ELECTRONIC STAFF RECORD

R552 Guide to Enhancements and Changes Release 59.0.0.0 & 59.1.0.0

Information classification: PUBLIC

Revision Date: DECEMBER 2023

_____ _____

Contents

_____

_____

1   <u>Introduction</u>

The purpose of this document is to provide details of the enhancements to the ESR system in Release 59.0.0.0 and 59.1.0.0. The details are grouped in functionality order.

The changes to functionality outlined in this Release Notice are subject to successful testing. As is normal practice, any amendments to the content of the Release will be communicated in a revised Guide to Enhancement Notice.

NOTE: All Employee data used in this publication is fictional. Any similarity with the names used in this publication with the names of actual persons is purely coincidental and not intentional.

_____

_____

2   Multi-Factor Authentication (MFA) for Internet Access to ESR

To ensure that ESR security is consistent with National Cyber Security Centre (NCSC) guidelines, https://www.ncsc.gov.uk/guidance/multi-factor-authentication-online-services, Release 59 will introduce multi-factor authentication (MFA) for ESR internet access.

Following this release, users will 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.

Managers and core users will also have the option to use MFA for upgrading their access.

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.


Prerequisites

Before registering to use MFA, users must have Internet access for ESR approved and have an authentication app installed.

Microsoft Authenticator is the supported authentication method and users must download and install Microsoft Authenticator on their mobile device from either Google Play or the iOS App Store.

Initial Registration

Users can then register to use MFA by logging in to ESR on HSCN.

The Registration screen can be accessed via the Portal > Manage Internet Access button.

_____

_____
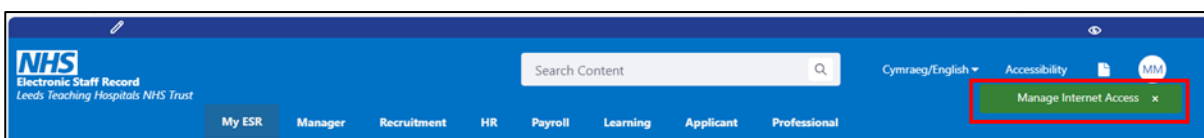
This will open the Manage Internet access page, with the MFA registration form:

Manage Internet Access

Your request for Internet Access:

ESR Username: **298MKEMPB**

Status: **Approved**

To enable upgraded access to ESR on the internet your request for internet access must be approved and your mobile number must be set.

Your mobile number: **To be set**

Enter your mobile number and a code will be sent to you:

+44 [   ]   [Confirm Mobile Number]

Multi-factor Authentication Registration (MFA)

Step 1: Download and install Microsoft Authenticator App on your Mobile device from Google Play or iOS App Store.

For more information about enabling multi-factor authentication on your mobile device, please select the help icon. 💬

Step 2: Scan the QR code below with the Microsoft Authenticator App on your Mobile Device.

Can't scan the QR code? Please select 'Show Key' and enter the code shown manually in the Microsoft Authenticator App.
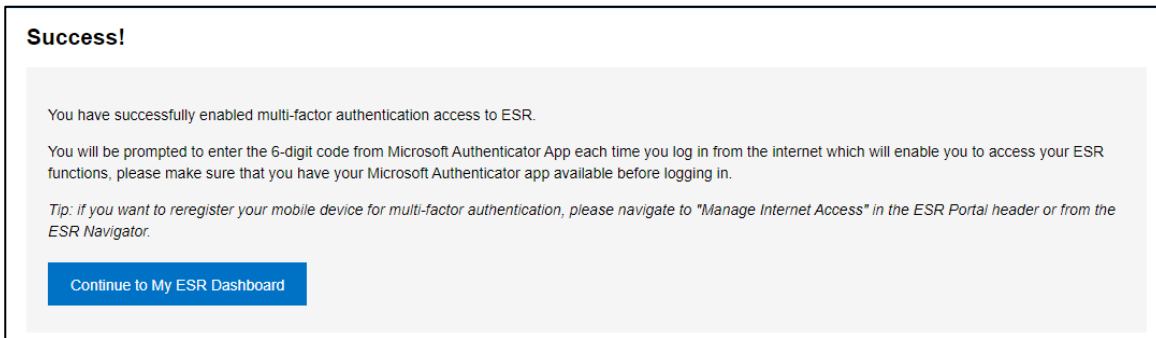
[Show Key]

Step 3: After scanning the QR code, the Microsoft Authenticator App will display a 6-digit code. Enter the 6-digit code below and select 'Enable Multi-factor Authentication'.

[Enter the 6 digit code]

[Enable Multi-factor Authentication]

Please note that once you have enabled the Multi-factor Authentication, you will not be able to disable it.

[Go Back]

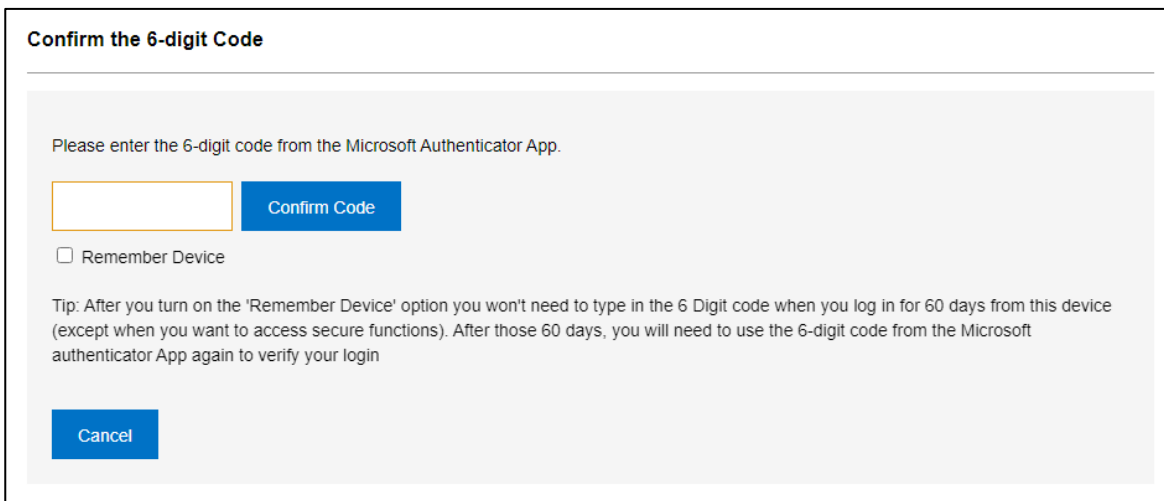Users can then follow the instructions on screen to link their account to the Authenticator app.

_____

_____

Following successful registration, the following screen will be displayed:

> **Success!**
>
> You have successfully enabled multi-factor authentication access to ESR.
>
> You will be prompted to enter the 6-digit code from Microsoft Authenticator App each time you log in from the internet which will enable you to access your ESR functions, please make sure that you have your Microsoft Authenticator app available before logging in.
>
> *Tip: if you want to reregister your mobile device for multi-factor authentication, please navigate to "Manage Internet Access" in the ESR Portal header or from the ESR Navigator.*
>
> Continue to My ESR Dashboard

Log in on the Internet

Once enabled they will now be able to use MFA when accessing their accounts via the internet.

Following log in with username and password, the following form will be displayed.

> **Confirm the 6-digit Code**
>
> Please enter the 6-digit code from the Microsoft Authenticator App.
>
> [   ]   Confirm Code
>
> ☐ Remember Device
>
> Tip: After you turn on the 'Remember Device' option you won't need to type in the 6 Digit code when you log in for 60 days from this device (except when you want to access secure functions). After those 60 days, you will need to use the 6-digit code from the Microsoft authenticator App again to verify your login
>
> Cancel

They must now open the MS Authenticator app on their phone and type in the 6 digit code supplied.

Once entered, the user will click on Confirm Code and will be redirected to the ESR Portal.

Remember Device

There is an option to 'Remember Device'. If selected, a code will not need to be entered for another 60 days to access the My ESR Dashboard.

A code would still be required if they need to use the Manager Dashboard or use ESR BI.

For a subsequent login, they will enter username and password and then click the Upgrade Access button.

This will then show the page to enter a new MS Authenticator code.

_____

_____
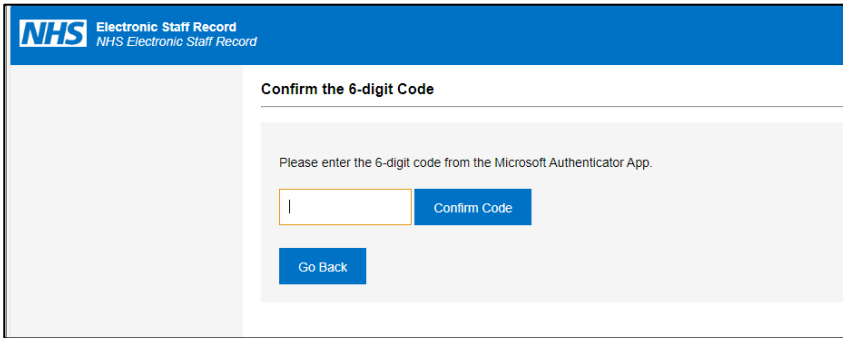
When this has been entered then the upgraded access will be available to the user.

Entering Invalid Codes

If the wrong code is entered more than 5 times, then the user must wait one minute before attempting to enter again.

Timeout

Users will need to enter a code if their session times out.

Number of Devices

A user can access ESR on the Internet on multiple devices, however, only one mobile device can be set up as the authentication source at a time.

Registering a new device, will require the user to log in on HSCN and use the Reregister device option available on the Manage Internet Access form.
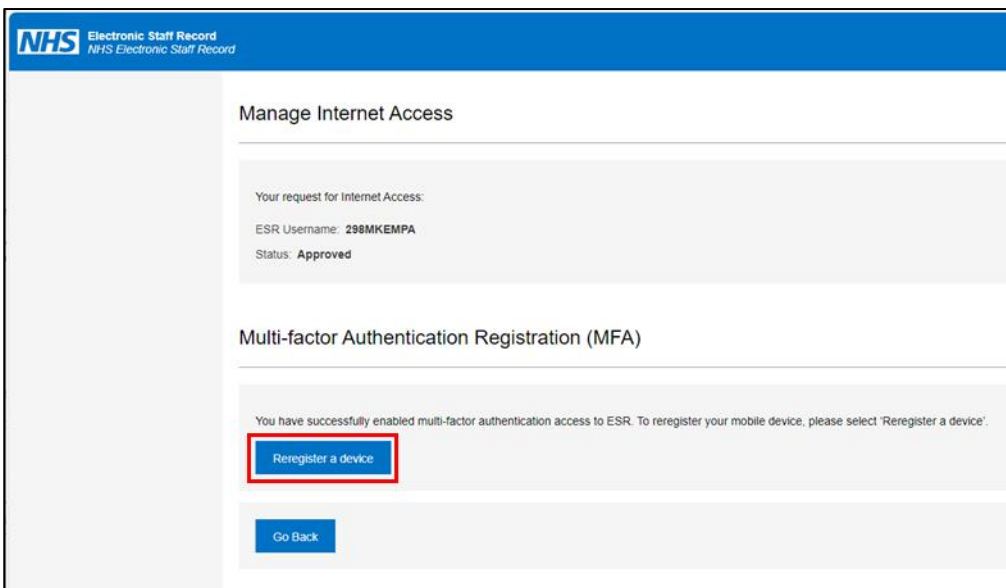
Registering a new device will automatically invalidate any previous device that was registered against their account.

_____

_____

3   <u>NHS Care Identity Service 2 (CIS2) Authentication</u>

As part of this release ESR will be switching from NHS Care Identity Service (CIS) for national authentication to the NHS Care Identity Service 2 (CIS2).

CIS2 is a national platform service that is standards based, internet facing and supports new methods of authentication.

From this release it will be possible to access ESR via a Smartcard, Security Key or 'Windows Hello'.

The authentication journey in CIS2 will differ to CIS1.

There are two parts to CIS2 authentication:

1. The Smartcard, Windows Hello / USB Security Keys are read and verified by CIS2, any issues here should be raised with NHS England.
2. The user is re-directed back to ESR, any issues occurring here should be raised with IBM.

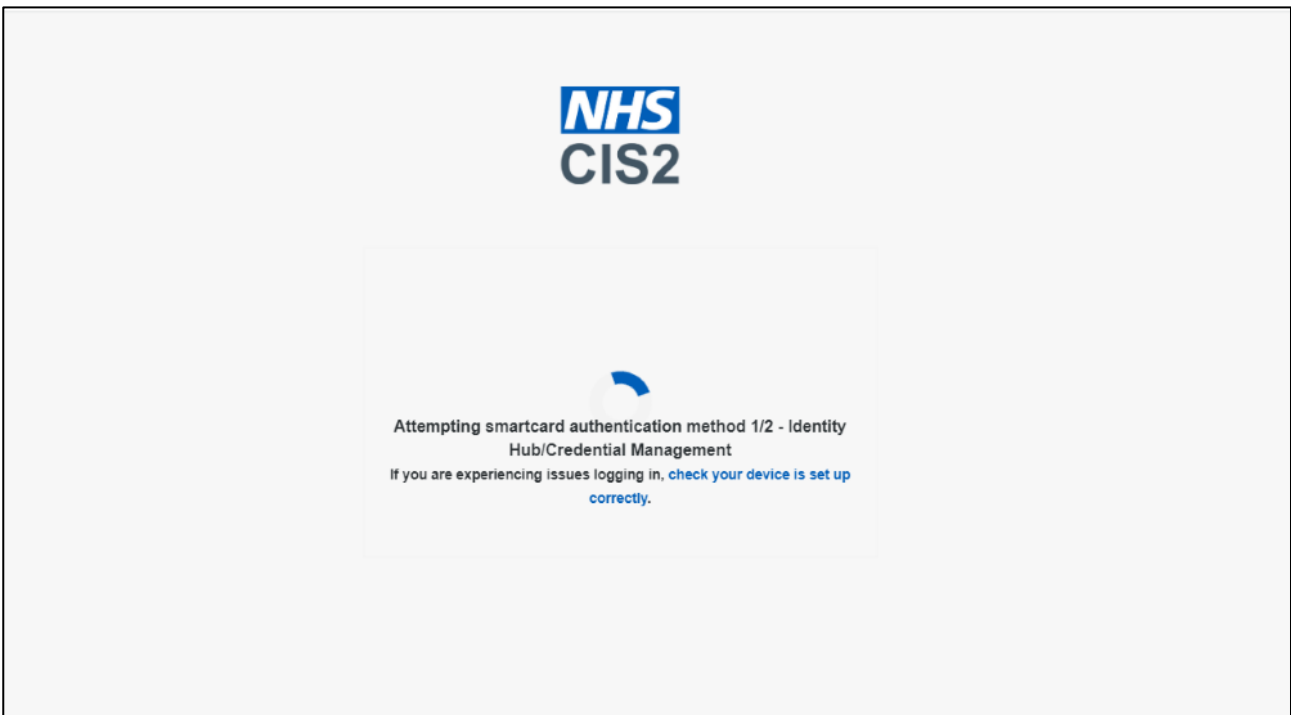When logging in the user will now see the ESR log in screen with a separate Care Identity login section:

After clicking Log in with My Care Identity, the user will see the CIS 2 form.
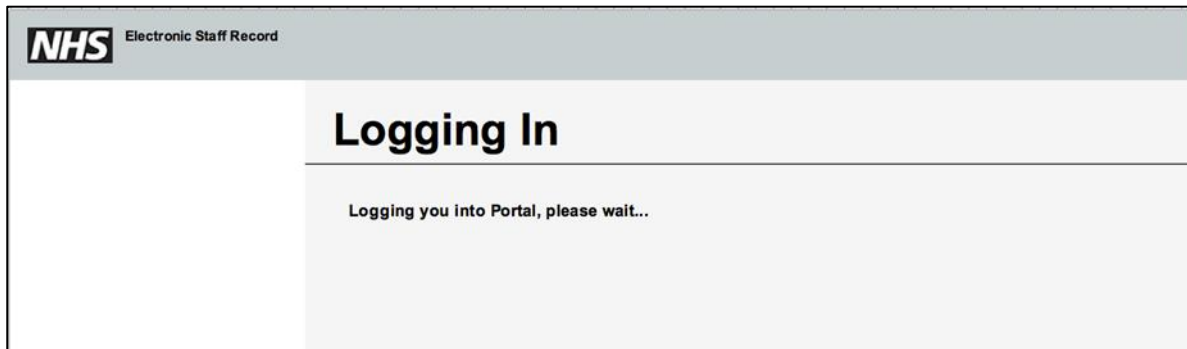
_____

_____
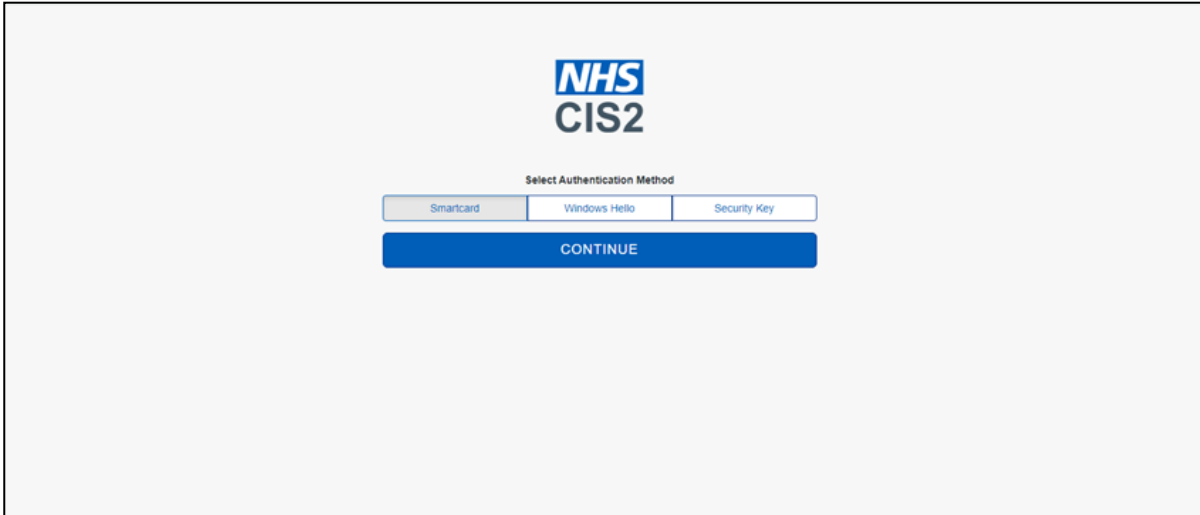
The user should select the smartcard option and control will be passed to CIS2 to verify their credentials.

When this has completed control passes back to the ESR Portal login page.

_____

_____

and then onto their ESR Portal Landing Page.

NOTE: IBM support the Smartcard solution for authentication. Security Keys and Windows Hello authentication methods are included as part of the CIS2 solution but are not supported by IBM.

_____

_____

4   Email Address Field Validation

Validation has been added to the email address field to ensure that only a correctly formatted email address is entered.

A valid email address consists of an email prefix and an email domain, both in acceptable formats. The prefix appears to the left of the @ symbol. The domain appears to the right of the @ symbol. For example, in the address example@nhs.net, "example" is the email prefix, and "nhs.net" is the email domain.
If the email address entered is not in a valid format, the following error will be displayed:

'Please enter a valid e-mail address'.

Navigation paths:
- XXX HR Administration (all variants except read-only versions) > People > Enter & Maintain > Office Details Tab > EMail
- XXX Learning Administration > Catalogue > Class > Add Single Enrolment > Learner Details > Correspondence tab > Email
- XXX Local User and System Administration (and other variants) > Setup Users > E-Mail

_____

_____

5   Portal Help Text Changes

The following Portlets have had the help text updated as follows:

Portlet	Updated Help Text
My Favourites	Where you have set Favourites, they are displayed in this list. Up to 10 Favourites can be displayed. If you wish to add or remove Favourites, click the 'Update My Favourites' button and choose the responsibility and the function or page from the list. You will then be able to navigate directly to your Favourites in ESR.
My Appraisals and Reviews	This Portlet displays your Appraisal Information. This includes dates of your last and next appraisal, your pay step date and if your appraisal is pay affecting. The type of review or appraisal is also displayed. Click 'Last Appraisal Date' to show or hide this information.
My Bank Account Details	This Portlet shows the details for the bank account you have identified as your main account for any payments to be made to you for any of your active assignment(s). Click 'View Details' to show or hide this information. Click 'Update My Bank Details' to go to the Bank Account Details form to amend your details.
My Employment	Click 'View Details' to view information about the assignment you have selected. To view additional information about your employment click 'View More Information.
Team Actions	Where members of your team have an event in the next 7 days a prompt is displayed in the portlet showing the total number of events. Expanding the collapsible region will provide you with a summary of the events. Clicking the 'My Team Actions' button will provide further details. Where members of your team have an event in the next 7 days a prompt is displayed in the portlet showing the total number of events. Expanding the collapsible region will provide you with a summary of the events. Clicking the 'My Team Actions' button will provide further details.
Organisation Chart	Click the 'Launch Organisation Chart' button to display the employees in your team.

The word 'Dashboard' has been added next to the 'left' arrow to return users back to the page they came from for the following pages:

- My ESR Calendar portlet
- My Team Action Calendar portlet
- My Personal Information Portlet
- My Applicant Details Portent
- OLM upcoming Classes Portlet
- Update Attendance portlet
- My Classes Search Portlet

_____

Please see an example below:

_____
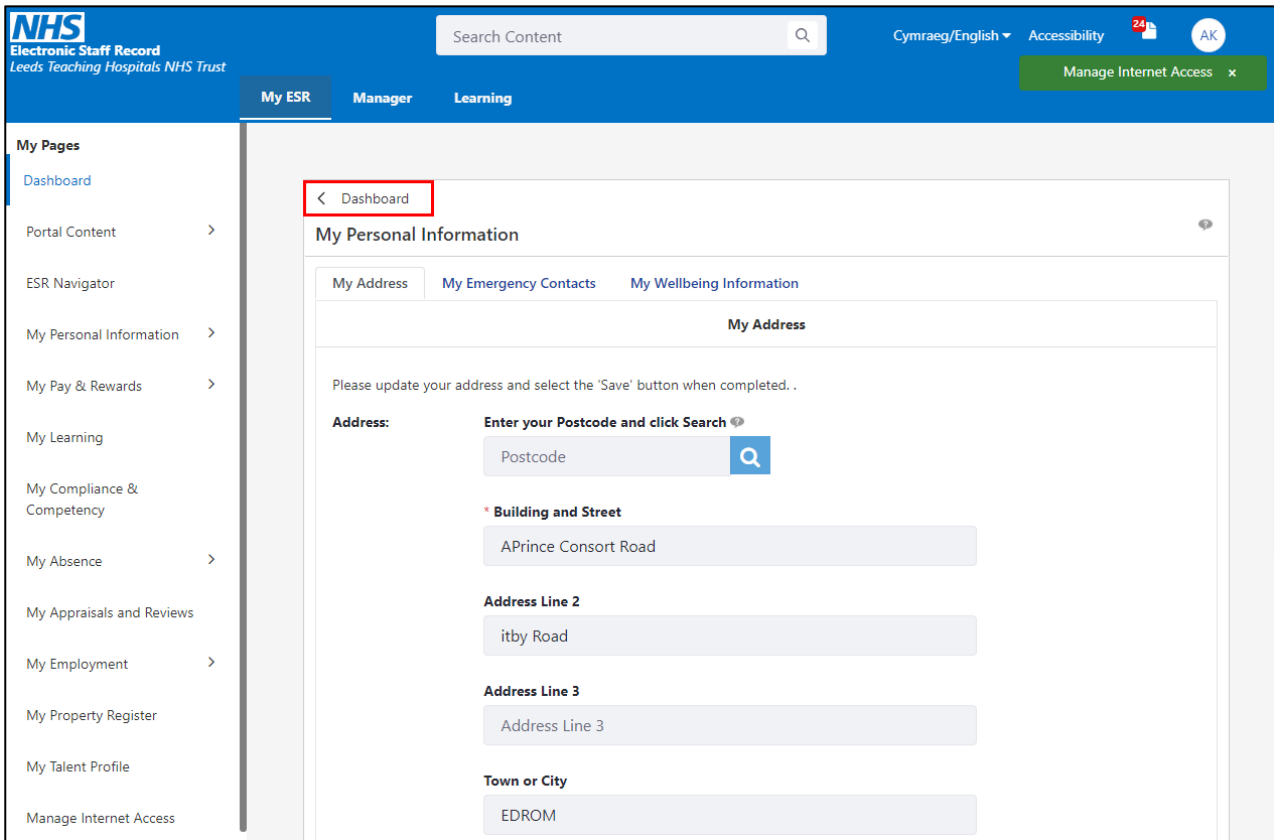
# 6   Create Learner Groups Based on Eligibility Profiles

New functionality to enable Learning Administrators to create Learner Groups using Eligibility Profiles has been introduced.

Eligibility profiles can be created using the Eligibility Profiles for Learner Groups option available in the Manage Learners sub menu.

XXX Learner Administration > Manage Learners
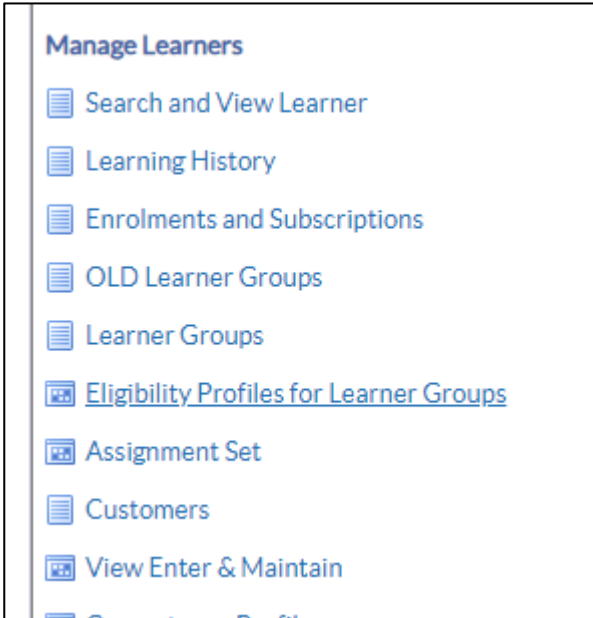
This will open the form to be used for maintaining local eligibility profiles. This form will request the business group to be used. The default value of NHS Business Group should always be selected in this pop-up and the user should click OK to proceed.


_____

_____
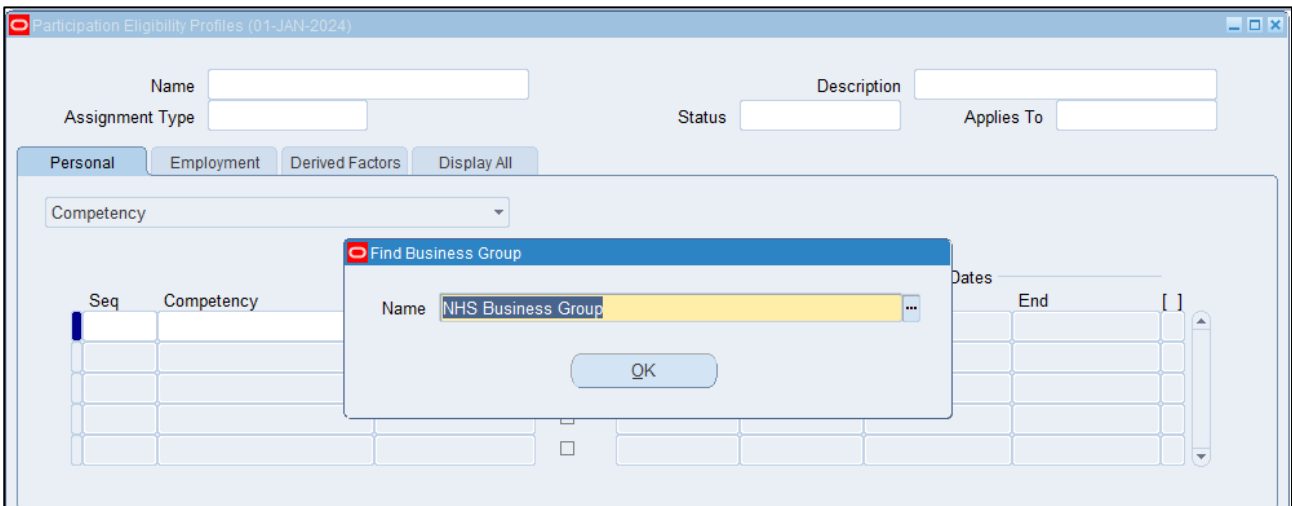
The user can then decide to query an existing eligibility profile or setup a new one.
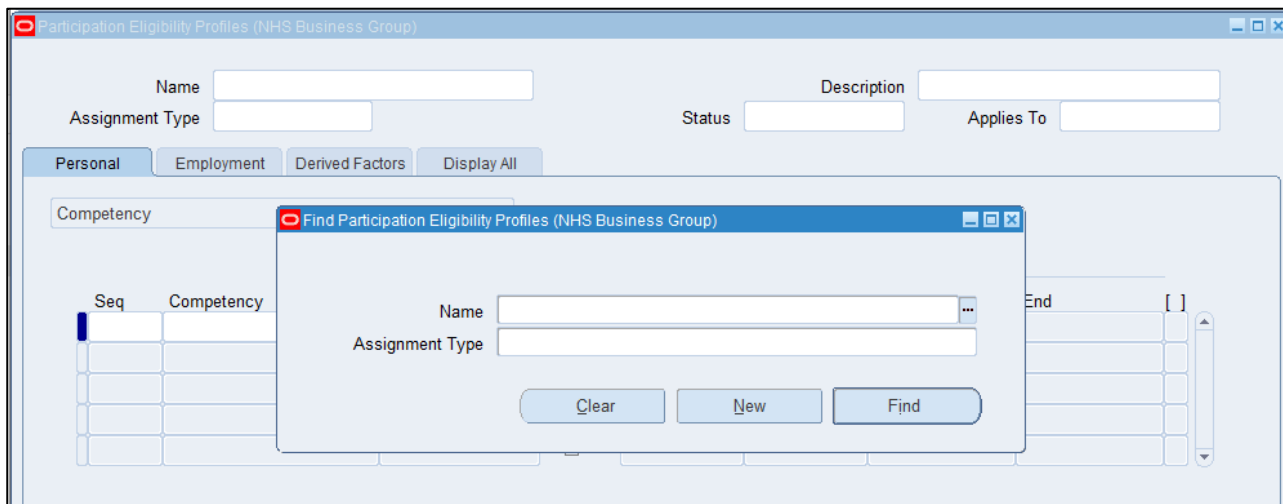
How to Set Up a New Eligibility Profile

1. Click in the Name field and enter the name of the eligibility profile. This should be prefixed with your 3 digit Trust identifier.
2. Click in the Description field and enter a description of the eligibility profile.
3. Click in the Assignment Type field and select the assignment type to which this eligibility profile applies.
4. Click in Status field and select the appropriate option from the List of Values shown. The options available are:

   • Active– the eligibility profile is available for use
   • Closed – the eligibility profile is no longer in use
   • Inactive – the eligibility profile is in use but cannot be associated with a new Learner Group
   • Pending – This eligibility profile is currently proposed, but not active.
5. Click in the Applies To field and the default value of Learner Group will be displayed.
6. Save the record.

Before entering any criteria for the eligibility profile, the record must be saved.

_____

_____
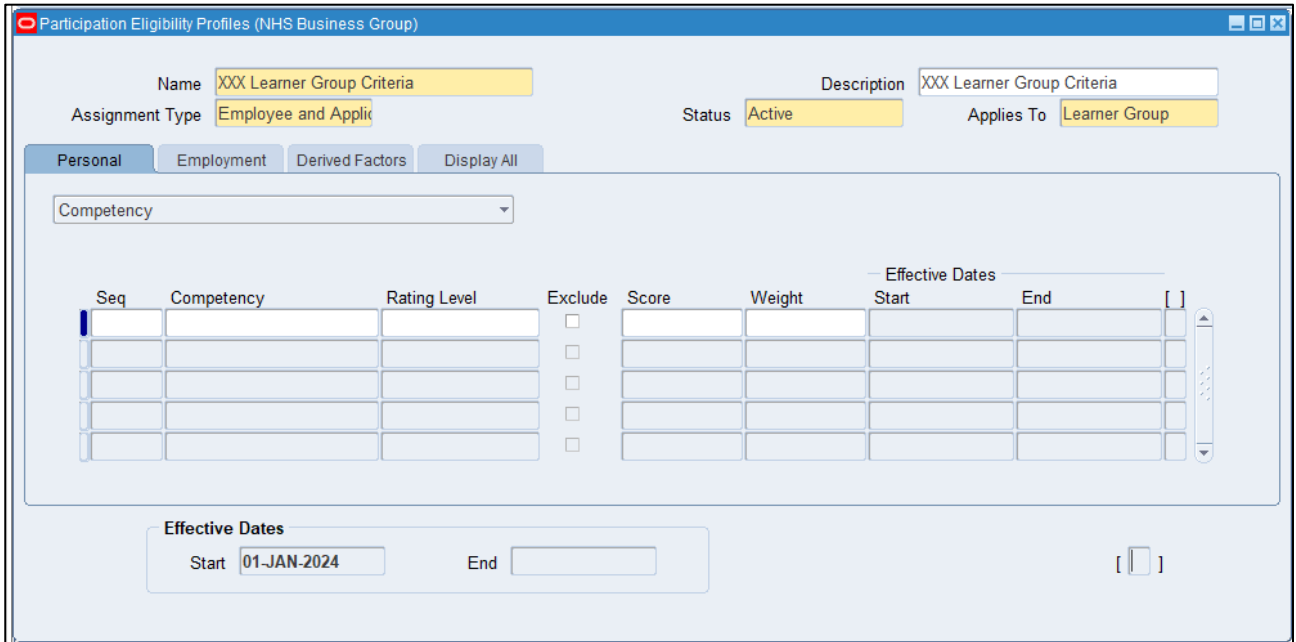
7. Choose a tabbed region that contains a criteria element to be included in the eligibility profile. Choose from:
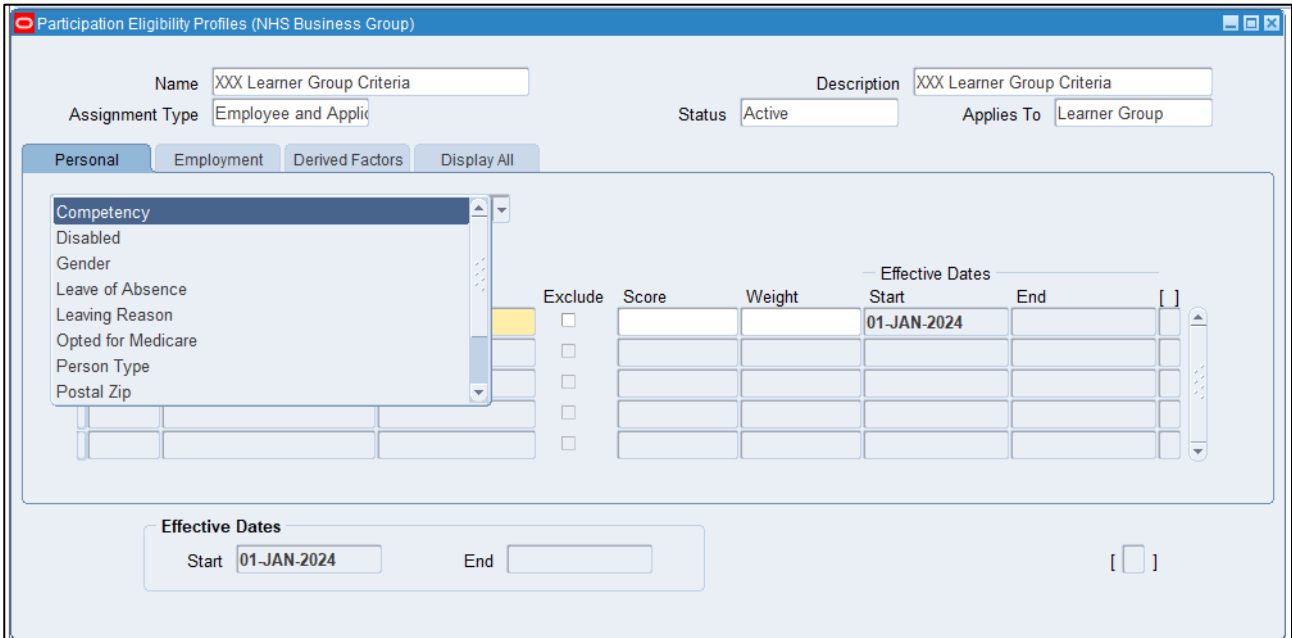
    •   Personal

    •   Employment

    •   Derived Factors

    The main areas for criteria to be used fall within the Personal and Employment areas and as such these areas have been used as examples.

8. Click on the Personal Tab.

9. Select a criteria element from the dropdown menu.

In this example Competency is selected.

_____

10. Click into the Seq field and enter a sequence number specifying the order the system processes this criteria element relative to any other criteria in this eligibility profile. These are normally entered in increments of 10 allowing additional criteria elements to be inserted in the future.

11. Click into the Competency field and select the appropriate competency to be used in the criteria selection.

Please note the description and associated list of values of this field are dependent on the criteria selected. For example, if Person Type is selected then a list of Person Types will be available in the LoV.

12. Click the Exclude checkbox if you wish to exclude your selection from the eligibility profile or leave blank if you wish to include this selection in the eligibility profile.

The Exclude checkbox is normally used when it is easier to define a selection to be excluded from the eligibility profile, as opposed to defining all the groups to be included.

In this example the Exclude checkbox has been left blank as all employees with the competency are to be included in the eligibility profile.

13. Click on the Employment tab to enter any employment criteria for the eligibility profile.
14. Select a criteria element from the dropdown menu.

In this example, Job is selected.

_____

15. Click into the Seq field and enter a sequence number specifying the order the system processes this criteria element relative to any other criteria in this eligibility profile.

16. Click into the **Job Name** field and select the appropriate job role to be used in the criteria selection from the LoV.

17. Click the **Exclude** checkbox if you wish to exclude your selection from the eligibility profile or leave blank if you wish to include this selection in the eligibility profile.

In this example the Exclude checkbox has been left blank as all employees with the job role Midwife are to be included in the eligibility profile.

_____

_____
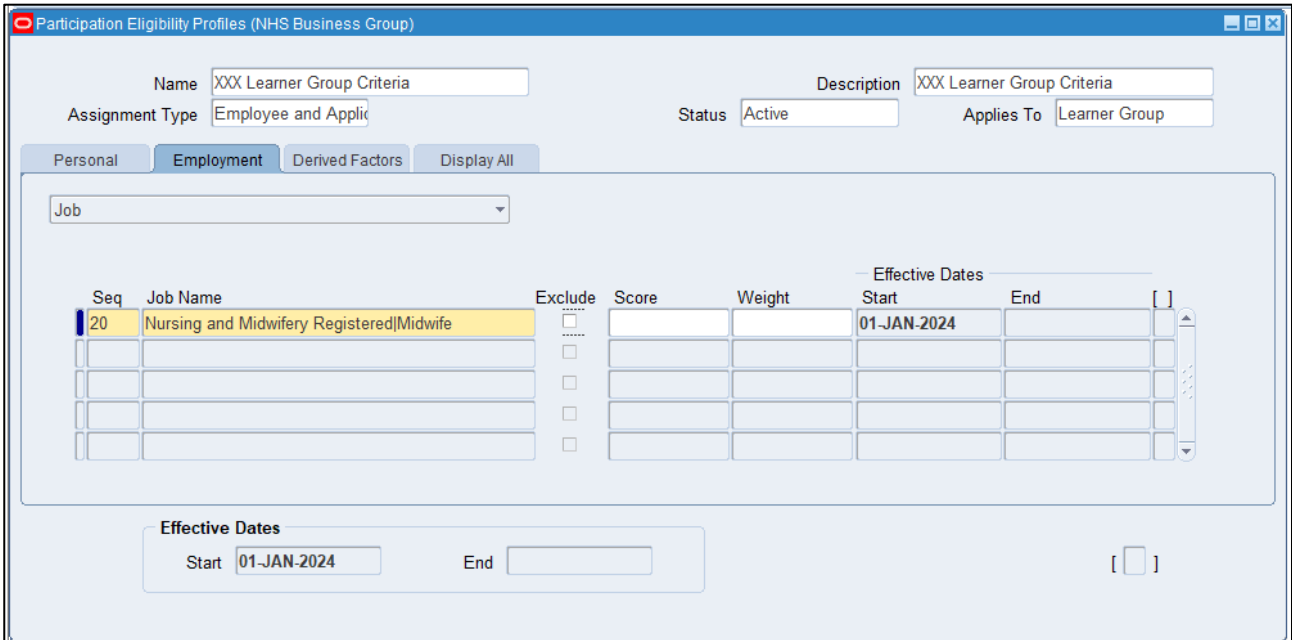
18. Criteria from different categories can be included. To add an additional employment criteria select a criteria element from the Dropdown menu.

In this example Grade is selected.

19. Click into the **Seq** field and enter a sequence number specifying the order the system processes this criteria element relative to any other criteria in this eligibility profile.

20. Click into the **Grade** field and select the appropriate grade to be used in the criteria selection from the LoV.

21. Click the **Exclude** checkbox if you wish to exclude your selection from the eligibility profile or leave blank if you wish to include this selection in the eligibility profile.

In this example the Exclude checkbox has been left blank as all employees with the grade NHS|XN06 are to be included in the eligibility profile.

_____

_____

22. Click into the Seq field on the next available row to enter additional criteria for this criteria element. Enter a sequence number specifying the order the system processes this criteria element relative to any other criteria in this eligibility profile.

23. Click into the Grade field and select the appropriate grade to be used in the criteria selection from the LoV.

24. Click the Exclude checkbox if you wish to exclude your selection from the eligibility profile or leave blank if you wish to include this selection in the eligibility profile.

NOTE: When you define more than one value for a criterion at least one of the values must be present in the person's record for the person to be eligible. In this example the Grade criteria has specified NHS|XN06 and NHS|XN07 and so the person would need to be on either grade NHS|XN06 OR grade NHS|XN07 to be included in the eligibility profile. However, when you use multiple criteria in an eligibility profile (for example a Job and a Grade), the person must meet at least one value for each criterion. In this example the Job Criteria has specified Midwife and the Grade as either NHS|XN06 or NHS|XN07. Therefore, the person would need to be on either NHS|XN06 or NHS|XN07 and have a job role of Midwife to be included in the eligibility profile.

25. Click the Display All tab to view all the criteria elements in this eligibility profile.

_____

_____ _____
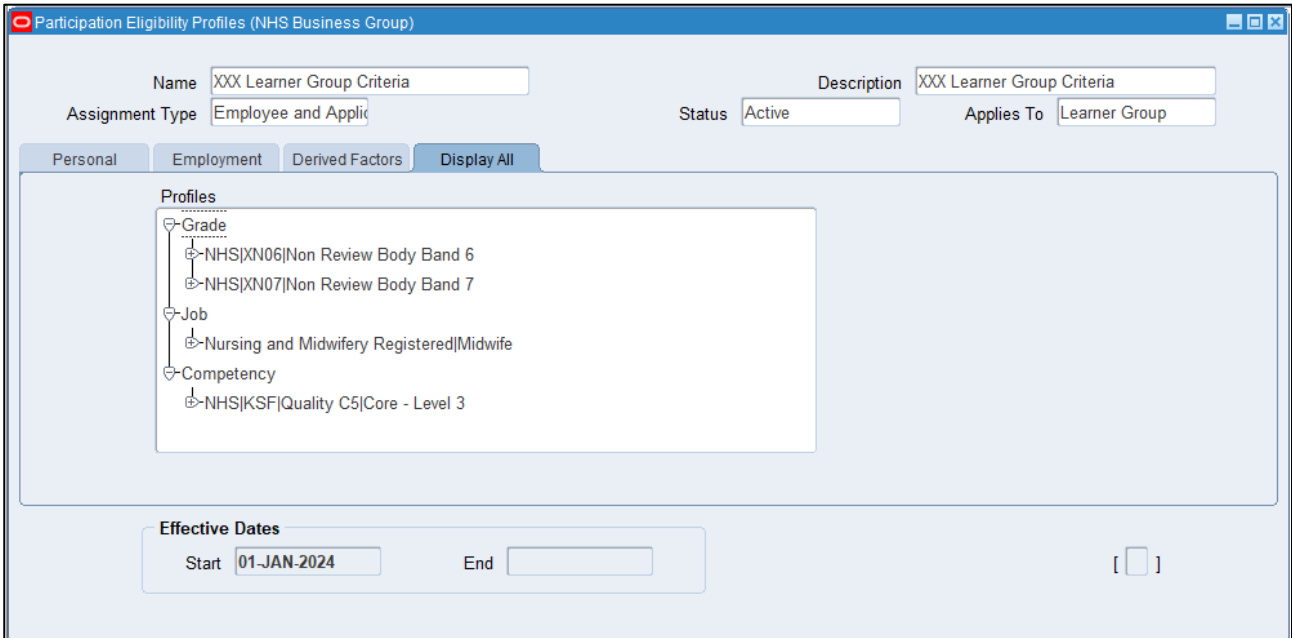
In this example the eligibility criteria includes all employees who are Midwifes AND are on grades NHS|XN06 or NHS|XN07 AND have the competency NHS|KSF|QualityC5 at Level 3.
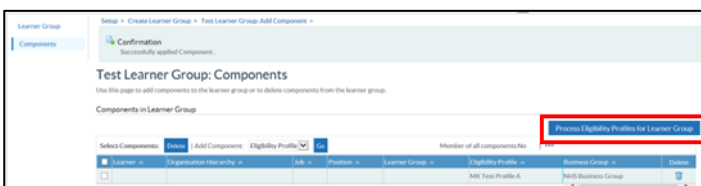
26. Save the eligibility profile.

Learner Groups

Once Eligibility Profiles have been created, Learner Groups can then be created using them.

XXX Learning Administration > Setup > Learner Groups
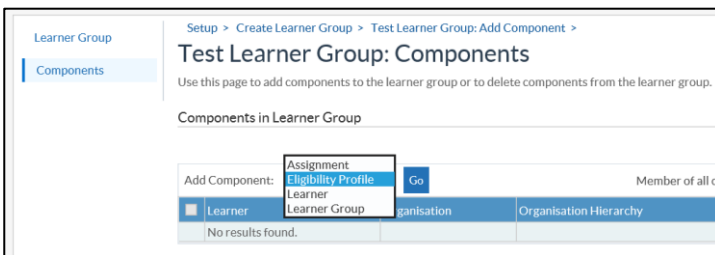
When a Learner Group is created with an Eligibility Profile, the 'Process Eligibility Profiles for Learner Groups' button will be displayed as follows:

_____ _____

_____

Clicking the button will submit the request and learners who meet the eligibility profile criteria will be added to the learner group.

The ID for the request will be detailed at the top of the page. The log details can be viewed be querying the ID via Requests > View Requests

An additional search option is now available to retrieve Learner Groups that have an Eligibility Profile attached:

In addition, a background process will run overnight each night to update Eligibility Profile members where criteria have changed.

NOTE: An issue has been found when using Eligibility Profiles for Learner Groups where part of the eligibility criteria is based on an assignment set. The process to assign Learners to the Learner Group may fail where person level items have been referenced in the assignment set, these are items beginning &PER. The process will complete successfully for assignment sets where only assignment level items were referenced, these are items beginning &ASG.

This has been raised as a separate issue (see PRB2002685) and care should be taken with the use of assignment sets as part of an Eligibility Profile until this issue is resolved.

Users will be informed separately when the assignment set issue gets resolved.

_____

_____

7   <u>Changes to the Completion Date for Learning Certifications</u>

When a Learning Certification is completed via a face to face class (for example, Classroom based) then the Completion Date is now the Class End Date instead of System Date:

XXX Learning Administration > Manage Learning > Catalogue > Learning Certification > Subscriptions > Completion Date

In addition, the 'Date Last Awarded' on the Competence Profile DFF is also the same as the 'Completion Date:

XXX Learning Administration > Manage Learners > Competence Profile > Add'l Competence Element Det's

_____

_____

8   <u>Fit and Proper Person Test Updates</u>

The following changes have been made to the Fit and Proper Person Test person extra information type.

A new field 'Settlement Agreements' has been added. This segment allows a Yes / No value to be entered and will be located below the current field for 'Disqualified Charity Trustee Checked'.

The field 'Self-Declaration Form Signed' has been renamed 'Self-Attestation'.

Extra Person Information	
Social Media Date Checked	
Social Media Policy Met	
Employment Tribunal Judgement Checked	
Disqualified Charity Trustee Checked	
Settlement Agreements	Yes Yes
FPP Chair Sign-off	
FPP Clearance Exceptions	
Insolvency check	
Disqualified Dir Reg Check	
Self-Attestation	01-JAN-2024
E-Rec Vacancy Ref	

OK   Cancel   Clear   Help

Reference EIT

A new value 'Board Member Reference' has been added to the 'Reference Type list of values.

Extra Person Information	
Date Requested	
Date Received	
Approach Indicator	
Reference Type	B ... Board Member Reference

Reference Type

Find %

Reference Type	Description
A	Academic
B	Board Member Reference
C	Current Employer
P	Previous Employer
PR	Professional
S	Personal/Character

Find   OK   Cancel

Post Code

OK   Cancel   Clear   Help

_____
NOT PROTECTIVELY MARKED

_____

End Employment DFF

The field 'Exit Reference Completed' in the End Employment descriptive flex field has been renamed 'Board Member Reference Completed'.

_____

9   AVC Contributions Added into Sal Sac Grp 0 Element

The following elements have been enhanced to allow for the Employer Pension Saving portion of certain AVC contributions to be reported on separately.

• Salary Sacrifice Grp 0 NHS
• Salary Sacrifice Grp 0 NR NHS

When using these elements, 2 new Allowance Types can be selected for the following AVC contribution schemes:

• Prudential AVC
• Standard Life AVC

New National GRR conditions have been setup for these elements with these allowance types (NHS and CYM). These should be used in conjunction with a Period Cash Amount value as the Annual Amounts for the delivered GRR conditions are null.

Optionally local GRR conditions could be setup, as required.

When these Allowance Types are used with these Salary Sacrifice elements then the result element for the payment will also include the Employer Pension Saving relevant for the payment.

For example, a payment is setup as follows for a Salary Sacrifice deduction of £250 pounds for the Prudential AVC scheme.
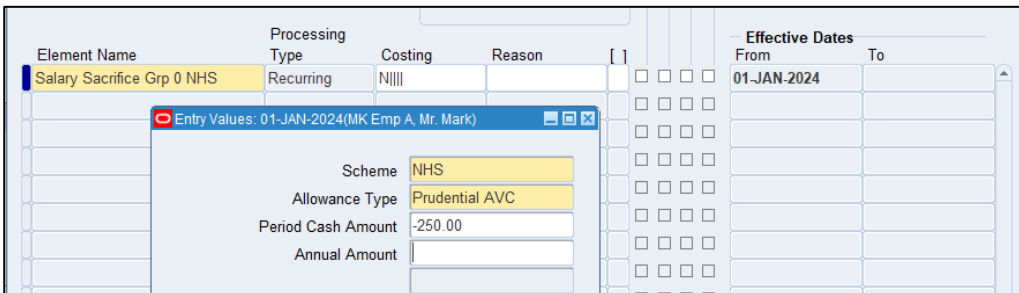
When this is processed it will make a Salary Sacrifice deduction of £250 as a negative earning as expected.
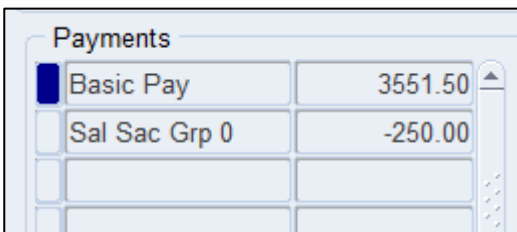
However, if the run results for this payment element are now reviewed there are also some new additional values returned.

_____

_____

The Employer Pension Saving for this amount has also been calculated. This will be calculated using the current NHS Pension Employer rate, which is also displayed.

NOTE: This value is displayed as a negative amount to be consistent with the Salary Sacrifice amount.

This Employer Pension Saving value is available for reporting on in BI or using the standard element reports:

- NHS Element Listing Report
- NHS Detail Element Report

_____

_____

10   Changes to National Insurance Threshold

Following the announcement in the Autumn Statement 2023, ESR has been updated with the new National Insurance percentage rates with effect from 06 January 2024.

The main Class 1 National Insurance rate for employees is reduced with effect from 06 January, 2024 (the start of tax month 10). For directors with an annual earnings period, a blended rate will apply from 06 April, 2023 to account for the variation in rates across the tax year.

The percentages used to calculate NI for employees from 06 January, 2024 are reduced as follows:

- Employee Standard Rate – 10% (previously 12%)
- Employee Reduced Rate for Married Women – 3.85% (previously 5.85%)

The percentages used to calculate NI for Directors from 06 April, 2024 are reduced as follows:

- Director Standard Rate – 11.5%*
- Director Reduced Rate for Married Woman – 5.35%*

*This equates to 10 months at 12% and 2 months at 10%.

There is no change to employer NI rates or the Class 1A rate.

_____

11   HMRC Advisory Fuel Rates

HMRC has published new advisory fuel rates for company cars effective 01 December 2023 and these rates are now in use in ESR.

For one month from the date of change, employers may use either the previous or new current rates, as they choose. Employers may therefore make or require supplementary payments if they so wish but are under no obligation to do either.

The revised rates are as follows:

Engine Size	Petrol	LPG
1400cc or less	14p	*10p
1401cc to 2000cc	*16p	*12p
Over 2000cc	26p	18p

Engine Size	Diesel
1600cc or less	13p
1601cc to 2000cc	15p
Over 2000cc	20p

Engine Size	Electric
1400cc or less	9p
Over 1400cc	9p

* No change has been made to these rates. These are stated for information only.

Action

Please note that mileage payments are not processed when Retropay is run, so any changes to amounts already paid will need to be made manually.