

Electronic Staff Record



Establishment Control

➔ Position management

Workforce salary costs are the largest single component of any NHS Organisation’s budget, and unfilled vacancies have the potential to cost Organisations considerable expenditure if they cannot identify where the vacancies are needed.

Establishment Control is the formal process for matching information on funded posts within the Financial Ledger to the Whole Time Equivalent (WTE) against the Positions within ESR. Having an effective Establishment Control process in place means that an NHS Organisation can match the information from both systems quickly and easily to ensure that true vacancy data can be reported.

If you require any assistance to implement Establishment Control, then please contact your NHSBSA ESR Regional Functional Account Manager. They will be able to provide help, advice, and resources to assist in the implementation of Establishment Control. In addition to these resources, we do have access to the Regional Implementation Advisors who can provide some dedicated advice for your project. The NHSBSA Workforce Optimisation Team can also provide some practical assistance for your project. The Workforce Optimisation Team can offer experienced project management, project governance, dedicated support bespoke training alongside their data input service all at cost.

For further information and enquiries then please contact your ESR Regional Functional Account Managers

The Future of NHS Human Resources and Organisational Development references embedding digitally enabled solutions.

Action 7 highlights the importance of organisations building digital workforce and Business Intelligence capability at ICS and provider level to support delivery of the People Plan and People Digital Strategy towards enabling improved efficiency and workforce planning. Implementation of Establishment Control will assist this.

The NHS needs to renew efforts to rapidly recruit across all roles and professions.

WE ARE THE NHS: People Plan for 2020/21 - action for us all.



→ Bucket Positions

Within ESR it is possible to have a one to many relationship between a Position and employees (multiple employees in one Position with the type of 'Shared') and this is often referred to as a Bucket Position. Using Bucket Positions makes system maintenance easier as there are fewer Positions (with the exception of Doctors in Training who have to be in 1:1 Positions). The use of Shared Positions is considered Best Practice for Establishment Control. A 1:1 relationship between a Position and an employee (one employee per Position) is referred to as a 1:1 Position. Some organisations do choose to create one Position per employee to support varying competence requirements or differing Position Based Access Controls (PBACs) for those carrying out the same job.



→ Benefits to Effective Establishment Control

- Accuracy, quality and timeliness of information available
- Put the RIGHT employees in the RIGHT positions at the RIGHT time
- Finance reports to managers around costs should match HR reports around sickness etc.
- Improved financial control around establishments – both staff in post & vacancies
- Up to date vacancy reports become possible
- Reduced workload in terms of "correcting errors"
- Reduced risk of over and underpayments to staff
- Answer any ad hoc requests confidently and accurately (i.e. freedom of information)
- Promotes good relationships between ESR Team and Finance
- Helps the Workforce Planning Process
- Encourages good ESR housekeeping

→ The Key Elements

An effective Establishment Control process has to be underpinned by 4 key elements.

These are:

- Good working relationships and excellent communication between the 3 main departments – Finance, HR/ Workforce Planning / Recruitment & Payroll
- Workstructures must be robust and must mirror the finance general ledger as much as possible
- Smooth, speedy and accurate processes must be in place to ensure ongoing maintenance of the data
- Recruitment systems need to be robust and integrated



Funded establishment control is essential to any organisation, to ensure visibility of staffing levels and vacancies. Before this was implemented we were not able to report upon our vacancies with any confidence, but now that this process has been adopted and maintained, we can now report assured that the figures produced reflect the true picture of our Trust.

David De Lisle
ESR Systems Manager –
North West Anglia NHS
Foundation Trust





→ Roles & Responsibilities

The actual role of Workstructures Admin can sit anywhere but in most organisations it sits within the HR department and the requests to create Workstructures changes are sent by the finance team.

Stakeholders involved:

- Finance
- ESR and Workforce
- E-Rostering
- Payroll
- Recruitment
- HR Business Partners or Advisors
- Budget Holders
- ESR Functional Account Managers

→ Myth Busting

There are many benefits to implementing Establishment Control within ESR, some of which are listed on the previous page.

The system supports cost savings in the use of Bank and Agency staff, particularly in nursing where vacancies can now be clearly identified so that substantive appointments can be made.

Establishment Control does not, however, give you data on how much has been spent on Bank and Agency, respectively.



→ Conflict of Interest Recording

Reporting

- The Establishment Control reports within ESR Business Intelligence reside under the Staff in Post Dashboard 'Summary Tab'

FTE vs Establishment

- This analysis is designed to show the variance between the position FTE establishment and actual FTE, grouped by AfC Pay Band.

Headcount vs Establishment

- This analysis is designed to show the variance between the position establishment headcount and actual headcount, grouped by AfC Band.



→ Sustainability

- The need to maintain the funded establishment requires Recruitment to ensure every new or existing post is agreed and recorded by Finance
- Any new role is a change to the Establishment, which is acknowledged by the creation of a Position or an adjustment to an existing Position within ESR
- Through the recruitment process, managers must be made aware of the need to ensure the establishment reflects spend and that ESR correctly ascribes the cost to their area
- Regular reconciliation meetings between Finance and HR to ensure both the financial system and ESR are aligned. This could include HR attending monthly meeting with Finance and Divisional Managers

Position Analysis Dashboard Organisation Detail Tab

Title	Initials	Last Name	Employee Number	Assignment Number	Progression Point Value	FTE	Working Hours	Working Hours Frequency	Location	Staff Group	Role	Position
Dr	J	Blogs	00000000	00000000	000	0.00	10.0	Sessions/Week	Default Home	Administrative and Clerical	Officer	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	10.0	Sessions/Week	Default Home	Medical and Dental	Consultant	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate
Dr	J	Blogs	00000000	00000000	000	0.00	11.0	Week	Default Home	Medical and Dental	Trust Grade Doctor - Specialty Registrar	00000000 Director 000 Corporate

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