Electronic Staff Record

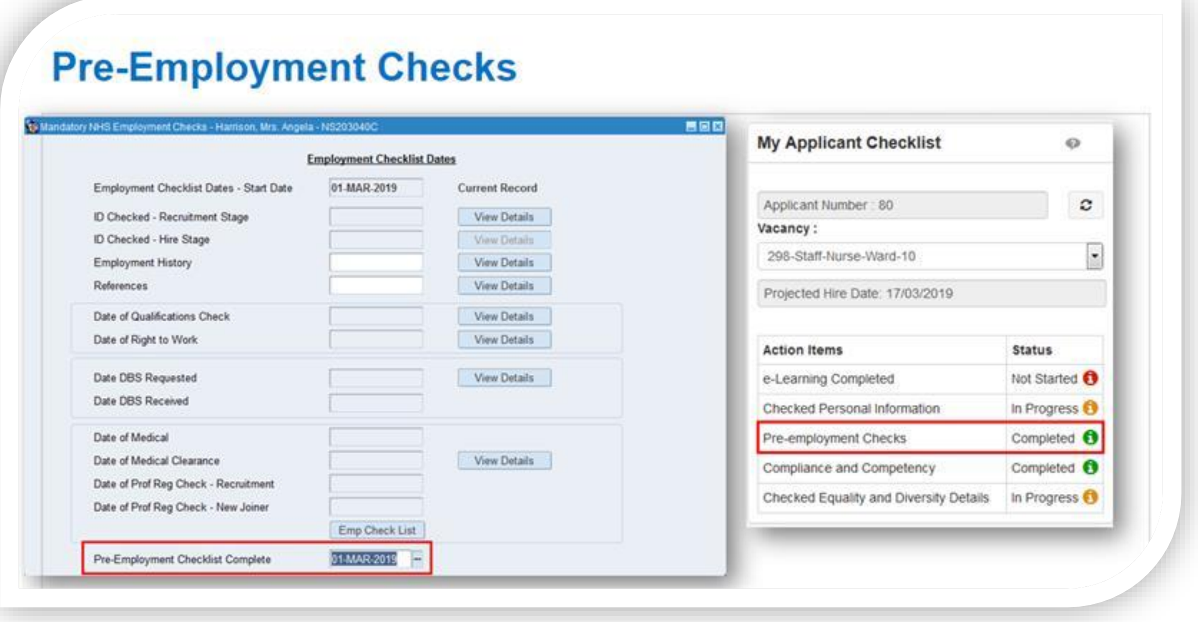
ESR Supporting Retention - Frequently Asked Questions

This document has been designed to help NHS organisations answer some of the common questions from administrators, in relation to ESR supporting NHS retention.

Applicant Dashboard

1. Does the ESR applicant checklist in the portal link with Trac, if pre-employment checks are completed through Trac?

ESR does have an interface with Trac, however this interface does not link to the My Applicant Checklist. For the status of this action to appear as completed, a date must be added in the Pre-employment Checklist box under the Mandatory NHS Employments Checks in ESR.



2. How do you get the NHS email address onto the individual's record for them to access the Applicant Dashboard?

The e-recruitment interface brings across the email address the applicant applied for the job with as part of their personal information. This can be entered into the Office Details email address field to enable the applicant to retrieve their login details to access the Applicant Dashboard. Please talk to your FAM about Best Practice surrounding recruitment processes.

3. Can you use the Applicant Dashboard if your organisation does not use the ESR Learning Management functionality?

You can use the Applicant Dashboard if you don't use OLM. You can remove the My Compliance and My e-Learning portlets. However, the Checklist portlet will show the 'Compliance and Competency' as green as there will be no training action required in ESR.

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Flexible Working

1. Can applicants ask for their flexible working options using the ESR Applicant Dashboard before they commence employment?	
It is not possible for an applicant to request flexible working via the Applicant Dashboard until they have been hired as an employee in ESR. The expectation is that flexible working would have been discussed as part of the recruitment process.	
2. Can the wording be changed in the workflow notification in relation to the time period? It currently states 3 months, but that would be too long to get a response around flexible working. It is also contrary to the Flexible Working being accessible from day one.	
Flexible working being available from day one refers to the employee being able to request flexible working from the start of their employment, rather than receiving a decision on the request. The notification wording and time period were agreed with national stakeholders.	
3. Is there also a potential escalation stage to the manager's manager if the line manager does not agree with the request - which is now part of the agenda for change process?	
An additional outcome value of 'Escalated' was added to the List of Values in ESR as part of R52 to reflect the changes to Section 33 of the NHS Terms and Conditions. The flexible working functionality in ESR is not intended to manage every step of the process/request. Instead, the manager should follow their local process for escalating the request and record the final outcome against the record.	
4. Is there an Employee and Manager Guide on how to submit and find/approve the Flexible Working requests?	
Guides can be found in the ESR User Manual.	
Further information	ESS: How do I request Flexible Working MSS: How do I process a request for Flexible Working MSS: How do I request Flexible Working for an Employee
5. Is it possible for colleagues to request a chat with their line manager or their HR team via ESR Self Service?	
The flexible working solution in ESR is designed to initiate and capture the conversation about the employee's desire to work flexibly. There is no approval/rejection of the request as there is for annual leave, only the outcome is recorded unless the employee decides to end the process.	
6. Can you retrospectively record previously agreed flexible working requests if it has always been done on standard forms?	
Yes, this is possible and would be a local decision.	
7. Does ESR link to rostering systems for flexible working?	
The initial request happens in ESR to facilitate the conversation. If a change request was successful and a change was applied to ESR, that would then need to be reflected in the roster system (via an ESR interface, if in place).	

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8. With the flexible working requests, can appeals be logged through ESR?
There is an opportunity to record the outcome as a list of values and as free text. Under the Employee Relations ‘Further ESR Stages’ there is an ‘Appeal’ option. This could potentially support an appeals process. We recommend you talk to your FAM about the process in ESR.
9. Do the Flexible Working notifications escalate to the next supervisor if not acknowledged?
This notification does not escalate.
10. Do Flexible Working notifications also go to Additional Supervisors?
The flexible working request goes to the primary supervisor.
11. Can the Flexible Working fields be amended once the process is concluded?
Once it is concluded, the fields cannot be amended through self service.
12. Does the organisation need to have implemented Supervisor or Manager Self Service to utilise the Flexible Working Request option?
Yes, as it requires manager action/approval. However, Supervisor Self Service Limited Access users can view and respond to requests if they are on the HSCN network
13. If a staff member enters a Flexible Working Request for the future, when will the manager be notified?
The notification of the request is sent to the manager immediately. The dates/info entered by the manager in the 'arrangements and outcome' section generate the reminder notifications.

Working Carers

1. Can the Working Carer Competency only be recorded if an organisation is using OLM?
You do not need to be using OLM to record these competences. They do not expire and therefore will not generate any reminder notifications. They will be included as part of the IAT Portable Data Set and transfer with the employee to their next NHS employer.
2. Is it easy to remove the competence if circumstances change?
Competences can be easily deleted or end dated by employees, managers or core users if there is a change. Any changes made by employees are subject to manager approval and therefore not available to those with ESS Limited Access.

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Health & Wellbeing

1. What are the challenges with being able to create local BI reports when building bespoke HTML forms in ESR, such as Health & Wellbeing, Appraisals etc?
When building reports to report on bespoke HTML forms, it is important to speak to either local HTML experts in the organisation and or the regional ESR team who can advise on the tagging requirements to ensure that the reports are able to give the outcomes from the bespoke forms. Contact your regional NHS ESR Functional Account Manager in the first instance when looking to build a local form. A guide to using HTML in ESR is available online.
Further information: Using HTML with ESR User Manual
2. How long does a manager using a bespoke Health & Wellbeing Form have before it times out in ESR?
Local forms can be held open for 60 minutes before they time out. The user is advised and reminded via pop up messages. The manager will need to close and save their work then reopen the form if they need longer than this.
3. As ESR uses the Development Reviews/Appraisals capability to create Health & Wellbeing and Pay Progression forms, is it possible for the form and / or date field names to be amended locally? Staff are sometimes confused when the form asks for 'Appraisal Date' whether you are recording an actual Appraisal, Health & Wellbeing conversation or Pay Progression meeting?
The Review & Development capability in ESR is used generically and it is not possible to change field names locally. It is recommended that clear guidance is communicated to managers and users when rolling out this functionality to explain how the forms should be completed.

Recording Menopause Related Absence in ESR

1. How can organisations record menopause related absence in third party rostering systems and how can this interface with ESR?
If it isn't already available, organisations should contact their rostering / absence recording system supplier to ask them to add 'Menopause' to the list of values for the 'Related Reason' field on the form that is used to capture an absence episode. The supplier will also need to ensure that when their system creates the interface file to send to ESR, the correct code for a related reason of 'Menopause' is populated. Suppliers that require further information populating this field on the interface file should contact the Systems Integration Team via esr.interfaces@nhs.net.
2. Is it possible to use the normal sickness absence and / or special leave absence type and then select menopause as a reason?
The menopause has many symptoms, therefore enabling the actual symptom to be recorded provides more accurate information, locally and nationally. The ability to flag that symptom and absence related to the menopause supports more granular reporting and enables organisations to put in the relevant support mechanisms. Find out more about recording menopause related sickness with this guide for line managers, human resources and ESR users which includes step-by-step instructions to help better record the impact of menopause on our NHS people.
Further information: Recording Menopause Related Sickness

NHS

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Exit Questionnaire

1. Is the Exit Questionnaire in ESR anonymous and does reporting identify leavers?

The Exit Questionnaire is sent to the employee that is leaving once a termination date has been entered into ESR prior to the actual leaving date. Managers are not able to see responses. Only professional users with the HR Administration User Responsibility Profile (URP) can see responses in the employee’s record. The BI reports allow reporting by department/directorate and trust level, but they do not identify any employee data.

2. Is the Exit Questionnaire triggered for staff on fixed term contracts?

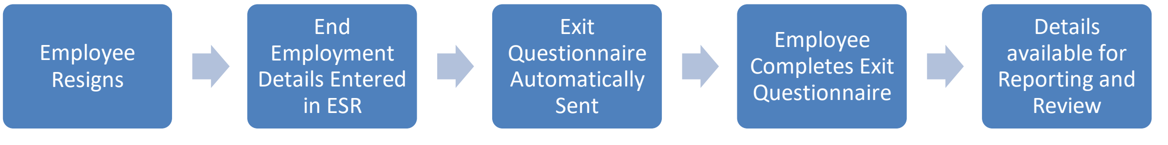
The Exit Questionnaire is triggered for all terminated assignments regardless of whether permanent or fixed term, subject to the organisation setting the trust or assignment level flag to initiate the questionnaire.

3. Does the organisation need to have Manager Self Service in place for the Exit Questionnaire to work?

Manager Self Service is not required. It only requires that Employee Self Service is in place, to enable the leaving employee to receive the Exit Questionnaire via a workflow notification. Managers do not see any responses.

4. What is the process to initiate the Exit Questionnaire in ESR?

The Exit Questionnaire can be enabled at either trust level (for all assignments) or individual assignment level. This will ensure that when the leaving date is entered into ESR, the Exit Questionnaire will be sent to the employee. It is important that leaving dates are entered in good time to allow sufficient time for the employee to receive and respond. The flow chart below provides an overview of the steps.



End Employment details can be entered in ESR by HR or self-service users. Please note that when using either Manager or Administrator Self Service with Payroll Approvals Required, that the Exit Questionnaire is not triggered until approved by the Payroll Approval Role Holder.

5. Are systems/regions able to access anonymised exit interview data to help inform our work?

Currently we do not offer benchmarking on the exit questionnaire reporting in ESR BI.

6. What can be done to get the Exit Questionnaire to leavers whose termination is entered after the leaving date?

After the leaving date, an employee no longer has access to ESR at your organisation. We would encourage you to look to ensure terminations are completed in the system in advance wherever possible. This will also prevent overpayments. HR Administration URP holders can complete the Exit Questionnaire fields in core forms.

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7. Is it possible to set everyone to 'yes' so they receive the exit questionnaire when they are terminated - or would we manually need to go back through and set 'yes' in each employee's record?	
Exit Questionnaires can be initiated at trust level (for all terminations) or at individual Assignment level. NOTE: These settings must be made prior to recording the termination date for the employee. To initiate an Exit Questionnaire at Trust Level, refer to the Organisation Trust Level Settings.	
Further information	Organisation Trust Level Settings User Manual
8. Is it possible to capture staff moving within an organisation as well as leavers?	
An Exit Questionnaire is triggered when an assignment is ended to capture the thoughts of someone leaving an organisation or additional assignment – it does not capture internal moves/replacement assignments.	
9. How long does the Exit Questionnaire notification stay with the employee in the worklist to complete and what happens if not completed?	
The workflow notification will remain in the worklist until the employee's termination date. The ESR user account is automatically end dated for ex-employees so the notification cannot be accessed once the employee has left the organisation. Further information is available in the NHS England FAQs.	
Further information	NHS England ESR Questionnaire FAQ

Leaving Reasons

1. How can the 'Reason for Leaving' list of values be amended?
This list of values is maintained nationally in the National Workforce Data Set (NWDS) and reflected in ESR. Any changes would need to come through the working group on the NWDS.

Other

1. Are there plans to make recording of ethnicity mandatory?	
There are no plans to make this mandatory, however a development was deployed in September 2022 to prompt employees annually to review and, if required, update their personal and equality and diversity data held in ESR. There is a 'My Equality and Diversity' portlet we encourage you to add to your organisation's My ESR Dashboard and Applicant Dashboard to prompt entry of this data.	
Further information	ESR Dashboard Portlets User Manual Equality and Diversity data in ESR
2. How can we access data at regional / system and trust level e.g. of flexible working requests?	
Benchmarking reports are available to each organisation on: Absence, Turnover, Compliance and Appraisals.	