ELECTRONIC STAFF RECORD

ESR-NHS0202– URP Allocation Guidance

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1. DOCUMENT CONTROL

1.1. CHANGE RECORD

Date	Author	Version	Change Reference
11 Feb 09	James Haddon	0.1	First Draft
01 Jul 09	John Stevenson	1.0	Completed document
14 Oct 09	James Haddon	1.1	Changed HR Management Guidance
24 Nov 11	James Haddon	2.0	Reviewed and Updated in line with R12
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01 Oct 15	James Haddon	4.0	Annual Review
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1.2. REVIEWERS

Name	Position
NHS Development Team	

1.3. DISTRIBUTION

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3.   INTRODUCTION

ESR has a variety of User Responsibility Profiles (URPs) relating to each business area which control the access rights of the user, and protect system integrity. This document outlines security risks, and areas of conflict arising from the combination of certain URPs in the ESR solution.

4.   APPROACH

The NHS Central team have reviewed all available URPs within the production environment and have highlighted those URPs that require extra consideration before being allocated to end users.

It is a matter for each local organisation how they allocate the URPs within ESR and where a Trust deviates from the following recommendations they need to make sure that they do so with full Internal Audit Processes in place in order to minimise any risk of fraud or security breaches. These will range from the creation of personal files containing all appropriate signed appointment documentation, copies of person specification, job specification, application form, interview details, appointment letters and any formal review of changes in the contract of employment. How changes are documented is a matter for each Employing Authority but a good audit trail must be maintained. The use of checking reports and budgetary control are areas the Employing Authority needs to consider in order to ensure changes are correctly authorised and approved.

5.   RESTRICTED URPS

The following URPs are considered to be 'Restricted' owing to the access rights they afford the user. They should only be allocated to users who have successfully completed the relevant training and have a sound understanding of the ESR system and the organisation's business processes. It is anticipated that the number of users with access to these URPs would be limited, and that adequate monitoring arrangements are in place.

Business Intelligence Administration
Content Administrator
Content Editor
Local HRMS Systems Administration
Local HRMS Systems and User Administration
Local HRMS User Administration
Local Workstructures Administration
Local User Password Reset
Portal Site Administrator

6. URP COMBINATIONS WITH A WARNING

The following combinations of URP carry a warning. Although the element of risk involved is considered to be low, organisations should ensure that appropriate controls exist to maintain system assurance. The reasons for selecting these URPs to carry a warning are also given.

6.1. *PAYROLL APPROVALS NOT REQUIRED*

NHS Administrator Self Service (Payroll Approvals Not Required)
                                OR
NHS Manager Self Service (Payroll Approvals Not Required)

These URPs may have security issues if combined with **any** of the below

NHS Payroll Administration
NHS Payroll Administration SVL
NHS Payroll Data Entry

NHS Payroll Super Administration

Reason: It is possible to hire staff using Administrator or Manager Self Service; therefore if you also have the Payroll URPs, there may be a security issue if administrator / manager actions are set to no approvals. Where it is necessary to have these URPs allocated together, it is the organisation's responsibility to ensure they have locally agreed internal audit control processes in place to ensure the security risks are minimised.

6.2. PAYROLL APPROVALS REQUIRED

NHS Administrator Self Service (Payroll Approvals Required)
OR
NHS Manager Self Service (Payroll Approvals Required)

These URPs may have security issues if combined with **any** of the below

NHS Payroll Administration
NHS Payroll Administration SVL
NHS Payroll Data Entry
NHS Payroll Super Administration

Reason: Using the Payroll Approvals Required versions of the Self Service URPs requires a role based approval, which is usually allocated to staff within the payroll department. Giving the user the ability to approve their personal payroll changes may introduce a security issue.

Users may categorise notifications requiring approval by organisation.

Again, it is the organisation's responsibility to ensure they have locally agreed internal audit control processes in place to ensure the security risks are minimised.

7. CASCADING RESPONSIBILITIES

The following combinations of URPs are 'cascading' meaning that the top level URP contains all functionality, and derivatives of that URP contain varying degrees of functionality, in line with their intended business process. There is no reason why these URPs should be combined. The following table lists these URPs with the 'cascading' URPs in the same row.

Group 1	<->	Group 2
NHS Absence Administration	AND	NHS Absence Data Entry
NHS Administrator Self Service (Payroll Approvals Required)	AND	NHS Administrator Self Service (Payroll Approvals Not Required)
NHS Finance Reporting	AND	NHS Finance Reporting and Hub Mapping
NHS Element Entry - All Elements	AND	NHS Element Entry – Expenses
NHS Element Entry - All Elements	AND	NHS Element Entry - Timesheets
NHS Vehicle Administration	AND	NHS Vehicle Administration & Expenses
NHS Manager Self Service (Payroll Approvals Required)	AND	NHS Manager Self Service (Payroll Approvals Not Required)
NHS HR Administration	AND	NHS Property Register Administration

7.1. HUMAN RESOURCES

The following HR URPs should not be combined with each other as they also 'cascade'. For example, the NHS HR Administration URP should not be combined with the NHS HR Management URP.

NHS HR Administration
NHS HR Data Entry
NHS HR Management

7.2. PAYROLL

The following Payroll URPs should not be combined with each other as they also 'cascade'. For example, the NHS Payroll Administration URP should not be combined with the NHS Payroll Audit URP.

NHS Payroll Administration
NHS Payroll Administration SVL
NHS Payroll Audit
NHS Payroll Data Entry
NHS Payroll Super Administration

7.3. RECRUITMENT

The following Recruitment URPs should not be combined with each other as they also 'cascade'. For example, NHS Recruitment & Applicant Enrolment Administration URP should not be combined with the NHS Recruitment Data Entry URP.

NHS Recruitment & Applicant Enrolment Administration
NHS Recruitment & Applicant Enrolment Data Entry
NHS Recruitment Data Entry

7.4. VEHICLE ADMINISTRATION

The following Vehicle Administration URPs should not be combined with each other as they 'cascade'. For example, the NHS Vehicle Administration URP should not be combined with the NHS Vehicle Administration & Expenses URP.

NHS Vehicle Administration
NHS Vehicle Administration & Expenses
NHS Vehicle Administration & Payroll Data Entry

8. RESPONSIBILITIES TO AVOID COMBINING

The following URP combinations should not be allocated to users under any circumstances. The reason for each is also given.

8.1. PAYROLL & HR

None of the URPs in group 1 should be combined with **any** URPs in group 2 in the table below.

Group 1	Group 2
NHS Payroll Administration	NHS HR Administration
NHS Payroll Administration SVL	NHS HR Data Entry
NHS Payroll Data Entry	
NHS Payroll Super Administration	

Reason: An end to end Hire-to-Pay process should be avoided at all costs (as it may be possible to hire 'ghost' employees and pay them). Combining the HR URPs along with the Payroll URPs completes the end to end process and so should be avoided.

8.2. PAYROLL & RECRUITMENT

None of the URPs in group 1 should be combined with **any** URPs in group 2 in the table below.

Group 1	Group 2
NHS Payroll Administration	NHS Recruitment & Applicant Enrolment Administration
NHS Payroll Administration SVL	NHS Recruitment & Applicant Enrolment Data Entry
NHS Payroll Data Entry	NHS Recruitment Data Entry
NHS Payroll Super Administration	

Reason: An end to end Hire-to-Pay process should be avoided at all costs (as it may be possible to hire 'ghost' employees and pay them). Although combining the Payroll URPs with Recruitment does not fully complete the end to end process, it does give a large amount of access to one user and so should also be avoided.

8.3. RECRUITMENT & HR

None of the URPs in group 1 should be combined with **any** URPs in group 2 in the table below.

Group 1	Group 2
NHS Recruitment & Applicant Enrolment Administration	NHS HR Administration
NHS Recruitment & Applicant Enrolment Data Entry	NHS HR Data Entry
NHS Recruitment Data Entry	

Reason: An end to end Hire-to-Pay process should be avoided at all costs (as it may be possible to hire 'ghost' employees and pay them). Combining the Recruitment URPs with HR URPs would allow a 'ghost' employee to be hired and placed into position to be paid and so should be avoided.

9. EMPLOYEE RESPONSIBILITIES

Giving employees access to ESR is a logical step in an organisation's progression in realising further benefits from using the system in full. Organisations have a choice of responsibilities they can assign to employees depending on the level of access they wish to give:

Employee Self Service (ESS)
Employee Self Service Limited Access (ESSLA)

There is no reason why a user should be given both ESS and ESSLA as one supersedes the other.

The access each responsibility has is detailed below with 'R' indicating 'Read Only' access and 'W' indicating full 'Write' access:

Access	ESS	ESSLA
Personal Information (inc Ethnicity, Nationality and Marital Status)	W	R
Religious Belief & Sexual Orientation	W	W
Employment Information	R	R
Address	W	W
Phone Numbers & E-mail	W	W
Contacts	W	W
Absence	W	R
Bank Accounts	W	W
Online Payslip, P60 and P11D	R	R
Talent Profile	R	R
Competency Profile	W	R
Compliance Matrix	R	R
Qualifications	W	R
Registrations and Memberships	W	R
Enrol in Learning	W	
Play e-Learning		
External Learning	W	
Notifications	W	W
Access Total Rewards Statement (TRS)	R	R
Opt Out of Printed Payslip	W	W
Supplementary Roles	W	
Job Plans	R	R
Request Flexible Working	W	
End Employment / Non Primary Assignment	W	
Declare Conflict of Interest	W	W

10. SUPERVISOR RESPONSIBILITIES

Two versions of the Supervisor Self Service responsibility are available:

Supervisor Self Service
Supervisor Self Service (Limited Access)

The difference between these two is that the limited access version does not require a smartcard as it does not have access to update data items that require a smartcard to update (such as employee name).

There is no reason to give a user both of these URPs at the same time since one supersedes the other.

11. LEARNING RESPONSIBILITIES

A number of responsibilities are available for Learning and Training staff, depending on the access required. These are:

Learning Instructor
Class Administration
Learning Administration

Learning Administration has full access to the learning functionality, whereas Class Administration is limited to specific courses. Learning Instructor is limited further still by only allowing the user to update enrolment statuses on classes they have been booked as an instructor onto.

There is no reason these responsibilities should be combined with each other as one supersedes the others.