

# Electronic Staff Record

## Establishment Control - Frequently Asked Questions

### → Establishment Control

This is an updated FAQ covering questions asked at both the April and October Establishment Control webinars held in 2023.

#### **Which teams would be expected to be responsible for Establishment Control? With a collaborative approach, how do we allocate the tasks?**

This depends very much on your organisation. You will likely already have a team in place to look after recruitment, and this team could be tasked with looking at vacancies and applicants. Position creation and amendment could sit with the team that currently undertakes the creation of Positions. Cost Centre creation may also sit with this team.

For the purposes of an Establishment Control implementation project, you might want to task the action of cleansing Workstructures and Positions specifically so that this can continue alongside business-as-usual activities. You would also need to look at processes within your organisation, as the implementation of Establishment Control is being undertaken, current recruitment and budgeting activities are working to support it.

Finance should be involved, to advise on when Cost Centres/Positions should be created/ended/amended.



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### **What method is used to update budgeted establishment to reconcile back to Finance changes throughout the year?**

Continued reconciliation is assisted by a good working relationship with your Finance team and an understanding on both sides of the impact of amendments that are made as the FTE against the position will need to be manually updated.

You may wish to ask for regular reports from your Finance team on a basis that is feasible for both parties (for example, there's no point asking for weekly reports if you don't have the capacity to action the reconciliation weekly).

### **Can Mass Updates be given to local users?**

Unfortunately, it is not possible to give the functionality to mass update to local users. Mass Updates are aimed at the Implementation phase and will only be done based on the fair use policy as detailed in the [Mass Update FAQs](#) found on the ESR Hub.

### **Supervisors who look after employees in different cost codes – how is this set up?**

The Supervisor hierarchy is separate to the workstructures/budget hierarchy. You can have supervisors that are not in the same Workstructure/Cost Code as the employees they manage.

### **Vacancies in ESR: Why should they be end-dated and when?**

Vacancies should be end-dated when they are no longer required at the end of the Recruitment cycle for the role. In all areas of ESR, good quality data will help you operate more efficiently. This will also assist the accuracy of your reports and ensure clear data is presented to users who have access to the system such as managers and supervisors.

If Vacancies are not end-dated they will remain linked to the Employee/Positions and this will cause problems, for example, being unable to complete mass moves of those Positions.

If you are creating Vacancies for mass recruitment events these should be closed once the event is complete and a new Vacancy created for the next event.

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### Can a Mass Update be used to end-date vacancies that are no longer required?

Yes, this can be done via Mass Update. Please refer to the Mass update FAQs [here](#) and the guide to raising a Service Request [here](#).

### Does NHS Jobs end date vacancies on ESR when we 'End Recruitment' on NHS Jobs?

The Vacancy must be manually End Dated in ESR.

### Is there a vacancy report within ESR?

Yes; on the Recruitment Dashboard there is the Vacancy tab which will show you a graph of vacancies organised by Staff Group and a Detail report that includes the number of days that the Vacancy has been open for. This report can also be linked to Portal Dashboards for "at a glance" information for both Recruitment and HR teams.

### What does a "good" vacancy report look like?

You will always have some vacancies open within your organisation due to ongoing recruitment, but ideally you want those vacancies to be accurate to the recruitment activity taking place, and you want them to be closed when the recruitment activity has finished.

### How would you differentiate between recurrent and non-recurrent positions - would this be by end dating a fixed term position?

As well as future end dating a position, you can use the proposed end date on the report in the Position Analysis Dashboard to identify those positions that are non-recurrent.

### If you Eliminate a position, does it remove the historic data?

No, you can only Eliminate from the date the position is empty.

You will still have the history of people who were in the position before it was Eliminated. Elimination doesn't wipe it from the system, it just means a position is no longer available to be used, but it can still be reported on.

### Is there any recommended way of dealing with Acting Up or Secondment where there may not be budget, as this will impact on vacancy reporting?

Your organisation will need to develop a local process to monitor these types of situations. A warning will appear when the Position is over-budget and the system will prevent more people being added if the Position Type is 'Shared'. The warning can be disregarded if any other Position Type is used.

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**What is the best practice for a role that requires 'clinical registration' but it is not clear which one? For example, we have an increasing number of Band 5 'practitioner' roles, where some are Nurses, some are AHP's, some Add Prof Tech etc. so multiple positions are needed.**

Best practice is a Position for each type of registration, because different coding is required for each type of registration. The budget will need to be split between each of the Positions. If one or more of these Positions is vacant because you don't currently have employees with this registration type, you have the option of Freezing the Position/reducing the Establishment to zero.

**If we have a vacancy against a Deanery Post (DPN), is it best practice to use the same position for a Trust recruited medic; or should they go into a new Position?**

They should be put in a separate post, not against the Deanery Post.

**If an employee is a Nurse but is not required to use this as part of their role, they would not be in a position coded for their NMC registration. In the event of another crisis i.e. pandemic, would this approach mean that you couldn't easily report who has a nurse qualification?**

You can record their qualification/registration in their Employee record in ESR via the Core Forms. The employee/manager can add, view, or amend existing qualifications themselves via Self Service, However, you would not put an employee in a Position that was coded as a nurse unless they actually needed to be one for their job.

All registrations and qualifications are reportable in ESRBI.

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### Should contingent workers (and other temporary worker types) be attached to Positions with Establishment?

The decision as to whether a temporary worker should be attached to a Position with/without Establishment is down to the individual organisation.

It can be useful to have them attached to Positions for reporting and Competency requirements, but care should be taken that the appropriate Person Type on the person record is used so that these people can be easily identified when reporting on the Establishment, and the record does not cause any issues with HMRC/Pensions reporting.

Some organisations like to have a hierarchy strand in the Workstructure exclusively for Bank staff.

### Does ESR reflect the full range of National Subjective codes?

All national subjective codes are available to all VPDs in ESR and are regularly updated. The decision as to which of these should be used is down to each individual organisation. Local subjective codes can be added via the [Flexfield Values](#) functionality, with the NHS\_Subjective\_Codes value set.

### Why is it important to use the date of 1<sup>st</sup> January 1951 in Workstructures and other system areas in ESR?

This is the standard system date within ESR – using this as the Effective Date consistently for things such as Workstructures (including Positions), Cost Codes, Subjective Codes, etc. ensures that they are always available and do not cause any date conflicts with other data (such as trying to use a Cost Centre in a Position on a date prior to the Effective Date of the Cost Centre).

Using this date consistently also means you recognise it for what it is and understand why it was used, so there is no confusion in future. Organisations can still choose to use more modern dates if they wish but should be aware of the potential for conflicts.

### Where can we get full list of NHS Contract Types?

A list of all the Contract Types in ESR can be exported from the Payroll Super Admin URP>Workstructures>Table Structure>PQP\_CONTRACT\_TYPES.

[Local Contract Types](#) for Local Pay Grades can also be created.

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### How can we mass terminate Applicants against Positions?

Applicants can be terminated en masse using the 'Mass Update of Applicants' functionality. Please refer to Update Applicant Status Using Mass Update [here](#).

Applicants will be automatically purged by a national ESR process after 13 months, as long as there has been no activity on the Applicant record. In 2019/2022, more than 300,000 Applicant records were purged by this process.

### What is the benefit for using Split Costing over multiple assignments?

Each Assignment is considered a separate instance of employment, even though it may be within the same organisation. This will have an impact in terms of Tax/NI and Pensions.

In terms of Split Costings, if a member of staff has one role that is funded by multiple budgets, they should have one assignment that is coded appropriately in the Split Costings EIT.

If they have multiple employments within the organisation, they should have a separate Assignment for each role

### How can we report on Split Costing?

Split costing can be found in the Financial Controls report and in the Staff in Post standard reports. There is also an option to create your own bespoke report in BI. If you are having difficulties with building the report, you can raise an SR and the BI team will assist you.

The Staff in Post Detail will return information on Split Costing when the Primary Cost Centre prompt is changed to include 'N'. The analysis will return a line per cost centre as below:

Organisation(s) (All Column Values) Staff Group(s) (All Column Values) Assignment Category Fixed Term Temp;Nt Person Type(s) Employee;Employee  
Employee Person Type(s) Employee;Employee Assignment Status NULL;Acting Up;Acti Occupation Code (All Column Values) Job Role(s) (All Column Values)  
Pay Grade(s) (All Column Values) Subjective Code(s) (All Column Values) Job Sharer --Select Primary Assignments Only --Select  
Effective Date 12/05/2023 00:00:00 Show Additional Supervisor(s)  Yes Primary Cost Centre NULL;Y

Asg Cost Centre	Proportion
123456	0.5
234567	0.5

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### If a Position has Split Costing applied, do I need to increase the FTE/Headcount?

Split costing is applied at Assignment level, not Position level. A Position is only attached to one Cost Centre. It is important that Split Costing is carefully maintained if budgets or Assignments change.

### Further Guidance

Your NHS ESR Functional Account Manager details can be found on the ESR Hub. Details for your regional contacts can be found via the links below:-

- [London](#)
- [South of England](#)
- [Midlands and East of England](#)
- [North of England](#)
- [Wales](#).

