The eSR1 System – Key tips for users

Changes to staffing which require budgetary spend such as recruiting for new or replacement positions, or any changes which require additional budget (eg increasing hours, extensions of fixed term contracts etc.) all need prior approval via an eSR1.

Content:

Before you start
You will need an understanding of how the position is being funded ie by the University (and what budget centre funds are coming from), by external funds such as a research grant, or by a mix of both. Contact your Budget Holder (this is usually your manager) to determine the funding. The Finance and Research Finance Teams can advise if you are unsure.

If you will be recruiting, you will also need the following documents:
- An advert
- An up to date job description

If you are appointing a named researcher, you will need the following documents:
- The individual's CV
- The job description

You will be unable to submit the eSR1 without attaching these documents (the Recruitment Team can help if you have any questions about these documents).

Step 1 – request an eSR1 to be set up for you
The first step is to complete an eSR1 request form or a Leaver notification form (if someone is leaving and you want to replace). A unique eSR1 form will be created for you by HR, and you will receive an email with a hyperlink to your eSR1 for you to complete.

Step 2 - complete the eSR1
Use the link in the email and log in to the system with your University username and password.

The eSR1 form has a maximum of 6 tabs depending on the type of SR1 requested:

| SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | Approval |
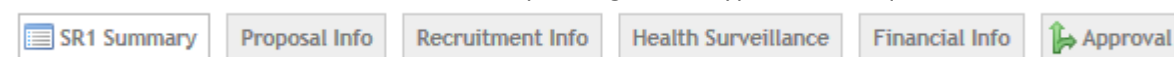
For recruitment: Recruiting Managers complete the Proposal Info, Recruitment and Health Surveillance tabs. For changes: Recruiting Managers will only see, and therefore only need to complete, the Proposal Info tab.

Finance and/or Research Finance complete the Financial Info tab.

Work through the form by completing all the white boxes, these will have been prepopulated wherever possible but you can change these details if they are incorrect.

SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | Approval

Initial Details

			Please complete this column	
College / Service	●	CEMPS	CEMPS	⌄
Reporting Unit	●	Engineering	Engineering	⌄

Click **Save Changes** at the bottom of every tab.

Most fields in the form are mandatory (as indicated by the blue dots) ● and if not completed will not allow you to submit the SR1 for approval. When you save each tab the top of the form will identify any fields that still need completing.

Proposal Info	The Proposal Info tab requests details about the position and how it is to be funded.
Recruitment Info	The Recruitment Info tab requests details about the proposed recruitment campaign and is where you will be asked to upload the job description and advert. Documents can be uploaded by using drag and drop.
Health Surveillance	The Health Surveillance tab has one question relating to health surveillance and will trigger a reminder later on in the process if required.
Financial Info	The Financial Info tab displays a summary of the costs of the position over 6 years and is completed by Finance and/or Research Finance depending on how the position is being funded.
Approval	The Recruiting Manager uses this tab to submit the eSR1 for approval and approvers use this tab to add comments on the proposal and to approve the eSR1. You will be unable to submit the eSR1 until all the tabs are complete.

Step 3 - workflow and approval

Once submitted for approval, the system will email the first approver (normally Finance and/or Research Finance) who will then complete the Financial Info tab and approve the eSR1. The system will then email the next approver and so on.

Recruiting Managers will also receive an email after each approval, they can also track the progress of their SR1s using the SR1 Listings page which lists all of their SR1s together with the status of the approvers (Authorised Signatories):

Full SR1 List

Showing 1 to 50 of 52 results

Issue Date ▼	Ref	Job Title	Grade	College / Service	Type	Recruiting Manager	1	2	3	4	5	6	Status
dd/mm/yyyy 🔍 dd/mm/yyyy	🔍		-- Select -- ⌄	-- Select -- ⌄	-- Select -- ⌄		Authorised Signatories						-- Select -- ⌄
Aug 12th 2019	P66408	Senior Lecturer	Grade G	CLES	New	**Lizzy Sones**	HRC	LS	DC				Under Edit
Aug 9th 2019	P66408	Senior Lecturer	Grade G	CLES	New	UATRecMgr1	U	U					Under Edit
Aug 9th 2019	P46551	Lecturer (E&R)	Grade F	CLES	Replace	UATRecMgr1	U	U					Under Edit
Aug 9th 2019	P61864	Associate Lecturer (E&S)	Grade E	CLES	Replace	UATRecMgr1	U	U	U				Under Edit

On occasion an eSR1 may be missed by an approver, we recommend chasing an approver if your eSR1 has not been approved by them within 3 working days:

Approver	Email address
PS Finance	PSFinanceTeam@ex.ac.uk
Cornwall Research Cluster	Cluster_CornwallSR1@ex.ac.uk

EU Research Cluster	Cluster_EUSR1@ex.ac.uk
ESE Research Cluster	ESE-ResearchCluster@ex.ac.uk
HASS Research Cluster	HASS-ResearchCluster@ex.ac.uk
HLS Research Cluster	HLS-ResearchCluster@ex.ac.uk

When the eSR1 is finally approved, the system will email the Recruiting Manager and HR who will then action the request if all the correct information has been provided (eg for contract changes or named researchers – Employee Services Team will process the request, for recruitment – Recruitment Team will advertise).

Step 4 - recruitment

If the eSR1 is for recruitment the Recruitment Team will advertise the position (usually within 5 working days on full completion and approval) and, prior to your interviews, will send you an email with your interview timetable information which includes a link to the Appointment Details tab on your SR1. You can complete this with details of the successful candidate once the interviews have taken place.

Appointment Details — The Appointment Details tab requests details about the person you are appointing, the start date and any amendments to the position details. Note – the details you provide here will be inserted into the contract of employment and will be legally binding.

Once submitted the system will alert the Recruitment Team who will then issue the contract of employment within 5 working days.

eSR1 step by step guide

| SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | Approval |

Initial Details

Faculty / Service	Academic staff will be within a Faculty. Professional Services staff will be within a Service. Some PS staff are funded by external grants or other departments/faculties, they should still be based within the service which best fits their type of work.
Reporting Unit	The lowest level of Trent unit which this position sits within.
Post Title	Job titles should conform with the UoE standard guidance

Proposal

Is this position a Graduate Business Partner?	(Only displays if eSR1 is for a change and is in Support job family) Choose No unless it is a GBP.
Please specify changes	(Only displays if eSR1 is for a change) Tick the type of change that you are proposing.
Give Details of request	Brief explanation of why the request for approval is being made
Start date/date of change	The provisional start date for a new/replacement position. The actual start date for a change to an existing member of staff or for a Named Researcher.
Is this change permanent?	(Only displays if eSR1 is for a change) If you choose No you will be asked for the date the change will cease.
Is increment due in August?	(Only displays if eSR1 is for a change) Choose yes if the person has been employed continuously prior to 1 February.

Employment Type

Contract type	Fixed term contract (for use when need for work is for a fixed period, or funding is not permanent) Open-ended/Permanent (for use when need for work and funding is ongoing) Open-ended time/Permanent – time limited funding (for use when funding is fixed term but person has accrued continuous service).

Fixed Term Contract Details *(Only shows if contract type is fixed term).*

End date	End date of fixed term contract
Reason	Dropdown of reasons why the position is fixed term.
For whom is cover required?	If reason for fixed term is cover, insert the name of the person this position is covering for.

Details

Reporting Manager	The manager who supervises this position, this is the name that is entered on to Trent and will receive workflow alerts for probation etc. For academic positions this will be the HoD, for research positions this may be the PI (this varies between Faculties).
Job family	Research only (academic job family) Support (professional services job family) Teaching & Research (academic job family) also known as Education & Research Teaching only (academic job family) also known as Education and Scholarship

Salary Details		
Grade*	Academic grades are as follows:	
	E	Graduate Research Assistant (R), Postdoctoral Research Associate (R), Associate Lecturer (E&S)
	F	Research Fellow (R) Lecturer (E&R, E&S)
	G	Senior Research Fellow (R), Senior Lecturer (E&R, E&S)
	H	Associate Professor
	Prof 1, 2, 3	Professor
	Professional Services grades are subject to job evaluation.	
Point	University policy is for appointments to be made at the bottom point of grade, if you wish to appoint above the bottom point you will need approval via your HR Business Partner or the Pay Exceptions process before the offer is made.	

Working Pattern	
Select working pattern	Choose the pattern which describes when the hours will be worked each week.

Employment Details	
Hours Per Week	The hours that will be worked each week.
FTE	(only displays if job family is E&S) The FTE of the appointment, 1 = full time.

Basis	
Term Time Only?	Select yes for positions that work less than 52 weeks per year. If you choose Yes you will be asked to enter the number of working weeks.

Work Location Arrangements	
This position will be	Select Campus based, Hybrid or Remote and choose the location when prompted or explain the reason for remote working.

Financial Information	
Source of Funding	Choose the funding type University – funded by the University budget External – funded by an external grant Mixed – funded by a combination of both
University Funding information	*Only displays if Source of Funding is University or Mixed.*
Proposal matches approved business plan	Choose Yes or Yes with Changes. Your Budget Holder or Finance Team will be able to support you with this aspect. If you choose No you will be unable to progress the eSR1 until your proposal matches an approved business plan.
Give details of how this position will be funded	Provide the budget centre code (4 digits) and as much additional detail as possible to identify how the position is being funded. Speak to your Budget Holder to determine the funding. The Finance Team can advise if you are unsure.
External Funding Information	*Only displays if Source of Funding is External or Mixed.*
Number of external sources	The number of external funding sources.
Name of source/grant	The name of the source of grant together with the project code (6 digits).
Grant holder or UoE contact	The name of the grant holder or University contact

Mixed funding details	*Only displays if Source of Funding is Mixed.*
Amount to be Externally Funded	How much of the cost of the position will be funded from the External funding.

Business Case For Proposal *(only displays for Support job family)*	
Why is this post Business Critical?	Explain in detail why the appointment is required. This will be considered by the Registrar.
Why do we need to make the appointment now?	Give details about the timeliness of the appointment.
Can we perform the role in an alternative way?	If not, give details about why the duties cannot be performed in an alternative way.
Can existing staff pick up some or all of the workload?	If not, give details about how the duties cannot be covered.

Allowances	
Add new allowance	Any allowances that are appropriate from the dropdown.

| SR1 Summary | Proposal Info | **Recruitment Info** | Health Surveillance | Financial Info | Approval |

(This tab only displays for Recruitment eSR1s)

Graduate Business Partners *(only displays if job family is Support)*	
Proposal for GBP recruitment?	Choose Yes or No. If yes, you will be asked to upload a copy of the student internship form.

Researchers *(only displays if job family is Research)*	
Proposal for named Researcher?	Choose Yes or No. If yes, you will be asked to complete details about the researcher.

Named Researcher *(only displays for Named Researchers)*	
Name	Choose Yes or No. If yes, you will be asked to complete details about the researcher.
Home Address	The home address of the named researcher
Email	The email address of the named researcher
Date of Birth	The date of birth of the named researcher
Registered Induction facilitator	Choose the appropriate facilitator from the list, ensure you have confirmed they are available before submitting these details.
CV	Upload a copy of the named researcher's CV
Job description	Upload a copy of the job description.
Is the attached job description new, or has the content been amended.	Choose Yes if the job description is new or it is one that has been amended and then upload confirmation of the grade from the HERA Panel.
Right to work documents	Upload certified copies.

Recruiting Documentation	
Job description	Upload a copy of the job description.
Advert	Upload a copy of the advert
Is the attached job description new, or has the content been amended.	Choose Yes if the job description is new or it is one that has been amended and then upload confirmation of the grade from the HERA Panel.

Panel Membership	
Faculty/Service Admin contact	The name of the person who will administer the recruitment arrangements.
Add University Staff Member	Use the system to search for and add panel members from members of staff at the University
Add Non-Staff Member	Use the fields to add panel members that are not members of staff.

Advertising	
How many weeks do you want this post advertised	4 weeks advertising is essential if a Tier 2 visa may be required.

Please give details of any flexibility of working hours that can be advertised	Advertising flexibility in the advert can make the role more attractive and will help us to fill the vacancy.
Choose Media	Tick the media that you want the advert to appear in
If you would like your vacancy advertised on any other media, please give details and costcode	Please give details and costcode
Logos	If position is funded by ESIF tick the appropriate logo

Disclosure and Barring Services	
DBS check required?	Choose No unless the postholder will be working with children or vulnerable adults, you will also be asked for a costcode.

Driving	
Driving required?	Choose No unless it is an essential part of the role that that the postholder will be required to drive. If you choose Yes please specify the vehicles as prompted.

Security Screening for Home Office designated facilities	
Advanced screening required?	Choose No unless the postholder will require access to secure areas. Contact the Head of Biological Services for advice.

Recruiting Practising Doctors or Qualified Nurses	
Does the role require candidates to be a practising Doctor registered with the GMC?	Choose No unless the postholder must be a practising Doctor.
Does the role require candidates to be a practising Nurse registered with the NMC?	Choose No unless the postholder must be a practising Nurse.

| SR1 Summary | Proposal Info | Recruitment Info | **Health Surveillance** | Financial Info | Approval |

(This tab only displays for Recruitment eSR1s)

Health Surveillance	
Will the postholder's role involve work with the following?	Choose No unless the postholder will be working with any of the hazards listed.

| SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | **Approval** |

Submission	
Submit for Approval	Click the button to submit the eSR1. The system will then alert each approver in turn. The system will email you updates of the eSR1's progress. When complete the eSR1 will alert HR who will then advertise the position (for recruitment eSR1s) or make the changes to the member of staff's contract (for change eSR1s). If you feel there is a delay in your eSR1 being approved you should contact the approver who it is sitting with.

| SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | Approval |

SR1 Summary | Proposal Info | Recruitment Info | Health Surveillance | Financial Info | Approval | **Appointment Details**

(This tab only displays for Recruitment eSR1s once an eSR1 has been approved)

IMPORTANT – these details are used to populate the employment contract.

Appointment Details	
Post title	Only amend if the advertised job title has been agreed to be changed
Name of Appointee	Insert the name of the person appointed

Employment Details	
Provisional start date	Insert the agreed start date
Hours per week	Only amend if the advertised hours have been agreed to be changed.

Salary Details	
Grade	Only amend if the advertised grade has been agreed to be changed, you will be asked for additional details and to attach confirmation that the role has been graded.
Point (or Salary)	University policy is for appointments to be made at the bottom point of grade, if you wish to appoint above the bottom point you will need approval via your HR Partner or the Pay Exceptions process before the offer is made.

Authorisation of Changes	
If details offered are different to those approved in the eSR1 please state changes required and authorisation gained.	Give details if appropriate.

Allowances/Additional Payments	
Details of any other allowances/additional payments	Give details if appropriate and attach a copy of the approval or Pay Exception process form.

Relocation	
If different, give details	Give details if appropriate.

Working Arrangements	
Select Working Pattern	Only amend if the pattern has been agreed to be changed.

Work Location Arrangements	
This position will be	Only amend if the location has been agreed to be changed or if you are now confirming the location.

Key Contacts	
Registered Induction facilitator	Choose the appropriate facilitator from the list, ensure you have confirmed they are available before submitting these details.
Reporting Manager	Only amend if the manager needs to be changed.
Academic Lead/ Mentor	*(Only displays for academic job families)*

Ref Unit of Assessment	For a list of the units, click on Related Pages at the top right hand side of the screen and choose REF Unit of Assessment from the dropdown.

PDP	*(Only displays for grade F, E&R job family)*
PDP Stream	Choose appropriate stream
Appointee will be required to meet	Choose standard of non standard targets
Details if appropriate	Give details of any non standard targets
Attach PDP documentation if appropriate	Upload if appropriate.

Please detail any other information here	Use this section to inform the Recruitment Team of any other relevant information about the appointment eg if the candidate didn't bring in right to work documents detail when this will be collected etc

To be completed for all recruitment	
Right to work documents	Upload certified copies.
PD01	Upload – the Recruitment Team need this information in order to communicate with unsuccessful candidates.
Interview Notes	Upload – for audit purposes.

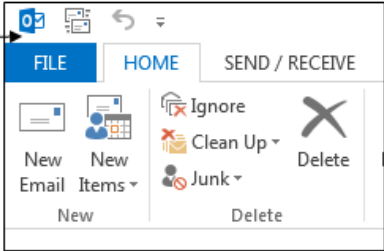| Condition of Appointment	
Save Changes & Submit	Click the button to submit the eSR1. The system will then alert the Recruitment Team who will then issue the contract within 5 working days.

eSR1 proxy approval

If you are an eSR1 approver and are going to be absent from the University for a period of time please email e.sones@ex.ac.uk and ask that your proxy be given access on the eSR1 system to approve on your behalf, please include the dates of your absence so that the access can be removed again on your return.

You will also need to set up an email forwarding rule on your outlook account to forward eSR1 emails to your proxy so that they can action any approvals.

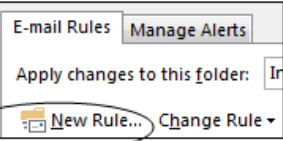**Automatically forwarding ESR1 emails to Proxies in your absence (email forwarding rule)**
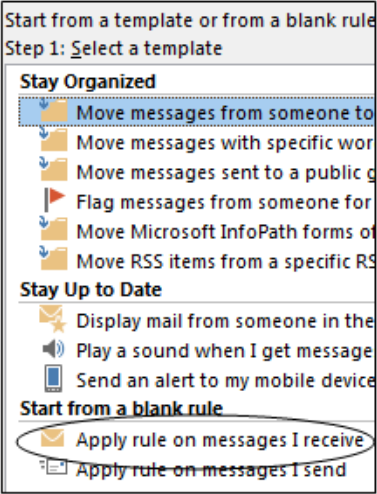
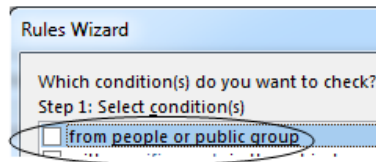In Outlook, click on File

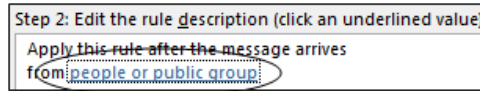Click on the Rules and Alerts button

Choose "New Rule" from the Rules and Alerts pop up

Click on "Apply rule on messages I receive and then click on the Next button.
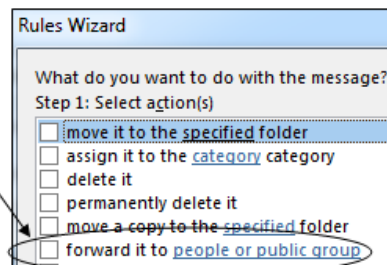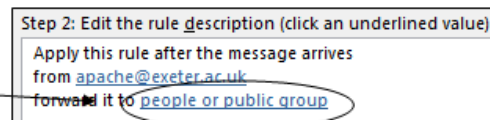
Tick "from people or public group"

Rules Wizard

Which condition(s) do you want to check?
Step 1: Select condition(s)

☐ from people or public group

Click on "people or public group" and key in the email address apache@exeter.ac.uk and click OK, then Next.

Step 2: Edit the rule description (click an underlined value)

Apply this rule after the message arrives
from people or public group

Click on "forward it to people or public group"

Rules Wizard

What do you want to do with the message?
Step 1: Select action(s)

☐ move it to the specified folder
☐ assign it to the category category
☐ delete it
☐ permanently delete it
☐ move a copy to the specified folder
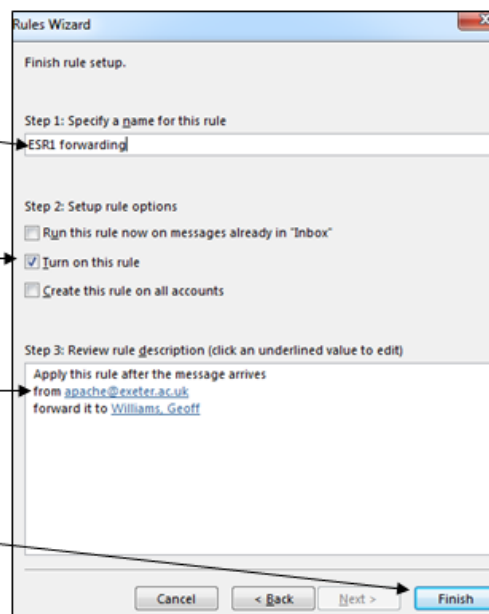☐ forward it to people or public group

Click on "people or distribution list" and search for the person or key in the email address of your Proxy and click Next.

Click Next again, there are no exceptions.

Step 2: Edit the rule description (click an underlined value)
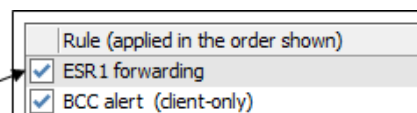
Apply this rule after the message arrives
from apache@exeter.ac.uk
forward it to people or public group

Give the rule a name eg ESR1 forwarding

Rules Wizard

Finish rule setup.

Step 1: Specify a name for this rule

ESR1 forwarding

Step 2: Setup rule options

☐ Run this rule now on messages already in "Inbox"
☑ Turn on this rule
☐ Create this rule on all accounts

Tick "turn on this rule"

Step 3: Review rule description (click an underlined value to edit)

Apply this rule after the message arrives
from apache@exeter.ac.uk
forward it to Williams, Geoff

Double check the settings

Click on Finish and then Apply to confirm and set up.

Cancel   < Back   Next >   Finish

On your return from absence simply access Files, Rules and Alerts and untick the ESR1 forwarding option.

Rule (applied in the order shown)
☑ ESR1 forwarding
☑ BCC alert (client-only)

2 Sep 2022