

Electronic Staff Record

Implementation Guide

→ Establishment Control

The implementation of Establishment Control provides organisations and managers with real time vacancy information accessible through BI reports by Division/Directorate, Staff Group or via Manager Self Service Dashboard. In conjunction with other data points, it can provide great strategic benefits for organisational future recruitment plans.

This guide is designed to give you a step by step walk through of all the considerations that you need to successfully implement Establishment Control. Below is an outline of the process, highlighting key considerations, and stakeholders you will want to include. The information below also includes resources available from the ESR NHS Central Team to assist the organisation uploading whole time equivalent (WTE) data, both for implementation and business as usual.



→ Implementation process

1

Business Case to decide on 1:1 or Shared Positions

To make clear choices and recommendations and secure an Exec Sponsor.

2

Create working group with key stakeholders

This is to make clear communication routes and positive implications of implementation.

3

Housekeeping and data quality check

This is to ensure only positions and cost centres that are needed remain active on the system.

4

Decide on vacancy request process and future updates

There might be a requirement to adjust your vacancy process for creating positions and adding the WTE.

5

Raise Service Request to mass update WTE

If you are planning to do this as a whole organisation a mass update is recommended.

6

Move to BAU and maintenance

This will be the organisation moving to BAU based on all decisions that have been made.

1 Business Case

One of the main triggers for Establishment Control is due to real time vacancy data at multiple levels. Within your Business Case you should detail whether you will use Shared or 1:1 Positions. Shared is best practice, however you will require 1:1 Positions for Doctors in Training due to the TIS (Trainee Information System) interface.

Moving from None/Pooled Positions to 1:1 Positions throughout the organisation would have a cost impact due to the need to gather extra data and create additional Positions. The benefit of using shared or bucket positions will reduce workstructures housekeeping.

The creation of the Business Case would also be the correct time to ensure an Executive Sponsor is appointed, normally the Chief People Officer, Director of Finance or appropriate delegation within that directorate.

2 Working Group

It is important to get the key stakeholders involved as early as possible (although not all will be required for decision making) as it is imperative to keep them informed for the success of the implementation.

You will require:

- Finance – To decide maintenance and vacancy request process.
- Recruitment – To decide the vacancy request process and how Workforce, Finance and Recruitment work seamlessly together.
- Workforce – To determine the best way with Finance on maintaining ESR and how often.
- Payroll Lead – To assist in the next steps of housekeeping and data quality checks.
- HR – To communicate with Heads of Directorate and Team Managers.

3 Housekeeping and data quality

This is the most important part of the implementation phase. It is recommended that you compare the ledger with the Position Analysis Dashboard.

Reports: Account Code List
Pay Analysis - Year to Date
Pay Analysis - Current Month

Pay Expenditure										
Expense Head		WTE		Full Year Budget	Period 04			Year to Date		
Code	Description	Funded	Contract	Budget	Expenditure	Variance	Budget	Expenditure	Variance	
1667	Admin Band 4	0.80	0.80	20,982	1,743	1,724	(19)	7,018	8,751	(267)
1668	Admin Band 3	0.96	0.73	21,499	1,786	1,353	(433)	7,191	6,198	(993)
1669	Admin Band 2	6.05	4.80	119,521	9,932	8,112	(1,820)	39,980	35,956	(4,024)
1681	Admin and Clerical Bank	0.00	0.00	10,472	870	781	(89)	3,503	2,908	(595)
Administration Pay		7.81	6.33	172,474	14,331	11,970	(2,361)	57,692	51,813	(5,879)
1781	Ancillary Bank	0.00	0.00	0	0	(101)	(101)	0	50	50
Ancillary Staff Pay		0.00	0.00	0	0	(101)	(101)	0	50	50
0889	Nurse Band 2 Bank	0.00	0.00	0	0	145	145	0	145	145
Nursing Pay		0.00	0.00	0	0	145	145	0	145	145
1990	Spine Point Uplift	0.00	0.00	3,430	285	0	(285)	1,147	0	(1,147)
Pay Inflation		0.00	0.00	3,430	285	0	(285)	1,147	0	(1,147)
Total Pay Expenditure		7.81	6.33	175,904	14,616	12,014	(2,602)	58,839	52,009	(6,830)

Org L3 Directorate or Divisional level – This is likely how regions are split between accountants.

Org L7 Team Name – This will be the team/ward name and is required to identify specific teams, as multiple teams may be attached to the same cost centre.

Cost Centre – This will assist accountants to differentiate between specific teams.

Other columns – Will help determine what Positions are actually required.

Example: The highlighted rows are surplus to requirements and do not appear in the Ledger and so can be eliminated. If you do this for all Positions across your organisation then it can significantly reduce the amount of Positions required and therefore reduce data that needs to be maintained.

Example: Some Positions are duplicated i.e. have the same Occ Code and Subjective Code. Where possible these Positions should be put into one Shared Position and the FTE adjusted. The only caveat to this is if they require different Competence Requirements or Smartcard access.

Position Analysis Dashboard

Org L3	Org L7	Cost Centre	Band	Occ Code	Position Title	FTE	Sub code	Position number
XXX East Hospitals	XXX Hospital Admin Team	1410001	5	G2D	Ward Receptionist	0	XXX1666	12348756
			4	G2D	Ward Receptionist	0.8	XXX1667	12348757
			3	G2D	Ward Receptionist	0	XXX1668	12587321
			3	G2D	Admin Band 3	0.73	XXX1668	12348758
			2	G2D	Admin Band 2	4.8	XXX1669	12348760
			2	G3D	Medical Records	0	XXX1501	12648327

L3 & L7 Division and Team to help identify correct Accountant	Check L7 and Cost Centre naming convention match as close as possible this will assist FTE Updates.	All other headings are needed to cross check with ledger
---	---	--

4 Vacancy request process

The vacancy request process will differ between each organisation and should be agreed as part of the implementation phase to ensure there is no confusion post-implementation when the project moves into BAU.



5 Position update

Once the housekeeping and data quality check has been completed you need to check if there are more than 100 Positions to be updated. You then have two options:

Option 1: for less than 100 Positions complete updates manually.

Option 2: for 100+ Positions, consider use of the Mass Update process (100 is the minimum number of data items that will be accepted for a Mass Update).



6

Mass Update process

This process is straightforward:

- Log into ESR Service Desk
- Request a New Service
- Mass Updates
- Workstructures/URP
- Mass Update – Positions/Workstructures/WTE

You will then be able to access the template with clear instructions on how to complete to upload Establishment (min 100 data items). This will help you get started with loading your Establishment onto ESR.

Ensure you complete the fields, save in the correct format and do not alter the template apart from adding the information requested.

Please ensure you manage the SR throughout and close on completion.

7

Changes to Working Practices

The introduction of Establishment Control will bring changes to working practices that must be agreed, documented and fully adopted into Standard Operation Processes in order for the project to be successful.

- **Empower Managers** to view their own real time vacancy data, which they would not have previously been able to do.
- **Reduction in time** taken to see this information, which would previously have been dependant on other teams to produce and send.