

Electronic Staff Record

Establishment Control functional guide

→ Establishment Control in ESR

The NHS faces ever increasing pressures to provide value for money services while accommodating budget restrictions. Like any organisation, the biggest expenditure for the NHS is the staff payroll. It is essential for an organisation to build knowledge of its staffing structure, so that gaps can be identified quickly and accurate reporting of staffing levels can be maintained.

Establishment Control can help your organisation comply with national requirements to efficiently manage the Workforce and aid with workforce planning.

It is critical that organisations know how to investigate their staffing establishment to build a clear picture of the current staffing status, and to implement good practice to ensure that the structure is well maintained, and that the budget is easily reconciled between Finance and Workforce.

This functional guide provides key guidance and instructions on the functionality within ESR that supports the implementation and maintenance of Establishment Control - it does not replace any existing local guidance already in place.

IMPORTANT NOTE: The ability to undertake these tasks requires that the people involved have been issued with smartcards and the appropriate User Responsibility Profiles (URPs) have been assigned to them.



These include, but are not limited to:

- HR Administration
- Local Workstructures Administration
- Payroll Administration
- Local HRMS Systems and User Administration
- Finance Reporting and Hub Mapping



1 Implementing Establishment Control

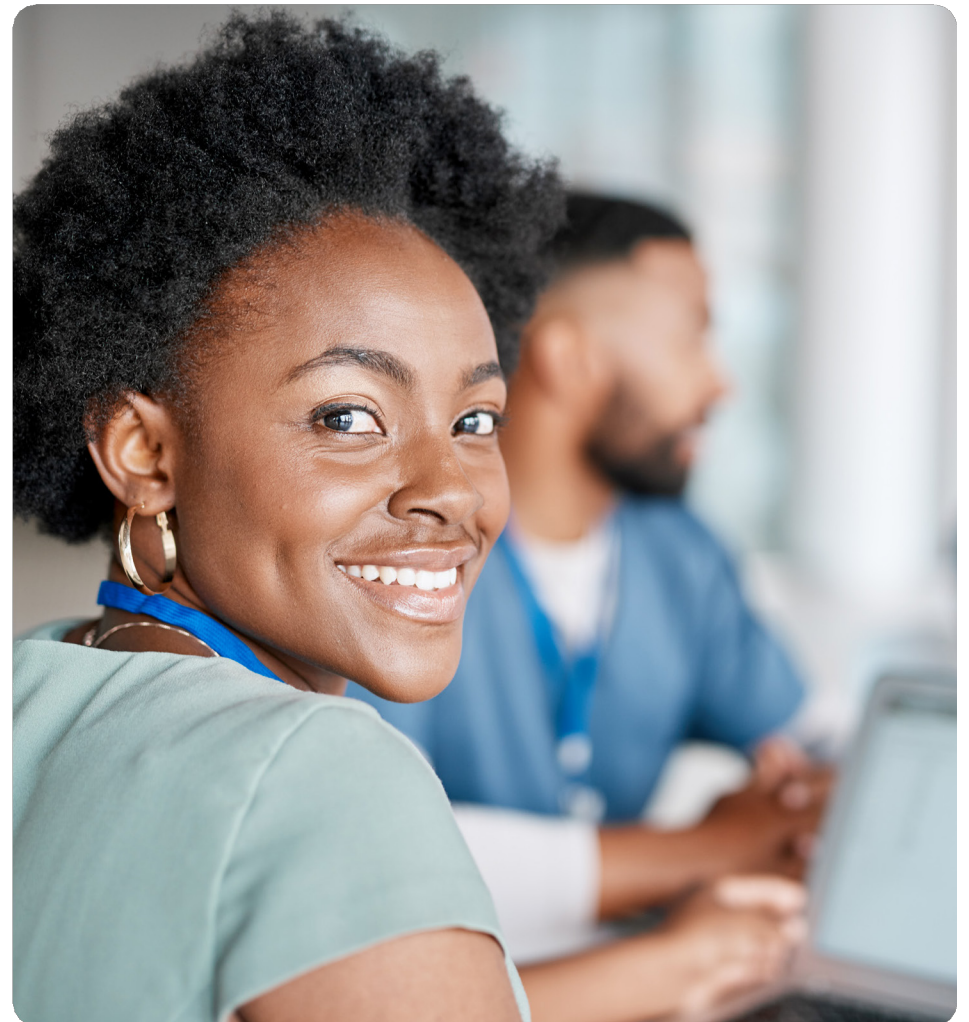
For use where an organisation has not undertaken Establishment Control before or where best practice has not been followed and processes need to be re-examined.

Please use the documents associated with this Functional Guide, including the [Implementation Guide](#) and the process plan [here](#) to assist you with this project.

The guidance in the User Manual for creating positions [here](#) will also help you with this process.

Once Establishment Control has been implemented, it is essential that processes are developed and followed to maintain best practice, and to avoid the project having to be repeated.

Implementing and maintaining Establishment Control requires good working relationships between the Finance team and the Workforce team, as communication is essential to achieve effective Establishment Control.



2 Maintaining Establishment Control

Maintenance of Establishment Control requires a standardisation of recruitment practices, and the evaluation of the positions used in recruitment activities. Regular reviews of the Positions used, and the coding associated with them, will help to maintain an accurate picture of the workforce required by the organisation. This also applies to any changes made to the workstructure of the organisation.



3 Organisations and Workstructures

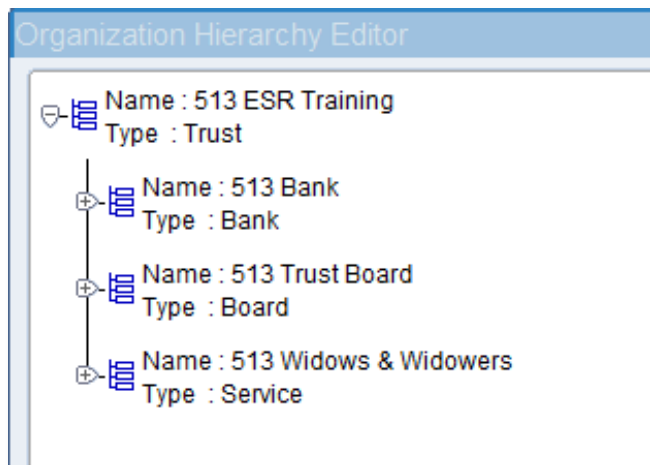
Any new Organisations which are created should also follow ESR best practice guidelines (available [here](#)) and should be created with the oversight of all the stakeholders involved with Establishment Control.

The Locations of your Organisation should be maintained to ensure that there are no obsolete details within ESR. Accurate Location information also assists many other ESR services such as Learning and Development.

Click [here](#) for guidance on Locations.

4 Organisation Diagrammer

Organisations that are no longer used should be end-dated. They can then no longer be viewed or selected from the list of values in the Assignments form, so no more employees can be added. This will also ensure that you can report on the Organisation retrospectively if required but the Organisation won't appear in current time reports. However, they will still be visible within your workstructures diagrammer.



5 Cost Centres

There is a need to ensure that any new Cost Centres are created in line with your organisation's guidance and following ESR best practice guidelines which are detailed [here](#).

6 Coding

Any new workforce coding - including Occupational Codes, Job Roles, and Staff Groups - released by NHS England should be incorporated into your Establishment Control practices. Up-to-date guidance can be found [here](#) and should be used to ensure that all the coding of your workforce aligns with national requirements and guidelines.

7

Split Costing

Costing data can be held at various levels in the hierarchy within ESR. The system will apply the value found at the lowest hierarchy level for each part of the cost allocation code.

As a minimum, the Costing attached to an Assignment will have a Subjective Code that will have been defaulted from the Position that is attached to the Assignment. If there is a need to apportion the costs of the Assignment to more than one ledger destination then multiple Costing rows can be created.

Click [here](#) for more information on split costing assignments.



8

Multiple Grades

Although Positions generally have a single grade attached to them, it's possible to attach more than one grade – this may be particularly useful for Medical Positions, particularly for Postgraduate Doctors.



9

Position Status

Consideration should be given to the Position Status that you use when creating new Positions or amending existing Positions.

Active:

Open for recruitment of new employees and can have existing employees attached.

Frozen:

Existing employees can be attached to these Positions, but new recruitment cannot be undertaken to them. Positions can be unfrozen.

Eliminated:

Existing employees must be moved to another Position before the Position can be Eliminated. New employees cannot be attached, and the Position can no longer be used.

Proposed:

This status can be used for recruitment that is planned, but it is essential that this Position Status is changed to Active when the recruitment takes place.

10

Position Types

Consideration should be given to the Position Type used when new Positions are created, or existing Positions are amended. Some Position Types enable more efficient Establishment Control reporting.

None:

This Position Type does not enable effective Establishment Control maintenance or reporting.

Pooled:

Multiple employees can be attached to the Position, but there is no restriction on the Actual FTE that can be assigned to this Position Type.

Single

Incumbent:

Only one person can occupy this Position at any time. This is usually used for Postgraduate Doctors where a Deanery Post Number is required to be associated with the individual.

Shared:

Multiple employees can be associated with this Position, up to the maximum Actual FTE value defined in the Position Establishment details

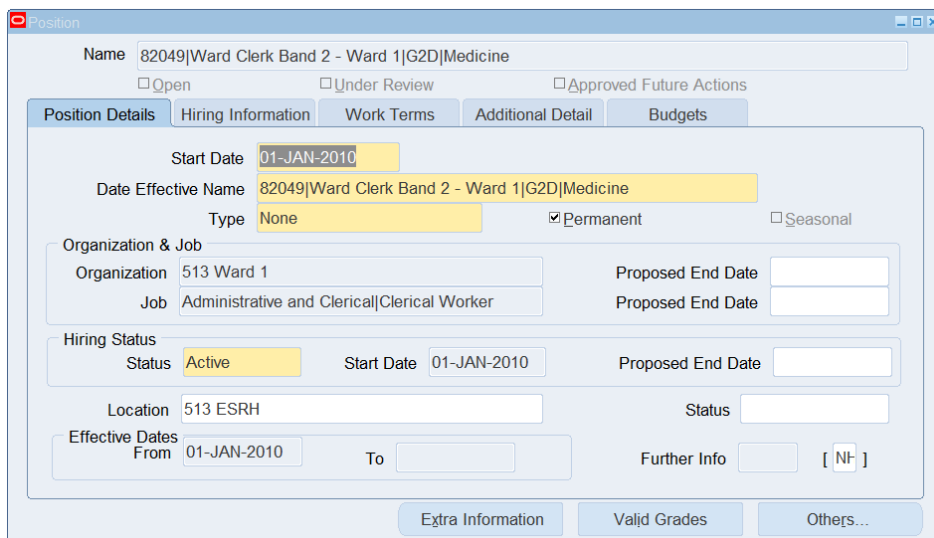
11 Position Details

You can add details to the Positions you create to ensure accuracy during the recruitment process and to maintain comprehensive information about your Establishment.

Details that can be added to Positions include whether the holder of the Position should be subject to a DBS check or whether there are Qualification or Registration requirements for the Position.

The EPP Post and Eligible for OH Processing fields ensure that details relating to immunisations and checks can be transferred as part of the IAT process. This also enables the employee to see their Immunisation and Vaccination status within Employee Self Service.

Click [here](#) for guidance on creating Positions.



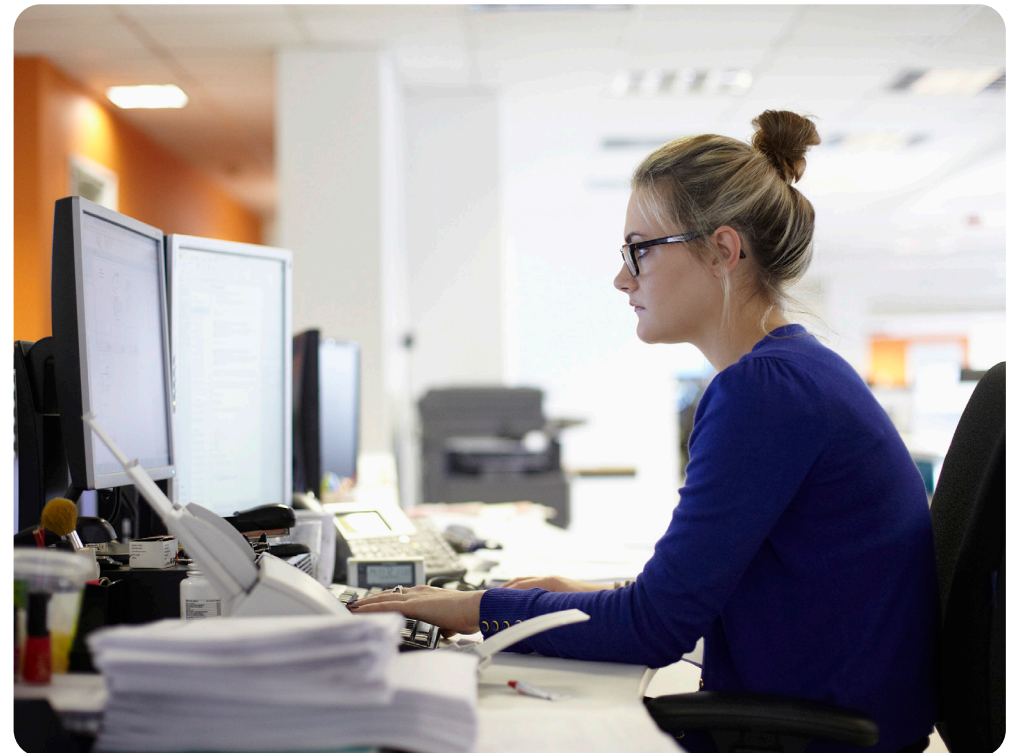
The screenshot shows a web application window titled "Position" with a blue header. The main content area is a form with several sections:

- Name:** 82049|Ward Clerk Band 2 - Ward 1|G2D|Medicine
- Buttons:** Open, Under Review, Approved Future Actions
- Tabs:** Position Details (selected), Hiring Information, Work Terms, Additional Detail, Budgets
- Start Date:** 01-JAN-2010
- Date Effective Name:** 82049|Ward Clerk Band 2 - Ward 1|G2D|Medicine
- Type:** None, Permanent, Seasonal
- Organization & Job:**
 - Organization: 513 Ward 1
 - Job: Administrative and Clerical|Clerical Worker
 - Proposed End Date: (empty)
- Hiring Status:**
 - Status: Active
 - Start Date: 01-JAN-2010
 - Proposed End Date: (empty)
- Location:** 513 ESRH, Status: (empty)
- Effective Dates:** From: 01-JAN-2010, To: (empty), Further Info: [NF]

At the bottom of the form are three buttons: "Extra Information", "Valid Grades", and "Others..."

12 Mass Move/Update of Positions

It is possible to move Positions as a group from one area of the hierarchy to the other, or to make updates to a group of Positions together. The Mass Move facility and the Mass Position Update facility reduce the time and effort required to update Positions and ensures consistent and accurate information across the hierarchy. Click [here](#) to access the relevant guidance for this process.



13 Establishment Control Reporting

There are various Standard ESRBI reports available to professional users via Business Intelligence to facilitate the implementation and maintenance of Establishment Control.

A full list of Standard ESRBI reports, including which URPs can access them, is available [here](#).

Position Analysis Dashboard

This dashboard is likely to be a main point of reference for the implementation and maintenance of Establishment Control. The dashboard contains reports which provide detailed information regarding occupied and vacant Positions within ESR. It also provides information regarding the organisational structure within ESR and can also be used to find Deanery Post details linked to Positions.

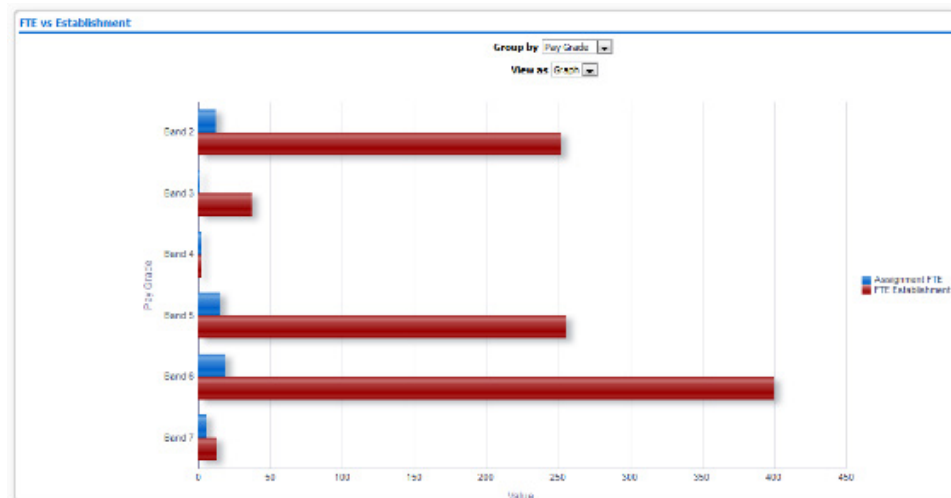
Position	Position Name	Staff Group	Role	Grade	Organisation	Cost Centre	Subjective Code	Occupation Code	Working Hours
00000000	00000000 BI Analyst B2A Data Add Prof Scientific and Technic	Advanced Practitioner	XN06 Non Review Body Band 6	000 Organisation	000M000	0000K000	S2P		37.5
00000000	00000000 BI Analyst B2A Data Add Prof Scientific and Technic	Clinical Psychologist	XN06 Non Review Body Band 6	000 Organisation	000M000	0000K000	S2L		37.5
00000000	00000000 BI Analyst B2A Data Add Prof Scientific and Technic	Clinical Psychologist	XN06 Non Review Body Band 6	000 Organisation	000M000	0000K000	S2L		37.5
00000000	00000000 BI Analyst B2A Data Add Prof Scientific and Technic	Clinical Psychologist	XN06 Non Review Body Band 6	000 Organisation	000M000	0000K000	S5L		37.5

Staff in Post Dashboard

This dashboard is designed to provide the user with intelligence around the numbers of staff working in the organisation. This dashboard also includes reports on FTE vs Establishment and Headcount vs Establishment.

Data Quality Dashboard

This dashboard can provide detailed information regarding missing or incorrect data within the existing establishment details, including information regarding Pay Bands, Occupational Codes, and Job Roles.



14 Dashboards and Portlets

There are various portlets that can be added to the Professional User and Self-Service dashboards, which provide a visual snapshot of establishment information, and which link to Business Intelligence reports, enabling the user to access more detailed information.

HR Dashboard:

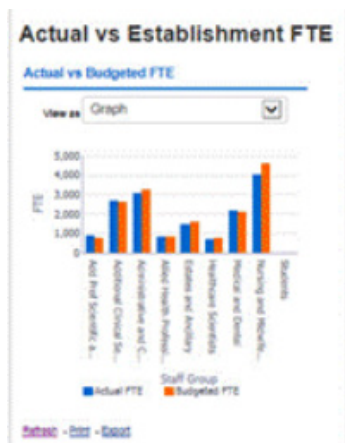
There is an Establishment Portlet available to be added to this dashboard which shows the Actual vs Establishment FTE.

Recruitment Dashboard:

There is a portlet that shows open vacancies by staff group. Once Establishment Control has been implemented, Recruitment colleagues can be assured of the accuracy of this information.

Manager Dashboard:

As well as the Organisation Chart, which managers can use to make sure their team information is correct.



15 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](#)

