

# Electronic Staff Record

## Implementation Guide

### → Employee Self Service

The Employee Self Service provides NHS employees with access to a vast array of personal information about themselves and the ability to act upon the information directly in the ESR system.

The solution provides a choice of two levels of access. Employee Self Service and Employee Self Service (Limited Access) User Responsibility Profiles (URPs). Both URPs can be accessed without the requirement of a smartcard. This can be achieved if the Trust has set the auto internet Flag at work structures level as described on page 3. SR needs to be raised to unlock access to ESS without the need of a Smartcard.

This guide is designed to be a one-stop-shop for all aspects of implementing Employee Self Service, providing an outline of the process, highlighting key considerations, signposting useful resources and outlining what support is available from the NHSBA ESR Team to assist your organisation during and post implementation.



For information on the benefits of Employee Self Service and the wide range of functionality available please see the ESS Promotional Brochure and Functional Guide which can be found by searching on the [ESR Hub](#).

## → Implementation process

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**Data gathering and trialling**

Understand and trial the ESS functionality to meet your organisation's needs.

2

**Project executive approval**

Submission of project documentation for approval.

3

**System & IT preparation**

ESR system configuration and identify any IT support arrangements.

4

**Project planning and monitoring**

Preparation and execution of project plan.

5

**Communication plan and training**

Producing project communication plan and planning training provision.

6

**Project closure and BAU**

Undertaking project evaluation and transitioning to BAU.

# 1 Data gathering and trialling

**The completion of your ESR Assessment may identify a range of benefits that can be realised by implementing Employee Self Service.**

The assessment is a discussion with your regional NHS ESR Functional Account Manager regarding your current usage of ESR particularly focussing on Self Service. Following the ESR Assessment the report is sent to the organisation and then an Action Planning meeting is organised by the ESR Functional Account Manager to agree which projects will be implemented to increase the use of ESR functionality around Self Service.

At this early stage you will need to understand Employee Self Service in detail, the specific functionality, identifying the benefits and outlining the service transformation expected. A key stage of this is to consider the different types of access and deciding the type that suits your Organisation and your expected outcomes. For advice and guidance on best practice, refer to the [Self Service Best Practice Guide on the ESR Hub](#).

## Trialling

An essential part of data gathering is trialling the functionality. To assist your Organisation in deciding which URP to choose, we advise using the ESR test environment called 'TPLY'. Within TPLY you can build a complete team hierarchy, test URPs and functionality. To obtain access to the TPLY environment please speak to your [NHS ESR Functional Account Manager](#). **Click on the ESR Central Team Tab.**

## Supervisor Hierarchy

To trial Employee Self Service functionality you need to set up a supervisor hierarchy of a small team in TPLY. To do this, set up the hierarchy for all employees within the pilot department, ensuring that every member of staff is accounted for and has been allocated a manager (supervisor).

## URP allocation

In addition to creating the supervisor hierarchy in TPLY, allocation of Employee Self Service URP will need to be undertaken.

**Please note:** all processes for the above activities will be the same when your Organisation starts your project in your live ESR environment. For trialling, you will undertake these tasks manually, however the NHSBSA ESR Team provides a Mass Upload facility to upload all URPs needed. This can be requested by raising an SR when your Organisation starts the implementation in your own live ESR environment.



## 2 Project executive approval

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**After the data gathering and successful testing phase, the findings and recommendations should be submitted for executive support and project sign off. This process involves the development of Project Initiation Document (PID) or Business Case.**

The Project Initiation Document or Business Case outlines the direction and scope of the project including detailing the expected outcomes, risks, stakeholder involvement, implementation approach and communication plans. These will vary greatly depending on the size of the your Organisation and the complexity of the project and no two Organisations are the same.

Your regional NHS ESR FAM and Implementation Advisor can support and guide you in this process. There are templates and real-life examples available via your Regional ESR Team. These are all important and necessary documents to enable executive support and commitment to the project



# 3 System and IT preparation

**While the project is going through the approval stages within your Organisation, there are still steps that can be taken to prepare for the project roll out. Good preparation is key to a successful project alongside a good understanding of the functionality you want to implement.**

Build upon the research undertaken at the data gathering and trialling stages and further familiarise yourself with the Employee Self Service functionality if required. There is extensive guidance available within the ESR User [Manual](#). Online [ESR Help Guides](#) are also available to help employees utilise Employee Self Service functionality in ESR.

## Email Audit

At this stage you might want to consider an audit on email addresses held in the Office Details tab within ESR. The workflow notification process within ESR underpins the resetting of passwords for employees, therefore correct email addresses within the Office Details tab of the employee record must be correct and up to date to enable this to function correctly. Giving employees the ability to reset their own password reduces any burden on Core ESR Transactional teams. An initial audit can be carried out by running the BI report on the “Email address should not be null” tab which can be found on the BI Data Quality dashboard. This will highlight where there are gaps. If you have over 200 missing email addresses, the NHSBSA ESR Team can help by undertaking a mass upload. Raise an SR via the ESR Service Desk to initiate this process.

## Multi Factor Authentication (MFA)

Users have the option to use extra security when logging in. If users opt in, they'll need to provide more than just username and password when logging in via the internet.

**NOTE:** MFA is optional, users can continue to log in using username and password and managers and core users can continue to use the step up functionality. Once MFA is enabled, it is not possible to revert to the previous method.



# 3 System and IT preparation

Auto Allocation of URPs: A decision will need to be made as to which URP you are going to deploy in your Organisation, Employee Self Service or Employee Self Service (Limited Access). These URPs can be set up in a way that they are automatically added to Applicants as part of their on boarding experience without any set up required. Under the Local Work structure Administration URP you can set the auto User creation to one of the options below.

Auto User Creation **Employee SSHR - No Approval Required for Remote Access**

Auto User Creation **Employee SSHR (Limited Access) - No Approval Required for R**

Enabling the Auto User Creation will ensure that the appropriate ESR Employee Self Service User Account is automatically set up for new starters, or applicants whose status is set to Offer Accepted. The appropriate option can be chosen from the list of values. For existing employees the NHSBSA ESR Team can provide a Mass Upload facility to upload the relevant URP needed.

## Internet Access for Employees

In preparation for the project we recommend you enable internet access. This will mean that from day one of roll out, the employees will be able to access ESR outside of the Trust network via a normal internet connection on any internet enabled device.

All of these settings can be applied within the Local Workstructures Administration URP under: Organisation>Description>Type=Trust>DFF

Automatic Internet Access **Yes**

## Setting up Supervisor Hierarchy

If you decide to deploy Employee Self Service, you will need to implement a supervisor hierarchy. This is to allow for workflow notifications to run between the employee and manager, e.g. If an employee requests some Annual Leave, the supervisor assigned to them in the hierarchy can approve or reject the leave. If you decide to deploy Employee Self Service (Limited Access) no supervisor hierarchy is needed.



## My ESR Dashboard configured

Prior to going live you will have to decide which Portlets you want to be visible on the 'My ESR Dashboard' this is the first page the employees will see after they have logged into ESR.

URPs required are:

- XXX Portal Administrator – Publishes changes to content, configures dashboards and portlets.

There are numerous portlets available ranging from:

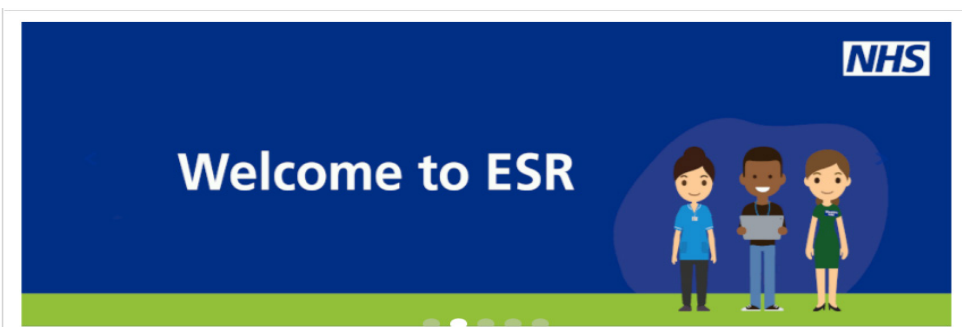
- My Payslip and P60
- My Compliance
- My Annual Leave
- My e-Learning
- My Total Rewards Statement
- My Personal Information
- My Favourites
- My ESR Calendar
- My Employment
- My Appraisals and Reviews
- My Equality and Diversity
- Twitter
- Local Links
- My Class Search
- My Bank Account Details

# 3 System and IT preparation

## Setting up Local Announcements

As Part of the 'My ESR' Dashboard set up, the Content Editor or Content Administrator URP holders can also create announcements that are visible to the employees. This is an excellent way of communicating key messages to your staff. More than one user in your Organisation can create these announcements. Remember that at any time there can be a mixture of Local and National Announcements displayed to your employees.

- XXX Content Editor - creates and edits content
- XXX Content Administrator - creates, edits content, and deletes content.
- XXX Portal Administrator – Publishes changes to content, configures dashboards and portlets.



## IT Involvement

It's vital that your IT Department is involved in any new ESR functionality rollout. If more staff are going to be accessing ESR for Employee Self Service, you need to be confident that the IT infrastructure will support this, not only in terms of extra network traffic but also PC specification. Please refer to the latest MM-0100 Organisation Site IT Printer and Network Infrastructure Readiness document located on the [ESR Hub](#).

# 4 Project planning and monitoring

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**Once approval has been given for the project to go ahead, a detailed bespoke project plan will need to be created.**

Your nominated NHS ESR Implementation Advisor or NHS ESR Functional Account Manager can provide Employee Self Service Project Plan template and a sample organisation plan. The nominated NHS ESR Implementation Advisor can work with you to produce your own plan to ensure it covers all essential elements of the project.

## **Changes to Working Practices**

The introduction of new functionality will bring changes to working practices that must be agreed, documented, communicated and fully adopted in order for the project to be successful. These changes will reflect a shift in culture from a central to a more devolved operation.

## **Process Changes**

There are two types of processes:

### **Outwardly Facing**

The new changes the employees will be doing via self service, i.e. changes to personal details, E&D changes, enrolment onto courses to name but a few.

### **Inwardly Facing**

These are the changes that will impact the internal ESR Transactional Teams as a direct result of the employees now updating their own data. e.g. if employees are now enrolling onto courses via Employee Self Service, what changes do the Education and Training teams need to make to help with this new way of working. There will no longer be a need for Payroll Teams to maintain employee bank account details.



# 5 Communication plan and training

**Communication is essential at all stages of your Employee Self Service implementation. You will need to advise staff of the project, its timeframe and what it will mean for them, their manager and for the Organisation.**

You will need to tailor your communications to your audience to ensure the right messages are communicated at the appropriate time to ensure the project's success, so working with your Communications Team is important.

To ensure any questions from staff are managed effectively we recommend you identify a member of staff or create a generic email address, and/or identify a single phone number that staff can use as the contact point. You may find it useful to develop a Frequently Asked Questions (FAQ) document and have this available for staff in order to reduce the number of queries. In addition to general queries, ensure the team is equipped to manage the re-setting of usernames and passwords for when users are locked out of the system. The vast majority of re-sets can be managed by employee themselves, but there will still be a need for system level resets.

A Communications template can be found in the ESS Project Resources Toolkit, however your NHS ESR Implementation Advisor can help you to develop your own plan. Suggested methods of communication:

- ESR Portal Announcements
- Organisation's Intranet
- Banners and posters
- Team Meetings / Briefings
- A message on payslips
- Organisation-wide email
- A table top display or drop in session held near a common area, such as the canteen
- Information presented at Induction

## Training

The use of Employee Self Service is self explanatory, however simple and effective training for new and existing staff might also be considered. Ensuring your staff are equipped with the right guidance and training on how to use the system correctly is key to the project's continued success from implementation to business as usual.

Many organisations have built links to guides within email footers from their central HR / workforce function.

There is a range of ESS captivate lessons and 'How to' guides available on the [ESR Hub](#).



You may also wish to prepare user guides specific to your Organisation. If so, your Regional NHS ESR Implementation Advisor can assist you with this.

# 6 Project closure and business as usual (BAU)

As the implementation stage of the project comes to an end and it transitions into BAU, it is essential that the project is evaluated effectively to ensure all project expected outcomes have been achieved, any issues addressed, and that all systems and processes are robust and are securely in place to ensure its continued success.

Outlined below are project evaluation criteria:

- Reporting on fulfilment of project objectives defined in the PID
- Recommending required follow-on-actions for BAU
- Post-project review
- Assessing the way the project was managed and reporting lessons learnt
- Decommissioning the project

