extract will contain all people that are or have been employees of the NHS organisation (i.e. system\_person\_type on ESR like 'EMP%' or 'EX\_EMP%')

The extract will be placed within a secure folder on the McKesson network, and will at no point be copied or posted outside of the network. Access to this folder will be restricted to the NHS ESR Data Team.

The ESR extract will contain the following data items:

- ESR Employee number
- VPD Number
- System Person type (i.e. Employee or Ex-employee)
- National Insurance Number
- Family Name
- First Name
- Primary Assignment Organisation
- ESR Primary Position Code

### 4.2. NHS CRS Extracts (Spine User Directory)

Permission must be obtained from the RA manager or the person responsible for Information Governance for each NHS organisation in order for the ESR NHS Data Team to obtain data extracts from NHS CRS. The permission will only be needed once and will cover all subsequent extracts, if required. A suggested template wording of this permission will be e-mailed to the organisations during implementation. It is imperative that permission is granted at an early stage of the engagement so that the matching process can be initiated in a timely manner.

**Note:** Further iterations of the NHS CRS extract may be taken if required, so that data cleansing can be tracked and monitored to allow your organisation to assess data cleansing progress.

The NHS CRS extract will contain the following data items:

- Trust Identifier - NACS Code
- NHS CRS UUID
- Title
- First Name
- Middle Name
- Family Name
- Display Name (Contains full name)
- NI Number
- e-GIF Level Flag
- Identifier (Contains three joined fields, UUID, "People" and "NHS")
- Timestamp

The e-GIF level field will be used by the Data Matching Tool to ensure that only e-GIF level 3 records are loaded for ESR users for the move to NHS CRS Smartcard access to ESR.

During the implementation of the interface, all employees that are matched between NHS CRS and ESR will be loaded, with the e-GIF flag being used to set their Authenticated status to 'Yes' or 'No' within ESR.

## 5. Data Cleansing Reports

The matching application produces a comprehensive set of Data Cleansing reports, all of these are contained within one Excel workbook, each report occupying a separate worksheet. The matching takes place at a NACS to VPD level. The relevant NACS code(s) will have been given within the completed Authorisation to Extract letter provided by your organisation (as outlined in the M-3970 ESR NHS CRS Smartcard Login Implementation Guide at Section 5.1). The cleansing requirements are categorised separately so that the various issues can be clearly identified and addressed consistently.

Where organisations have elected to use the data load option, it is the responsibility of the RA function to ensure that the actions for cleansing are taken and are completed by the appropriate function within your organisation. A balance between cleansing pre data load, manual migration after the data load or use of the search functionality of the interface (dependent on timing of the interface activation) needs to be considered. People whose records are not matched during the data load will still have user name and password login access to ESR; manual entry of the UUID as described above will need to be undertaken for these records as soon as possible and prior to removal of this means of access to ESR. (Note that the exact date for this is yet to be determined). Note: Manual Data entry is disabled following activation of interface but a look-up function is available within ESR.

As an organisation, you will be given a workbook that contains the following worksheets:

- Summary Information;
- UUID Not in NHS CRS;
- Matched Successfully;
- Duplicate NI Numbers;
- NI Number Matched, Name not Matched;
- Name Matched, NI Number Not Matched;
- Unable to Match;
- Different UUID found for Person record in ESR;
- Different UUID exists within ESR for the employee;
- UUID already exists within ESR for a different employee;
- CRS Job Role is Null;
- ESR User Profile not linked to Person record.

**Note:** The reports relating to sections 5.2, 5.5, 5.6, 5.8, 5.9 and 5.10 will detail all the data items that are present in both the ESR and NHS CRS extracts for completeness. The remaining reports comprise summary information as appropriate.

### 5.1. Summary Information

This worksheet shows the total number of matches and mismatches across the relevant organisation (by NACS code). This sheet should be used as a reference for overall data quality, and for tracking that improvements are being made between each data cleanse cycle. There is no action required by your organisation for this report.

### 5.2. UUID not present in NHS CRS (ESR users move to NHS Smartcard access only)

During the move to NHS CRS Smartcard access for ESR users, the NHS ESR Data Team will issue a data collection template to each NHS organisation which will need to be populated with the details of all ESR Users who require an NHS CRS Smartcard. This template will be used by the NHS ESR Data Team to limit the data cleansing reports to those employees covered within the scope of this implementation. Please refer to M-3970 ESR NHS CRS Smartcard Enablement Implementation Guide for further details.

This report details all of the ESR User records provided within the trust template that do not appear within the NHS CRS data extract. The ESR user template should be populated with all employee records who

require access to ESR, which can be established by running the Active Responsibilities report within ESR (as covered in the M-3970 document Section 5.4).

**ACTION REQUIRED:**

- It is possible that the record has been set up within the SUD after the NHS CRS extract has been taken. The organisation must ensure that all records provided within the template are setup before the NHS CRS extract is taken. Any records set up after the final NHS CRS extract has been taken will need to be entered manually by your organisation.
- The trust user template should be checked ensuring that the UUID has been populated correctly.

### 5.3. Matched Successfully

This report details all of the employees who have successfully had an exact match, based on National Insurance Number and Family Name. As data cleansing progresses more matched records will appear in this report until a stage is reached where all employees which your organisation plans to include within the data load, with corresponding records between ESR and the SUD are listed. There is no action required by your organisation relating to this report; however it is recommended that a sample of employee records are manually checked, using the UUID, against what is held within NHS CRS.

This report shows the data that will be used to load NHS CRS data into ESR.

### 5.4. Duplicate NI Numbers

This report details all the employees from the NHS CRS extract who have duplicate National Insurance Numbers. This scenario will arise if a record has been set up more than once on NHS CRS within the same NACS code. It is also possible that an old record has not been closed down properly.

**ACTION REQUIRED:**

- The employees should be checked and verified as correct on the NHS CRS, duplicate employees should be managed using the guidance provided for duplicates on SUD (NPFIT-SI-KEY-0101 06 duplicate\_entries\_in\_SUD). If the NI Number is incorrect, then the correct National Insurance Numbers should be populated within NHS CRS or ESR, depending on which is determined to be the correct value.

### 5.5. NI Number Matched, Name not Matched

This report details all employees who have a matching National Insurance Number on both the NHS CRS and ESR extracts, but the Family Name does not match. Typically, the employees who fall into this cleansing category will be married women who have had a change of family name or use their different family name in the two systems.

This check will prevent the CRS UUID loading into ESR.

**ACTION REQUIRED:**

- This mismatch requires your organisation to identify which system is incorrect, and to update it accordingly. Either or both NHS CRS and ESR records for the employee need to be corrected to the current family name. The matching tool is unable to identify which system holds the correct value. It is known, based on analysis of data from some organisations, that employees with hyphenated names are often entered differently. Once the Interface is activated and a UUID has been loaded into ESR against an employee, ESR will overwrite the NHS CRS name for the employee if the name held within ESR is different to that in NHS CRS
- Where the ESR name is different from the one on NHS CRS (which has been previously identity checked to e-GIF level 3) and the ESR name is the name that is to be retained, an RA05 form needs to be completed and proof of name change provided and checked by the RA manager or agent. For more details refer to *“Appendix A: Name Changes (Personal Details)”*.

### 5.6. Name Matched, NI Number not Matched

This report details all employees whose First Name and Family Name match exactly, but not their National Insurance Number.

It is expected, following sample tests, that the majority of data cleansing required will be due to missing National Insurance numbers in NHS CRS. National Insurance Number is both mandatory for payments to be made in ESR, and to correctly link the individual user between NHS CRS and ESR.

This check will prevent the CRS UUID loading into ESR.

**ACTION REQUIRED:**

- You should determine the missing National Insurance Numbers and populate these in NHS CRS. The National Insurance Numbers may be highlighted as part of the matching exercise or by asking the individual for their number. After update the error will no longer appear as subsequent extracts will be correctly populated.
- In a small number of cases the National Insurance Numbers may contain transposed figures (for example NHS CRS = AA123123AA and ESR = AA123132AA). It is not possible for the data matching tools to determine which number is correct (although ESR is more likely to hold the correct value because it is a payroll system) therefore investigation is required by the NHS organisation.

## 5.7. Unable to Match

This report details all records from the NHS CRS extract that do not have a match to an ESR record after checking National Insurance Number, Family Name and First Name.

ESR External Shared Service Staff person records that have been created within ESR will appear within this report. When ESR person records are created with the External Shared Service Staff person type they are not assigned an ESR Employee Number and therefore cannot be loaded as part of the automated load process. Such records will have a supporting message within the report identifying them as being External Shared Service staff, and that they will need to have the CRS UUID entered manually into ESR following the data load. This activity will however need to be co-ordinated with the Shared Service provider. (See M-3970 for further information around External Shared Service Staff).

Note for Smartcard enablement of ESR user access only: records that are not registered on NHS CRS to e-GIF Level 3 will appear within this report. All Smartcard enabled ESR users must be registered to e-GIF Level 3. Such records will have a supporting message within the report identifying them as being non e-GIF level 3, and that they will need to be registered to be included within the data load.

This check will prevent the CRS UUID loading into ESR.

**ACTION REQUIRED:**

- It is possible that these employees are employed by a completely different organisation to that being matched, possibly because of an inter authority transfer between different ESR organisations. The employees must be checked by the NHS organisation's HR team (i.e. the organisation from which the NHS CRS extract is taken from) to determine if they are present on ESR (ensuring the correct VPD is viewed from the NACS code group).
- It is also possible these employees may belong to a Shared Service provider organisation or are non NHS employees paid by ESR. Guidance on dealing with such employees is provided within M-3970 ESR Smartcard Login Enablement. Please also see section 6.1 below.
- Another possibility is that the record is for an ex-employee on ESR where the SUD record for your organisation has not been closed. In this scenario the NHS organisation will need to close the appropriate organisation person record on the SUD.
- For External Shared Service staff it will not be possible to include the CRS UUID within the automated load process, as the record does not have an ESR Employee Number. You will need to manually enter the CRS UUID into ESR following the data load. This activity will need to be co-ordinated with the Shared Service provider.
- Note for Smartcard enablement of ESR user access only: For non e-GIF level 3 staff, it is not possible to include these within the automated load, as they have not been registered to the appropriate level. Please ensure that all records are registered to e-GIF level 3 before the final NHS CRS data extract is taken for the data load.

## 5.8. Different UUID found for Person record in ESR

This report details records where the Person record against which the UUID is to be loaded against already has a different CRS UUID populated in ESR.

This check will prevent the CRS UUID loading into ESR.

### **ACTION REQUIRED:**

- Please can you check that the UUID populated is correct and matches what is held within CRS UUID for this person. If the UUID Number held in CRS is different, please update ESR with the correct information.
- If the correct CRS UUID is populated, please check NHS CRS to ensure that employee does not have 2 separate records set up within NHS CRS. If multiple records are present, then you will need to ensure that only one instance of the employee exists within NHS CRS. A person should only be associated with a single CRS UUID.

## 5.9. Different UUID exists within ESR for the Employee

This report details all records where a different CRS UUID already exists within ESR for a person record with the same NI Number and/ or NHS Unique Identifier, but with a different ESR Employee Number. The NHS Unique Identifier is a field held on ESR which links multiple employee records for the same person together. This field is not visible within ESR and is set to the same value where NI Number and Date of Birth are the same. This test is different to the test above as the ESR Employee Number is different.

This check will prevent the CRS UUID loading into ESR.

### **ACTION REQUIRED:**

- Please check NHS CRS to establish whether the UUID held against the employee in ESR is correct.
- If the UUID is not correct, please contact the matching organisation and ask them to update the UUID populated on ESR so that it is correct and matches the UUID held against the employee on NHS CRS.
- If the UUID does match the UUID held on CRS or the matching organisation confirms that the correct CRS UUID is populated, please check NHS CRS to ensure that employee does not have 2 separate records set up within NHS CRS. If multiple records are present, then you will need to work with the other organisation and ensure that only one instance of the employee exists within NHS CRS. A person should only be associated with a single CRS UUID.

## 5.10. UUID already exists within ESR for a different employee

This report details all records where the CRS UUID already exists within ESR, but for an employee with a different NI Number and/ or a different NHS Unique Identifier. The CRS UUID must be unique to an individual, as it is used as a link to the individual's record on NHS CRS.

Within the report, data items that begin with the field heading 'Matched' refer to the data of the record being loaded. The data items that begin with the field heading 'ESR' refer to the conflicting record already held within ESR.

This check will prevent the CRS UUID loading into ESR.

### **ACTION REQUIRED:**

- The UUID being loaded into ESR for the employee will be the value as held within NHS CRS, as it is taken directly from the NHS CRS data extract. You will need to determine whether the employee record the UUID is trying to load against is the correct employee.
- Use the supporting information to compare the two records. If the records appear to be the same person, but the NI Number is different between the two trusts, you will need to establish the correct NI

Number for the employee. If it is your organisation that holds the incorrect NI Number please update ESR with the correct value. If it is the matching organisation that holds the incorrect NI Number, please contact the organisation and arrange for the NI Number to be corrected.

- If it is the NHS Unique ID that is different between the two organisations then it is likely that the Date of Birth is also different between the 2 organisations. Please ensure that the correct Date of Birth is held for the employee on ESR for both organisations. This will automatically correct the NHS Unique for both employees on ESR.
- If the two records appear to be completely different, please check that the CRS UUID provided is correct for the employee on NHS CRS. If it is correct, then you will need to contact the matching organisation and inform them that they have a CRS UUID populated against the wrong employee, and this will need to be removed immediately.

## 5.11. CRS Job Role is Null

This report details all of the records where the CRS Job Role is null. The Identity Agent (IA) logon authentication process requires a Role or Activity to be present within NHS CRS, although there is no Role or Activity specifically for ESR access. Consequently, the Activity or Role of R8008 should be used (as this has no other baseline activities associated with it), unless the user has an existing Role (and Area of Work or Additional Activities) for access to NHS CRS applications: these should not be altered.

This check will not prevent the CRS UUID loading into ESR, but will prevent access to ESR via a Smartcard.

### **ACTION REQUIRED:**

- You will need to find the person on NHS CRS and assign a Job Role to the record. After update the error will no longer appear within the reports, as subsequent NHS CRS extracts will have the Job Role populated.

## 5.12. ESR User Profile not linked to an ESR Person record

This report details all of the records that have an ESR user profile that is not linked to a person record within ESR. In order for the smartcard to successfully authenticate and allow the user to login into ESR, the user profile must be linked to the associated person record. For each record a message will be included within the report informing that a person record will need to be linked to the user profile prior to the CRS UUID data load.

This check will not prevent the CRS UUID loading into ESR, but will prevent access to ESR via a Smartcard.

### **ACTION REQUIRED:**

- If the person record already exists, you will need to link the ESR user profile to the ESR person record.
- If the person record does not exist, then an appropriate record will need to be set up within ESR and the user profile linked the person record.

If you have any queries regarding the matching reports, please raise these with the NHS Data Team who will be able to provide further assistance.

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## 6. NHS Organisation Additional Requirements

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### 6.1. Cleansing “Not Required” (ESR Interface Implementation only)

Some staff have access to NHS CRS but are not employees of the NHS organisation. Examples are pharmacists and GPs whose access to NHS CRS is managed by the RA function of a PCT. These staff will be reported as unmatched records as they are in the NHS CRS extract but not within the ESR.

These records should be excluded from the data matching process and cleansing reports as there is no requirement to load any data into ESR for them and they would otherwise reduce the overall level of matching records. To assist with this, The ESR NHS Data Team has developed a facility to enable you to confirm which records should be excluded from the data cleansing reports. Following the receipt of the first “full” cleansing report, your RA staff have the opportunity to identify the records of individuals to be removed, and return this to the ESR NHS Data Team. There will be a drop down box within the Data Cleansing report against each record, from which you will be able to select to exclude the record from the matching process in future. These records will then be excluded from future reports.

If your organisation elects not complete this process these records will be included within the Data Cleansing Reports. This will result in the Summary Information not reflecting your organisation’s actual remaining cleansing requirements for the data load.

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## 7. Data Cleansing Report Distribution

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Once produced, the data cleansing report will be forwarded to a nominated user in your organisation who must have an NHS.net e-mail account. The use of NHS.net mail will ensure that all data transferred between your organisation and the NHS Data Team remains encrypted and secure at all times.

As a result it is a prerequisite that you identify an employee who will own the Data Cleansing, and ensure that the same individual has an NHS.net e-mail account created. These details (employee name and e-mail address) should be forwarded to the NHS ESR Data Team as soon as they are known.

In the event an NHS.net mail account can not be set up by the NHS organisation, the report will be encrypted using SafeGuard PrivateCrypto using a 256bit key length, and mailed to the users NHS organisation account.

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## 8. Additional Cleansing Initiatives

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To assist with the cleansing, NHS Connecting for Health and the ESR project team are working to produce reports to show:

- Duplicate entries on the SUD i.e. more than one UUID for the same employee;
- Missing National Insurance Numbers on the SUD.

Both of these reports will cover all organisations with records on the SUD i.e. not limited to ESR organisations. These initiatives will be communicated in more detail by NHS Connecting for Health. It will be necessary for your RA function to liaise with the RA function at the corresponding organisations, in order to resolve the conflicts highlighted within the report.

It is important that both reports are actioned by your organisation, as both have an affect on the data cleansing requirements of your organisation. It is not possible for a record to be loaded during the data load if the NI Number is missing. This is a key data item which is used during the matching process.

**NOTE: It is not possible to load more than one UUID against the same employee within ESR. If an employee has more than one UUID within the SUD, only the first one loaded into ESR will be assigned to the employee. Any attempts to load a further UUID against the employee will result in an error during the data load.**

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## 9. ESR Data Load

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When the organisation decides that the data cleansing process has been completed, based on factors such as the total number of records, the total number of matches, and the effort required to correct the remaining mismatches, then, in conjunction with the agreement of the NHS Data Team, the upload file produced by the Matching Application will be passed to the McKesson ESR Development Team for loading into ESR.

The data load will be performed at a date which will need to be agreed between your organisation and the data analyst based on a published list of available options.

Following the data load it is essential that ESR and NHS CRS are kept in synchronisation to ensure the success of the Integrated Identify Management initiative.

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## 10. Process Flow Diagrams

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Process Flow diagrams have been produced to detail the stages within this document at a pictorial level. These are separately controlled documents and are available via <http://www.esrsolution.co.uk/iim/>

The flowchart document references are:

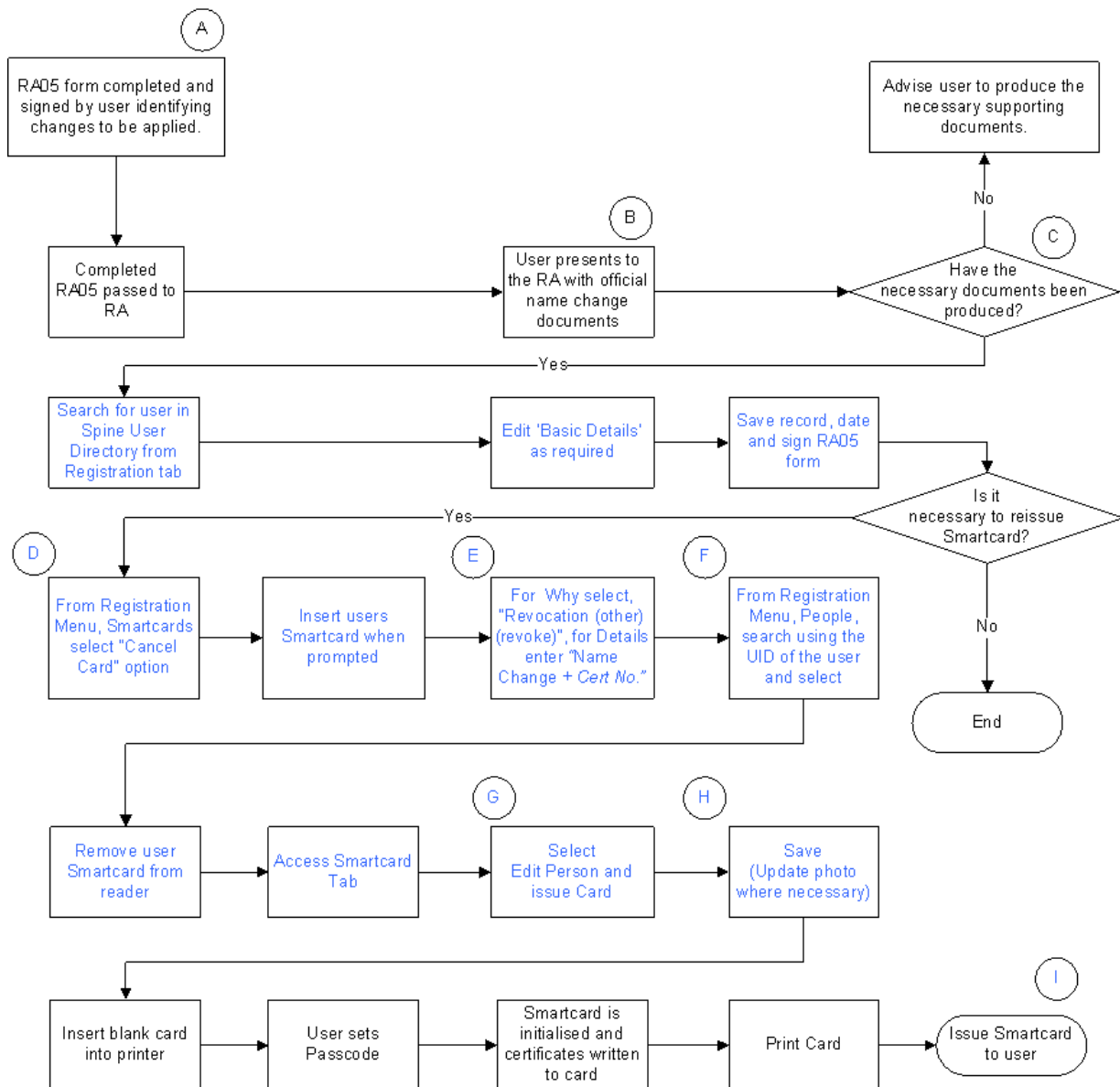
NHS organisation SMARTCARD Implementation – 1  
NHS organisation SMARTCARD Implementation – 2

## 11. Appendix A: Name Changes (Personal Details)

The following details were supplied by NHS Connecting for Health from v3.0 of "Registration Authorities Operational Process and Guidance" as supporting content. **Note that this applies to current RA procedures only.**

Changes to personal details (name and contact details for RA personnel) should be amended using the RA05 form, Some changes will need to be supported by documentary evidence, the appropriate marriage certificate, divorce certificate, deed poll, adoption certificate or statutory declaration, and may require a new NHS CRS Smartcard to be printed.

### Name change (personal details) process



The following notes relate to the Name change (personal details) process flow chart.

Notes	Description
A	When a change in a user's personal details occurs, the user can complete an RA05 form without it being confirmed by their sponsor. The user's UUID and new details must be clearly stated on the form.
B	The completed RA05 and all necessary evidence supporting the changes should be presented to the RA.
C	Acceptable proof documentation for name changes include: marriage certificate, divorce certificate, deed poll. The type of proof and certificate number on the proof document must be recorded on the RA05. If the user's preferred name is changing, no documents need to be produced but it is subject to guidance in section 5.3 of <i>"Registration Authorities Operational Process and Guidance"</i> v3.0.
D	The RA should have the NHS CRS Smartcard that is being cancelled; otherwise they should follow the process in section 8.1 of <i>"Registration Authorities Operational Process and Guidance"</i> v3.0.
E	It is important that the reason for the personal details being updated and the certificate number is captured.
F	User's UUID should be used to perform this search.
G	If the user is a member of the RA team or a sponsor, the RA will need to select the profile of RA prior to accepting changes.
H	If the current photograph is not a good likeness of the user, a new one should be taken.
I	The user's old NHS CRS Smartcard should be destroyed by folding the Smartcard so the crease goes through the chip, cutting the Smartcard through the chip, or hole punching the Smartcard through the chip.