

Mass Updates FAQs

Introduction

The Electronic Staff Record (ESR) is part of the Workforce Services Directorate within the NHS Business Services Authority (NHSBSA). ESR is managed by the NHS ESR Central Team and offers the provision of an integrated hire to retire workforce management solution for the NHS in England and Wales.

The Mass Update facility is a service that the NHS ESR Central Team offer to NHS Organisations to help improve their data quality, with the facility to update a large amount of data into ESR, reducing pressure of manual input on NHS Organisations. Use of the service on an ad hoc basis is provided at no cost to the user.

Mass Updates can in most cases **Add** new records, **Update** existing records, or **Delete** existing records depending on the type of mass update requested.

Mass Updates are available to support NHS Organisations in their business-as-usual data quality processes and as such, NHS Organisations are expected to maintain their data within ESR once the Mass Update has been completed.

Where an NHS Organisation expects to raise a mass update request that exceeds the number allowed, then consideration should be taken around whether implementing an interface would be more beneficial. The Mass Update process is not a way to circumvent implementing interfaces.

Document Purpose

This FAQ document has been developed to assist ESR users with some common questions, advising of best practice and explaining some common errors in relation to the mass update service provided via the ESR Service Desk. ESR users within NHS Organisations should review this document prior to raising a Service Request for a mass update.



Electronic Staff Record



Contents

Mass Updates FAQs.....	1
Introduction	1
Document Purpose.....	1
1. Best Practice	3
1.1 Please Do	3
1.2 Please Don't.....	3
2. Common Error Messages.....	4
2.1 Error 1: Record for update does not exist	4
2.2 Error 2: Record for deletion does not exist at the specified Level.....	4
2.3 Error 3: Addition requested, but record already exists for update.....	5
2.4 Error 4: API Errors	6
2.5 Error 5: Update requested, but record not found to update	6
3. FAQs.....	8
3.1 What type of mass updates are available?	8
3.2 How do I request a mass update?	13
3.3 How do I fill in the mass update template document?.....	14
3.4 What is involved in the process?	14
3.5 What is the Mass Update Tool's data source?	16
3.6 How long do mass updates take to process?	16
3.7 How many Mass Updates can I request?.....	16
3.8 When should I use the Other Data Load service?	17
3.9 How is an 'Other Data Load' request different to a mass update request?	17
3.10 How do I raise an 'Other Data Load' or 'Self-Service/e-Learning URP Load' request?.....	18
3.11 What are the Maximum and Minimum number of records?	18

1. Best Practice

There are several tips we can provide to ensure users have the best experience when using the mass update and Other Data Load services. These are set out below.

1.1 Please Do

- ✓ Note that the minimum number of records for a mass update is 100.
- ✓ Note that the minimum number of records for an 'Other Data Load' is 200.
- ✓ Note that the upload service is run on a fair use policy. It is expected that it will be used up to 4 times by a single organisation, per rolling 12 months. Some exceptions are made when rolling out a new service over a period of ~3 months. NHS Organisations are advised to submit as many records as possible on a template (up to the maximum permitted), rather than frequently submitting templates with few records on to reduce the number of mass updates they request. The mass update process should not be used to avoid implementing an interface.
- ✓ Note that an 'other data load' option should be used to request uploads where a mass update offering is not available on the ESR Service Desk. This request will be assessed to identify if it is technically possible and if there is a wider benefit for future use of the service.
- ✓ Submit as many records as possible on a template (up to the maximum permitted).
- ✓ Resolve SRs in a timely manner.
- ✓ The data provided is checked for accuracy before submission. Inaccurate data will slow down the processing of the mass update
- ✓ Use the list of values, where provided in a template.
- ✓ Ensure that someone is available to run any processes the NHS Central Team advise must be actioned by the NHS Organisation
- ✓ Ensure all communication is made via the SR in a timely manner.

1.2 Please Don't

- ✗ Load data into fields that it was not intended for e.g., personal email addresses would not be loaded into an office email field.
- ✗ Load data against records where the end date is greater than 12 months ago in ESR.
- ✗ Try to load data for new starters that includes an effective date prior to their employment within this VPD.
- ✗ Request another mass update request before closing an existing mass update.
- ✗ Expect a mass update to be submitted on the date of processing.
- ✗ Create a record linked with a mass update request, such as a competency in ESR, on the same date the mass update is submitted. In the event that the mass update is processed on the same date of submission, those newly created records it links to will not be present in back-end processes, causing the mass update to fail.
- ✗ Provide data on a template that is not designed by the NHS Central Team.
- ✗ Modify the template structure in any way.

- × Copy and paste data where a list of values (LOV) is present.
- × Run any processes before the specified time provided in the communication from the NHS Central Team. Certain Types of Mass Updates require action from the NHS Organisation for the process to be successful.

2. Common Error Messages

This section provides examples and explanations of common errors produced by the process reports. For further information on the SIT Data Store which are referenced in this section, please refer to 3.5 What is the Mass Update Tool's data source?

2.1 Error 1: Record for update does not exist

This error appears across multiple types of records requested for update and examples are listed below. The values provided must exist and must match exactly with those recorded in ESR. It must also be live for the period indicated on the record to be updated.

Check ESR to ensure that the information provided on the template, such as employee number, exists and meets the criteria specified above.

Examples

Employee number (*Employee Number*) does not exist on PRA record

Organisation (*Organisation Name*) does not exist on ORA record

Proficiency (*Proficiency Level*) does not exist on RLA record

Competence id cannot be found for (*Competency Name*) on CDA record

Position (*Position Number*) does not exist on POA record

PRA = *Person Record*

ORA = *Organisation Record*

RLA = *Rating Level Record*

CDA = *Competence Definition Record*

POA = *Position Record*

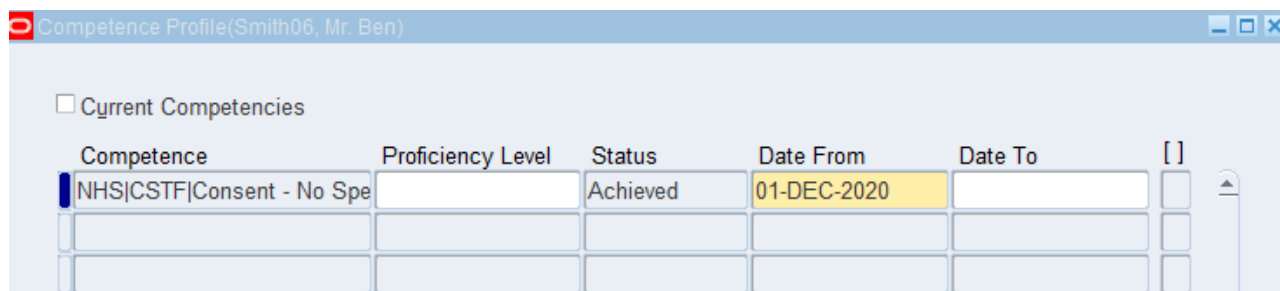
2.2 Error 2: Record for deletion does not exist at the specified Level

Example

A record, such as a competency held by an employee, has been included for deletion. The record may not be held by the employee, or the details provided by the Organisation may be incorrect.

The details must match exactly with those held in ESR. The example below is requesting

the deletion of NHS|CSTF|Consent - No Specified Renewal from an employee's record.



The employee's record shows the competency has a 'date from' but not a 'date to'. This information should be reflected in the template, as shown below.

	A	B	C	D	E	F
	Record Type	Employee No	Competence	Level	Date From	Date To
1						
2	delete	1234567	NHS CSTF Consent - No Specified Renewal		01-Dec-20	
3						

When the record type 'Delete' is selected, the process will remove the record completely from the ESR record.

If the record should not be removed completely and instead you wish to add an end date to it, this should be submitted as an Update with the end date entered in the 'date to' column.

	A	B	C	D	E	F
	Record Type	Employee No	Competence	Level	Date From	Date To
1						
2	update	1234567	NHS CSTF Consent - No Specified Renewal		01-Dec-20	01-Dec-21
3						

2.3 Error 3: Addition requested, but record already exists for update

Example

Position (*Position Number*) Addition requested, but record already exists for update

In the example above a competency requirement update of the position has been requested.

The mass update tool has compared the competency requirement information on the template with the details held in the SIT Data Store and has identified that there is a competency with matching details already attached to the position. By adding the record again, this would duplicate the requirement in ESR.

Check the details provided against the desired outcome. For example, the record type may be incorrect and instead of an Add record the record type should have been recorded as a Delete record type.

2.4 Error 4: API Errors

1. , **API Error: create_competence_element: competence_element_id = error msg: ORA-20001: The dates of the competence_element you entered overlaps with an existing competence record., API Error: The dates of the competence_element you entered overlaps with an existing competence record.**

The employee already has an instance of this competency against their records that overlaps with the dates supplied.

Check ESR, and if required, update the template accordingly

2. **API Error: create_competence_element: competence_element_id = error msg: ORA-20001: The competence element date(s) are outside the valid dates for that competence., API Error: The competence element date(s) are outside the valid dates for that competence.**

A request to add a competency has been received, however the dates provided for the Date from / Date to are outside the date the competency exists in ESR.

3. , **API Error: create_competence_element: competence_element_id = error msg: ORA-20001: The competence already exists on this date for the specified Business Group, Organization, Job or Position., API Error: The competence already exists on this date for the specified Business Group, Organization, Job or Position.**

The competence requirement specified on the template already exists on the Business Group, Organisation, Job Role or Position. To prevent duplication of the competency, the record has errored.

2.5 Error 5: Update requested, but record not found to update

Example

Position (Position Number) Update requested, but record not found to update.

A request to update a record, such as position, has been submitted; however, that position cannot be found in the SIT Data Store.

Check ESR to ensure that the record appears in ESR.

The mass update tool uses the data held in the SIT Data Store, which may not be as up to

date as the information held in ESR. For example, an employee may show as having a competency in ESR, but this is not reflected in the SIT Data Store yet. In these circumstances, the NHS Central Team will investigate and decide on the appropriate action to take, including refreshing the data held in the SIT Data Store.

The NHS Central Team may ask for further information from the Organisation to decide on the correct action to take.

3. FAQs

3.1 What type of mass updates are available?

The mass updates available to NHS Organisations are listed in the table below. Some of the Mass Updates require additional processing by the NHS Organisation before it is processed and ESR is updated. They are also time sensitive and must be processed in set time slots throughout the day. These Mass updates are highlighted in blue and instructions are provided on the SR by the NHS Central Team at the time of processing.

Mass Update – Job Role	Replaces the current Job Role and Staff Group values attached to a Position. There is no minimum requirement to this mass update as NHS Organisations are unable to update the Job Roles attached to Positions manually, without creating a new Position.
Mass Update - Position/Workstructures/WTE	<p>Enables attributes of a Position to be updated:</p> <ul style="list-style-type: none"> FTE Value Position Type Hiring Status DBS Disclosure Children’s Barred List Check Required Adults Barred List Check Required Eligible for OH Processing EPP Post Interface Flags Occupation Code Area of Work Deanery Post Number Managing Deanery Body Code Host/Lead Employer Status (Deanery information) <p>Only the above attributes are updated. Any other fields in the Position are not updated either via a</p>

	<p>Mass Update or any other facility the NHS Central Team offer. Neither can the NHS Central Team create new positions or update positions in assignment records.</p> <p>The minimum number of records for this mass update is 100.</p>
<p>Mass Update – Finance Codes</p>	<p>There are 2 functions offered relating to Finance Codes updates:</p> <p>1 - Account Code Update - replaces existing cost centres, subjective codes, sub analysis 1 and sub analysis 2 codes with new codes for a VPD. The Account Code update can also be used to update existing cost centres for a specific organisation and/or update subjective codes for specific position numbers.</p> <p>Where the Position Number is specified, this will cascade down to the related assignment records.</p> <p>The Account Code must already exist in ESR.</p> <p>2 - Account Code Creation – Creates new Account Codes in ESR. The Account Code Creation procedure does not add descriptions (narratives) against the new cost centres, new subjective codes, new sub analysis 1 and sub analysis 2 codes. The descriptions (narratives) must be added manually by the NHS Organisation</p> <p>Mapping mass updates are not available via this function. This type of mass update is usually carried out as part of a new GL Hub set up and copies the element mapping from one GL Hub to another GL Hub.</p> <p>The minimum number of records for these mass updates is 100, with the exception of the <i>Account Code Update</i> where the following criteria are met:</p> <p>Where the Account Code Update specifies an update to the subjective code held on a position and the total number of assignments linked to the positions exceeds 100 records.</p>
<p>Mass Update - Competencies</p>	<p>There are 2 functions available with this mass update request:</p>

	<p><i>Competency Requirements</i> – Allows the additions, Update or Deletion of competencies required for the following records: Position Job Role Organisation Business Group</p> <p>Assignment Level Requirements are not included in this process and the NHS Central Team do not currently offer any facility to update Requirements at this Level.</p> <p><i>Competencies Held</i> – Allows the addition, update or deletion of competencies held by an employee in ESR.</p> <p>This minimum number of records for this type of data load is 100.</p>
<p>Mass Update - Email</p>	<p>Updates the Email field in ESR in the 'Office Details' tab in the person record.</p> <p>This mass update is not to be used to update employee personal emails. The correct offer for that type of data load is 'Mass Update – telephones'.</p> <p>Only work emails address should be included for update. The email address in the Office Details tab is the one associate with User Accounts and is used for User Account Password resets. Where an organisation requires non-NHS mail accounts updating in the 'Office Details' tab, they will be advised via the SR to provide a signed letter from the Organisation's IG Lead confirming they accept the risks involved.</p> <p>Minimum number of records for this mass update is 100 records.</p>
<p>Mass Update – Applicant Loads</p>	<p>Updates ESR with Applicant records.</p> <p>The mass update will only ever load the records with a status of 'Preferred Applicant'. The Mass Update does not 'Hire' the applicants. This can be actioned by the organisation via the Mass Update of Applicants function available in ESR.</p>

	<p>Minimum number of records for the mass update is 100.</p>
Mass Update - Ethnicity	<p>Allows the addition, update, or deletion of the following record types in ESR: Ethnic Origin Country of Birth Nationality</p> <p>Note: The data supplied in this template must be sourced from the employee. Using options such as 'Not Stated' without the employee's consent is explicitly inappropriate.</p> <p>The minimum number of records for this mass update is 100</p>
Mass Update – Religious belief and Sexual Orientation	<p>Allows the addition, update, or deletion of the Beliefs and Sexual Orientation of Employees in ESR</p> <p>Note: The data supplied must be sourced from the employee and using such options as 'Not Stated' without the employee's consent is explicitly inappropriate.</p> <p>The minimum number of records for this mass update is 100 records.</p>
Mass Update - Addresses	<p>Allows the addition, update, or deletion the Address details of Employees in ESR.</p> <p>This includes the Address Types available in the Address button in the employee person record.</p> <p>The minimum number of records for this mass update is 100.</p>
Mass Update - Telephones	<p>Allows the addition, update, or deletion of Employee Phone Details, other than their main office phone, in ESR.</p> <p>Personal email addresses can also be updated here.</p> <p>The minimum number of records for this mass update is 100.</p>
Mass Update - Disability	<p>Allows the addition, update, or deletion of Disability records for Employees in ESR.</p> <p>Note: The data supplied must be sourced from the employee. Using options such as 'Not Declared' without the employee's consent is explicitly inappropriate.</p>

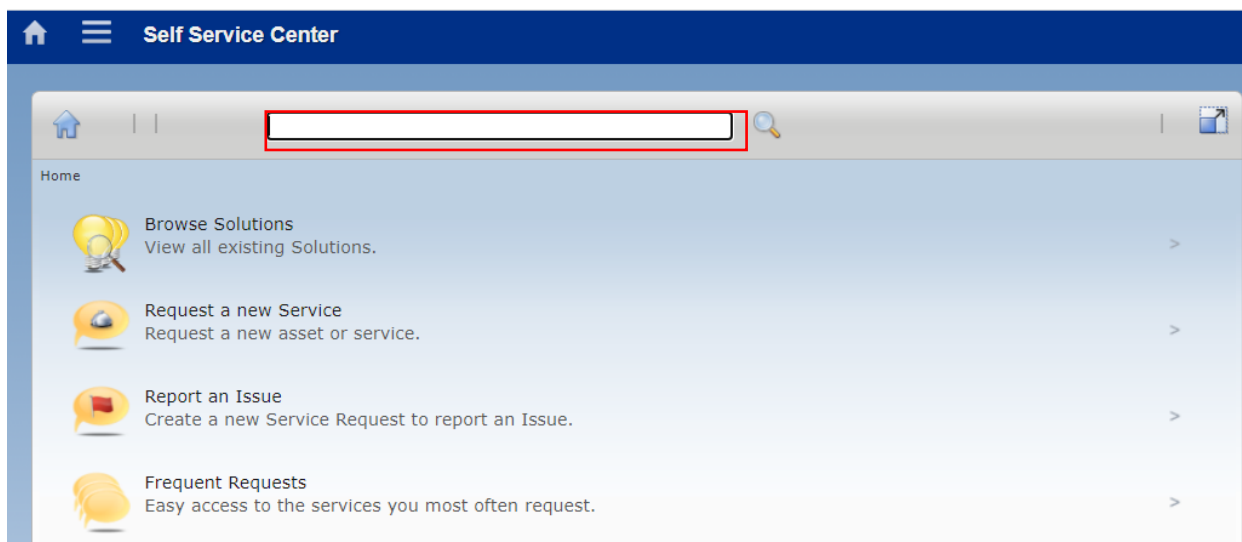
	<p>The minimum number of records for this mass update is 100.</p>
Mass Update – OH Assessment	<p>Allows the addition, update, or deletion of Occupational Health Assessment details for Employees in ESR.</p> <p>The minimum number of records for this data load is 100.</p>
Mass Update – OH Immunisations	<p>Allows the addition, or deletion of Occupational Health Immunisation details for Employees in ESR. At this time the NHS Central Team cannot update existing OH Immunisation records.</p> <p>The minimum number of records for this data load is 100.</p>
Mass Update – Property Register	<p>Allows the addition, update, or deletion of Property that is assigned to Employees in ESR.</p> <p>The property value must exist in ESR before the mass update can be performed.</p> <p>The minimum number of records for this mass update is 100.</p>
Other Data Load/ E Learning/Self Service URP Load	<p>Where the data to be loaded into ESR does not fall within the Mass Updates listed above, there are two other options to consider.</p> <ol style="list-style-type: none"> 1. Other Data Load 2. E Learning/Self Service URP Load <p>An Other Data Load Request should only be raised when the Mass Update options have been considered and does not meet the criteria. If an Other Data Load is raised and the data requirements fit into a Mass Update, the SR will be resolved. The minimum number of data items for an 'Other Data Load' is 200.</p> <p>E Learning/Self Service URP Load are specifically for the Creation of New User Accounts and the Updating of existing user accounts by adding or end dating URPs.</p> <p>Please see section 'When should I use the Other Data Load Service' for further information.</p>

3.2 How do I request a mass update?

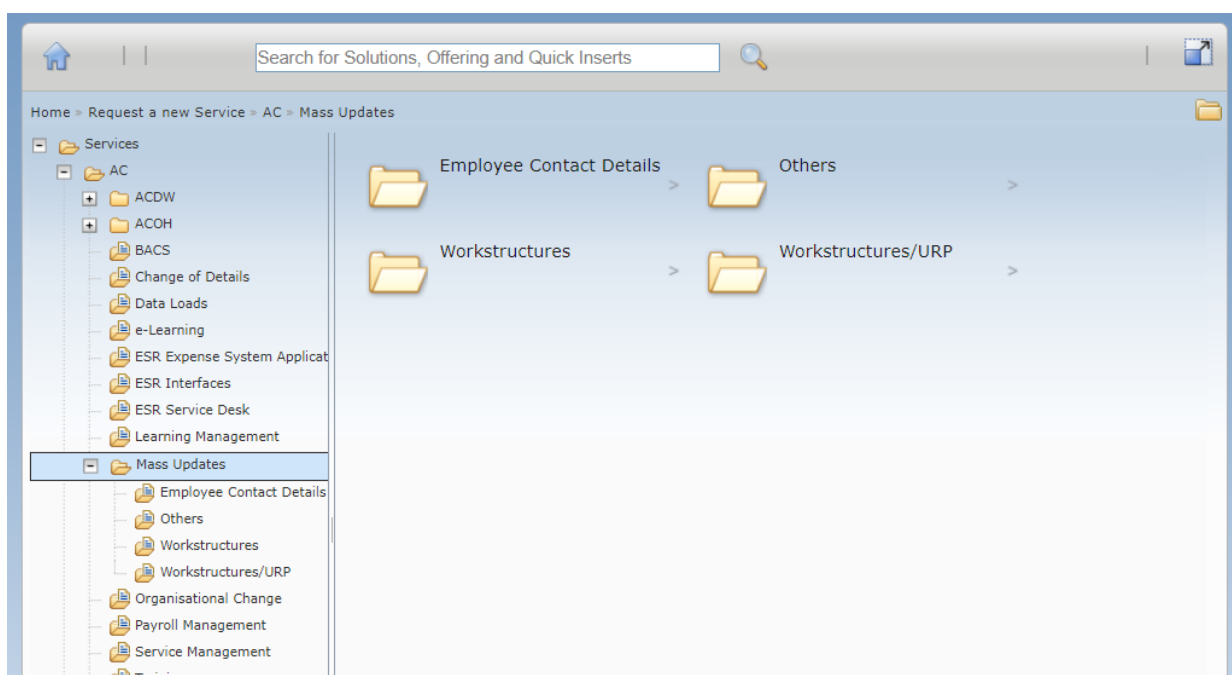
Mass Updates are managed by the NHS ESR Systems Integration Team/Central Team and are requested via the ESR Service Desk.

There are two routes to be used to progress a mass update request:

You can either search for mass updates by typing 'Mass Update' into the Search Window within the ESR Service Desk.

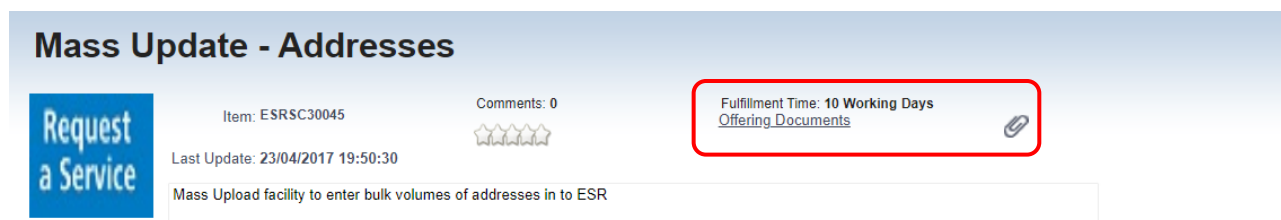


Or by selecting “Request a new Service > AC > Mass Updates” and then the relevant folder for the area the Mass Update falls within.



3.3 How do I fill in the mass update template document?

Each Mass Update Service Request has a section called 'Offering Document'. These offering documents include the template to be completed and the guidance document *ESR-NHS0196 Mass Update Processes*, which provides information on the mass update process, including how to complete the templates.



The template should be completed as specified in the guidance document. The template structure **must not** be changed in any way and only the templates provided on the ESR Service Desk should be used. If a template is altered and becomes an invalid format, the mass update process will fail.

Where a 'Date From' is required within the template, this is the effective date that should be/is recorded within ESR, not the mass update processing date.

If the mass update request is submitted without a completed template, a blank template and the guidance document will be provided for completion by the NHS organisation. A mass update request will not be progressed until a completed template is received.

It should be noted that completing the template provided within the offering documents (and attaching this to the SR on submission of the request) will reduce the mass update processing time.

3.4 What is involved in the process?

Initial checks

On receipt of a completed template, the NHS Central Team will perform a visual check of the template for issues which may cause the mass update to fail processing. The NHS Central Team will also check the number of records submitted within the template. This does not validate the quality of the data contained in the template, but if any issues are spotted these can be reported back to the NHS Organisation before the template is submitted to the Mass Update tool. The Mass Update tool is designed so that it will not accept templates with less than the minimum number of record.

If any issues are identified, the SR will be updated accordingly, and the user will be asked to address the problem(s) before they re-attach the template to the request.

If there are no issues identified, the template will be submitted to the Mass Update Tool for processing. This tool processes the mass update and loads the data into ESR. If there are no issues at this stage which will cause the mass update tool to reject the template, the template will process overnight and produce a service report the following day.

Processing the mass update request

Some types of Mass Update (such as Account Codes Updates) are time sensitive. This means that the mass update must be submitted for processing in set time slots throughout the day by the NHS ESR Central Team. Action is also required from the NHS Organisation once the Mass Update is submitted for processing. The NHS Organisation will be advised of the time slot the mass update has been submitted for processing in. The SR will also outline the action the NHS organisation must take to complete the processing of the mass update. These are highlighted in the mass update table above.

The mass update service report and error messages

The Mass Update processes overnight, and a service report produced. The service report is attached to the SR and the SR updated by the NHS Central Team with information pertinent to the mass update.

Not all mass updates produce the same type of service report; however, the service report is there to confirm which records have been successfully processed in ESR and those that are in error and failed to process.

Any records in error will display an error message in the report to assist the NHS Organisation with resolving any issues.

Typically, where a successful outcome results in less than 100 records in error, the NHS Organisation will be advised that they must update ESR themselves. If over 100 records are in error, the NHS Organisation may submit any errored records on a template as advised on the SR and attach the template to the same SR. All issues with the data must be resolved before submitting the records for processing.

Some mass updates may fail to load any records: For these mass updates (such as the competency mass updates) a 'failed' outcome will be reported where the number of records in error exceeded 10% of the total records submitted within the template. This may mean that not all records are in error, however the number of records in error was sufficient that no records were processed. The NHS Organisation will be advised via the SR what action to take. This involves resolving any issues with the records in error and submitting all the records for processing again.

Completion of the mass update request

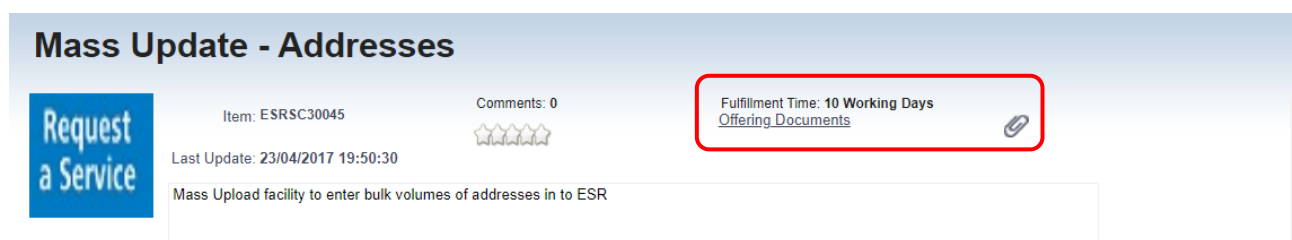
Once the mass update is completed, the SR raised will be moved to customer closure. At this stage, the NHS Organisation are asked to resolve the SR.

3.5 What is the Mass Update Tool's data source?

Throughout this document reference is made to the SIT Data Store. The Mass Update Tool does not use the information held directly in ESR, it sources the information from the SIT Data Store. The SIT Data Store is a copy of the data held in ESR and is used for several processes, such as for the outbound interfaces. An extract is taken each night of the data in ESR to update the SIT Date Store.

3.6 How long do mass updates take to process?

The Mass Update itself typically runs over night on the day that it is submitted for processing; however, each mass update has a fulfilment time on the SR.



Mass Update - Addresses

Request a Service

Item: ESRSC30045

Comments: 0

Last Update: 23/04/2017 19:50:30

Fulfillment Time: 10 Working Days
Offering Documents

Mass Upload facility to enter bulk volumes of addresses in to ESR

The NHS Central Team endeavour to process mass updates within a few days of receipt of the SR, but this is not always possible. Organisations should be aware of the fulfilment time for the Mass Update they require and should not expect the request to be processed the same day that the SR is raised.

Some Mass Updates can only be sent for processing to ESR by the NHS Central Team at specific times during the day and require action from the NHS Organisation to complete the processing. If the NHS Organisation does not complete their part of the process, then the mass update will not process successfully. The NHS Organisation will be advised of the time slot the mass update has been submitted in and that they must action their part of the process a minimum of 45 minutes after the specified time slot. NHS Organisations must not attempt to run the process before 45 minutes have elapsed after their designated time slot. Once the NHS Organisation has completed their part in the processing, the mass update will process overnight.

A Mass Update may require processing multiple times due to issues with the data provided on the templates. This will increase the time that the mass update will move to completion.

Issues such as periods of downtime will also affect the processing of the mass update.

3.7 How many Mass Updates can I request?

The upload service is run on a fair use policy. It is expected that it will be used up to 4 times by a single NHS Organisation per rolling 12 months. Some exceptions are made when rolling out a new service over a period of circa 3 months. NHS Organisations are advised to submit

as many records as possible on a template (up to the maximum permitted), rather than frequently submitting templates with minimum numbers on to reduce the number of mass updates they request. The mass update process should not be used by an NHS Organisation to circumnavigate implementing an interface.

3.8 When should I use the Other Data Load service?

Where the data items do not fall within one of the existing mass update categories as per the table in *3.1 What type of mass updates are available?*, it may still be possible to provide assistance to an NHS Organisation.

The NHS ESR Central Team provide an 'Other Data Load' service as an alternative method to potentially load information into ESR. When an 'Other Data Load' is received, it will be assessed for viability to determine whether it is possible to load the information into ESR using this method. As such, not all requests for an 'Other Data Load' will be accepted. They will be assessed to confirm if it is technically possible and if there is a wider benefit for future use of the service.

The NHS Central Team will not perform Data Loads which are pay affecting, such as Incremental steps or changes to position.

Other Data Loads can only upload data into ESR and cannot update information that is not accessible to a core user of ESR. For example, areas such as 'Conflict of interest' and 'Vehicle Repository', which are only accessible by HTML or is Oracle based, cannot not be updated.

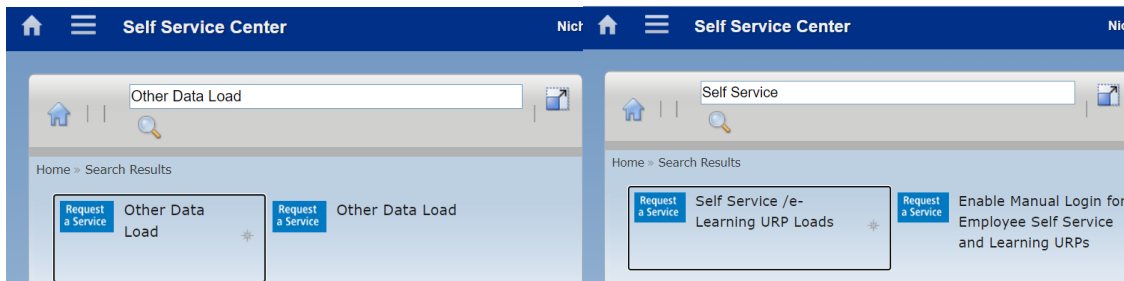
Where an Update to an Existing User account is required that is not specified in the table above, such as changes to password expiry, these can be performed as an 'Other Data Load' by the NHS Central Team. Please note, this does not include the addition of the email address to existing user accounts which are not included in any data load process.

3.9 How is an 'Other Data Load' request different to a mass update request?

The 'Other Data Load' is a different service to a mass update request. The mass update process is a tool which updates the SIT Data Store with the data submitted via an overnight process. An 'Other Data Load' is performed by either a member of the NHS Central Team or the NHS BSA Virtual Worker and mimics the keystrokes a live user would use to make the changes in ESR, thus requiring access to an Organisation's ESR, unlike the Mass Update process. Due to the work involved to process and develop an 'Other Data Load', the minimum number of records is 200

3.10 How do I raise an 'Other Data Load' or 'Self-Service/e-Learning URP Load' request?

To raise an 'Other Data Load' or 'Self-Service/e-Learning URP Load' request, please go to the ESR Service Desk and choose the following options:



Please provide as much information when raising Other Data Loads. The NHS Central Team may request that an NHS Organisation provide a screen shot of the area in ESR that requires update to establish if the data load is possible.

The NHS BSA Virtual Worker

The NHS BSA Virtual Worker currently performs the following data loads:

1. Update Supervisors in an Employee's Assignment Record
2. Remove Supervisors from an Employee's Assignment Record
3. Add Appraisal Records to an Employee's Assignment Record*
4. Update the Next Appraisal Date of an Existing Appraisal Record*
5. Terminate employees from ESR using the End Employment Function
6. Terminate employees from ESR using the End Employment Function and Suppress P45 production.
7. Create new user accounts in ESR (includes the addition of the URPs required)
8. Add URPs to existing Users Accounts**
9. End date URPs for existing User Accounts.

The NHS BSA Virtual Workers do not Add or Update an Appraisal Type of **Pay Progression Meeting** as this is pay affecting.

3.11 What are the Maximum and Minimum number of records?

The minimum number of records has been included in the table above for ease of reference and is usually 100 for a mass update request, or 200 for an 'Other Data Load'.

The Maximum number of records for most mass updates is 25,000, with the exception of

'Mass Update – Emails' which is 6,000.

If your request is for more than the maximum:

1. Raise an SR and submit a template with the maximum number of records for that mass update
2. The NHS Central Team will process the mass update for that template. Once processing is complete and the SR is at Customer Closure, please resolve the SR.
3. Once the SR is resolved, please raise a new mass update request, and submit a new template with the next set of records up to the maximum number.
4. The process should be repeated until all the records have been submitted.

Please do not raise a new SR until the previous one is resolved. Please do not submit multiple templates on one SR.

