



ELECTRONIC STAFF RECORD

RN469 Guide to Enhancements and Changes
Release 49.0.0.0 and 49.1.0.0

Information classification: PUBLIC

Revision Date: MARCH 2021

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1 **Introduction**

The purpose of this document is to provide details of the enhancements to the ESR system in Release 49.0.0.0 and 49.1.0.0. The details are grouped in functionality order.

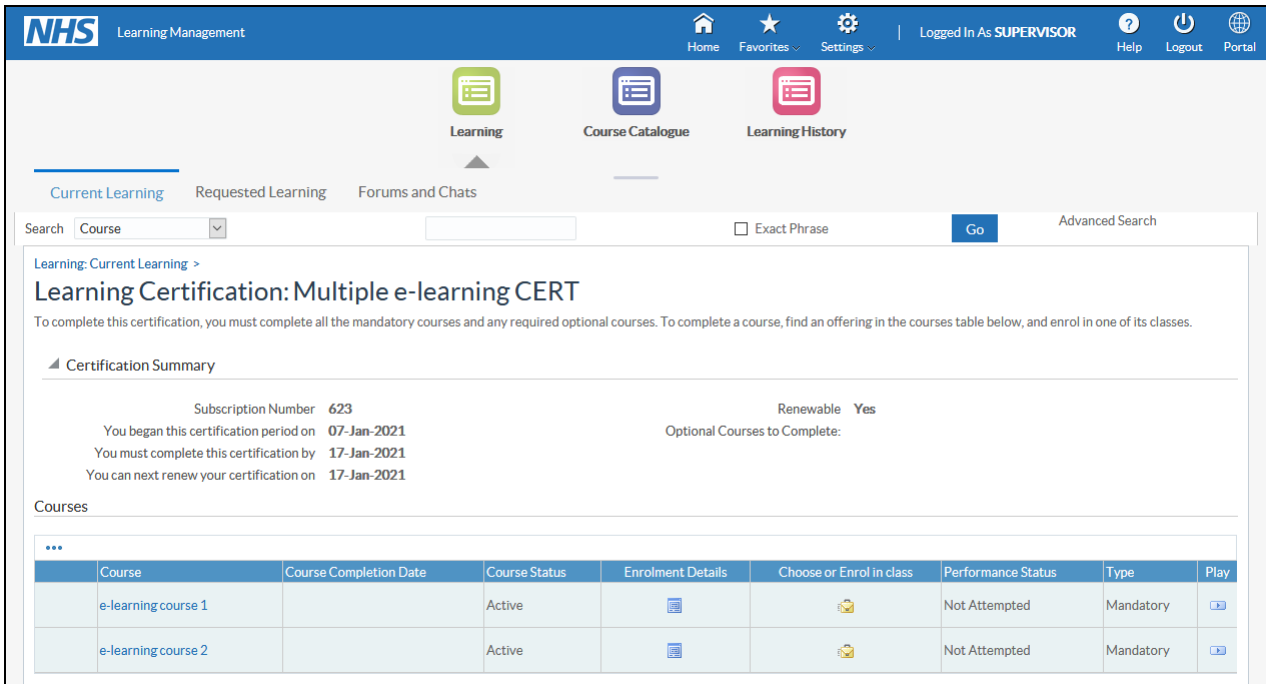
The changes to functionality outlined in this Release Notice are subject to successful testing. As is normal practice, any amendments to the content of the Release will be communicated in the Final Guide to Enhancement Notice.

Please note all Employee data used in this publication is fictional. Any similarity with the names used in this publication with the names of actual persons is purely coincidental and not intentional.

2 My Compliance Portlet - Play Multiple e-Learning Courses

The My Compliance Portlet has been enhanced to cater for Learning Certifications that contain multiple courses that require completion as follows:

- Where a competence has more than one e-Learning course, which needs to be completed to achieve compliance (and the user is enrolled on those courses), when the user clicks the Play button for the selected competence, they will be navigated to the related Learning Certification summary page to choose which class to Play.

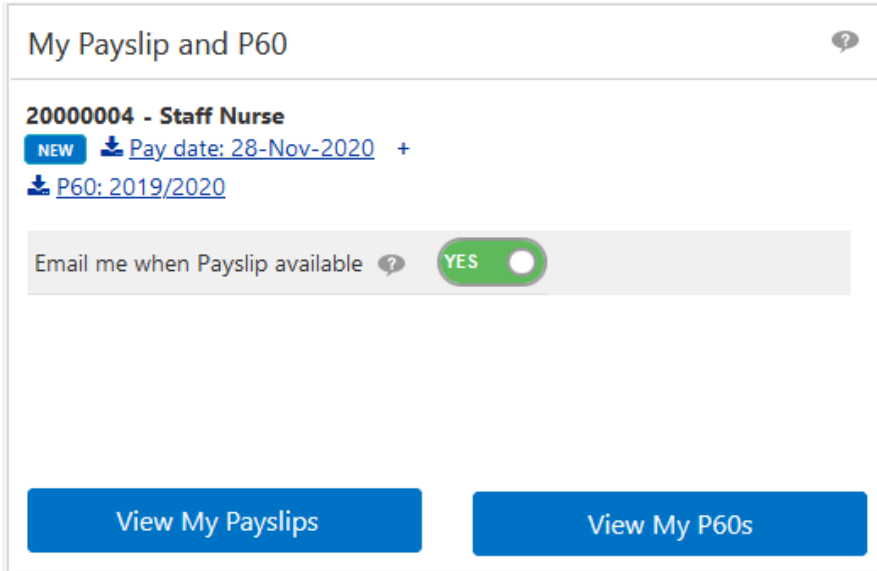


- Where a Learning Certification requires renewal, clicking Play will renew the Learning Certification before displaying the Learning Certification summary page.

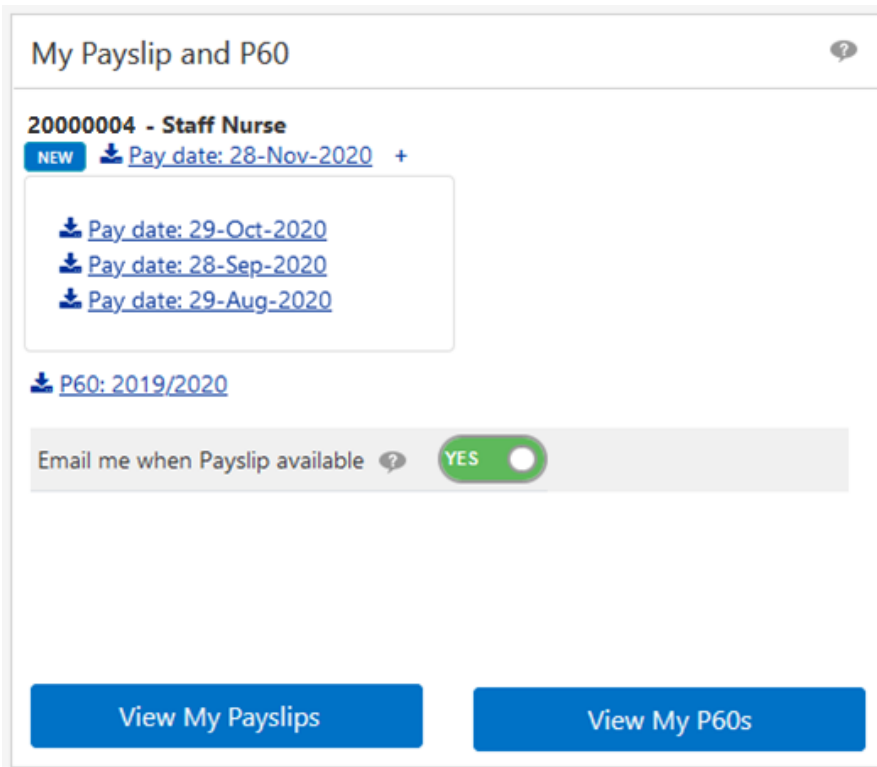
3 My Payslip and P60 Portlet - Access Multiple Payslips

The 'My Payslip and P60' Portlet has been enhanced to enable a user to view previous payslips.

The plus (+) icon will now be displayed against an assignment in the portlet as follows:



When the plus icon is clicked a user can view and download up to the last three Payslips per assignment where available:



In total, upto four Payslips per assignment will be available, the Payslip with the most recent pay date that is accessible to view and download, plus last three available Payslips sorted in descending date order.

Where no previous Payslips are available, the message 'No Payslip available' will be displayed when the plus icon (+) is clicked.

Help Icon

View or download your latest payslip(s) and P60(s). You can also view or download your previous payslip(s) by selecting the plus (+) icon.

Click the View My Payslips button to view your full payslip history.

Click the View My P60s button to view your full P60 history.

4 ESR Password Policy Changes

The following changes have been made to the Password Policy in ESR:

- Passwords must now be a minimum of 12 characters long (previous minimum was 8 characters).
- For new user accounts the 90 day timeout for passwords will no longer be set, this will now default to no timeout.
- The restriction that passwords must have at least 1 number and 1 letter will be removed.
- Special characters can now be used within a password
- A new password may not be the same as any of the previous 4 passwords.

All other password criteria will remain unchanged.

These rules will not affect existing user passwords but will be applied the next time users are prompted to change their passwords.

The Auto User Account Creation process, which creates new user account for qualifying new employees, applicants and external users has been updated to use the new rules.

Forgotten | Request Username/Password | Unlock Account

The layout of the Forgotten Password | Request Username/Password | Unlock Account page has been changed. The section that requests a Username where an employee with multiple accounts only wishes to receive the username for a specific account has been moved from the main body of the form.

Existing Forgotten | Request Username/Password | Unlock Account page:

NHS Electronic Staff Record

Forgotten | Request Username/Password | Unlock Account

Enter the email address associated with your account and your date of birth, your login details will then be emailed to you. If known, entering your username will enable you to receive details for that account only.

Email*

(Example : first.last@domain.com)

Date of Birth*


Date Month Year

Username

You are attempting to access the NHS Electronic Staff Record system (ESR). By entering a password you are confirming your acceptance that you are bound by the Computer Misuse Act. 1990 and any local policies/procedures as defined by your Employer. Usage and access to the ESR solution is audited and action may be taken against any individual attempting inappropriate activity.

[Terms and Conditions](#)

NEW Forgotten | Request Username/Password | Unlock Account page:

**Electronic Staff Record**
NHS Electronic Staff Record

NHS Electronic Staff Record

Forgotten | Request Username/Password | Unlock Account

Enter the email address associated with your account and your date of birth, your login details will then be emailed to you.

Email*

(Example : first.last@domain.com)

Date of Birth*

Date Month Year

Only required if you have more than one NHS Employer and wish to reset a specific account. If known, enter your ESR username to receive details for this account only.

Username

You are attempting to access the NHS Electronic Staff Record system (ESR). By entering a password you are confirming your acceptance that you are bound by the Computer Misuse Act. 1990 and any local policies/procedures as defined by your Employer. Usage and access to the ESR solution is audited and action may be taken against any individual attempting inappropriate activity.

[Terms and Conditions](#)

5 Reinstate Internet Access

If an end dated User Account subsequently has the end date removed and assuming it meets the requirements for internet access, the users' Internet access will be reinstated at the same time as access via HSCN.

To meet this criteria the User Account must be in an Organisation that has set 'Automatic Internet Access' to 'Yes' at Trust level within XXX Local Workstructures Administration. The User Account must also be linked to an Employee, an External Learner or an Applicant.

If the user's password has not been reset by the Local System Administrator then they will be required to use their previous password or use the 'Forgotten | Request Username/Password | Unlock Account' link to reset their password.

6 EU Residency Status

The EU Status Person EIT that was introduced as part of Release 46.2 to capture the following data is now reportable within the Data Warehouse:

- EU Settlement Scheme Status
- Date EU Settlement Scheme Status Issued
- Expiry Date for EU Pre-settled Status
- EU Settlement Scheme Status Verified Date
- Granted EU Leave to Remain
- Leave to Remain Expiry Date

7 **Additional Fields for GMC Professional Registration**

The following changes to the Professional Registration form in ESR to assist with the essential reports and processes around revalidation were applied as part of Release 48:

- A new field - Responsible Officer
- **Re-purposing** of the field Speciality 6 to Revalidation Status (additional values will be added to the LoV)
- **Re- purposing** of the field Sub Speciality 6 to Designated Body (free text)

These fields are now reportable within the Data Warehouse.

8 Legislative Changes for 2021/22

The following changes are required to ensure continued compliance with the UK legislation for the 2021/22 tax year:

Changes to National Insurance Thresholds & Rates:

	LEL	PT	ST	UST	AUST	UEL
Weekly	120.00	184.00	170.00	967.00	967.00	967.00
Monthly	520.00	797.00	737.00	4,189.00	4,189.00	4,189.00
Yearly	6,240.00	9,568.00	8,840.00	50,270.00	50,270.00	50,270.00

- The Lower Earnings Limit, Primary (Employee) Threshold and Secondary (Employer) Threshold are increased for 2021/22.
- The PT and ST are not aligned for Tax Year 2021/22.
- The Upper Earnings Limit remains linked to the PAYE higher rate threshold.

The actual percentages used in the calculation of contributions are unchanged from the 2020/21 rates.

National Insurance Rates from April 2021 - Employee

Not-contracted out	12.00%
Married Women Reduced Rate	5.85%
Earnings above UEL	2.00%

National Insurance Rates from April 2020 - Employer

Not-contracted out	13.80%
Not-contracted out (under 21)	0.00%
Not-contracted out (under 25 Apprentice)	0.00%

Changes to PAYE Bands & Rates:

Effective from 06-Apr-2021, the thresholds for 2021-2022 are as follows:

Rate	Percentage	Band
Basic Rate	20%	1 to 37,699.99
Higher Rate	40%	37,700 to 149,999.99
Additional Higher Rate	45%	Over 150,000

Changes to Statutory Payments Rates for 2021/22:

SSP rate	SSP rate – 96.35 per week for sickness absences on or after 6 April 2021
SMP standard rate	Increased to 151.97 per week for payment weeks starting on or after 4 April 2021
SAP standard rate	Increased to 151.97 per week for payment weeks starting on or after 4 April 2021
SPP standard rate	Increased to 151.97 per week for payment weeks starting on or after 4 April 2021
ShPP standard rate	Increased to 151.97 per week for payment weeks starting on or after 4 April 2021
SPBP Standard rate	Increased to 151.97 per week for payment weeks starting on or after 4 April 2021

Note: The implementation date has been set to the first Sunday in April because the calculation for these benefits is in weekly amounts.

Changes to Pensions Automatic Enrolment Threshold for 2021-22:

Thresholds to be used in the assessment of earnings to determine if an employee should be automatically enrolled, and for calculating qualifying earnings for pension's purposes. This will apply for automatic enrolment and re-enrolment.

Qualifying Earnings Lower Threshold (for assessing jobholder status)

Annual	6,240.00
Weekly	120.00
Fortnightly (2 weeks)	240.00
Lunar Monthly (4 weeks)	480.00
Calendar Monthly	520.00
Quarterly	1,560.00
Biannual (6 Calendar Monthly)	3,120.00

Qualifying Earnings Upper Threshold

Annual	50,270.00
Weekly	967.00
Fortnightly (2 weeks)	1,934.00
Lunar Monthly (4 weeks)	3,867.00
Calendar Monthly	4,189.00
Quarterly	12,568.00
Biannual (6 Calendar Monthly)	25,135.00

Earnings Trigger for Automatic Enrolment

Annual	10,000.00
Weekly	192.00
Fortnightly (2 weeks)	384.00
Lunar Monthly (4 weeks)	768.00
Calendar Monthly	833.00
Quarterly	2,499.00
Biannual (6 Calendar Monthly)	4,998.00

NOTE: The Qualifying Trigger for Automatic Enrolment remains unchanged from 2020/21

Scottish Rate of Income Tax changes from 2021/22:

The 2021-22 Scottish income tax bandwidths and percentages effective from 6 April 2021 are as follows

The rates used in the calculation of SRIT for 2021-22 are different to those used in the calculation of PAYE for the rest of the UK.

The 2021-22 Scottish income tax bandwidths and percentages effective 6 April 2021 are as follows:

Rate	Percentage	Band
Starter Rate	19%	0 to 2097
Basic Rate	20%	2,098 to 12,726
Intermediate Rate	21%	12,727 to 31,092
Higher Rate	41%	31,093 to 150,000
Additional Higher Rate	46%	Over 150,000

The basic personal allowance is increased, and is same as that for rUK, which is £12,570.

NOTE: Employers must run the Start of Year process to perform a bulk uplift of tax codes to handle this. It is not necessary to allocate a tax code to the new Scottish starter rate. The fifth/Top rate introduces tax code SD2:

With this change, the following tax codes apply:

- Basic rate 20% code SBR
- Intermediate rate 21% code SD0
- Higher rate 41% code SD1

- Top rate 46% code SD2

- SBR – all PAYE is calculated using basic rate, with no tax-free pay allowance.
- SD0 – all PAYE is calculated using intermediate rate, with no tax-free pay allowance.
- SD1 – all PAYE is calculated using higher rate, with no tax-free pay allowance.
- SD2 – all PAYE is calculated using top rate, with no tax-free pay allowance.

NOTE: The Scottish income tax rates and thresholds are subject to Scottish parliamentary approval.

Welsh Rate of Income Tax Changes:

The rates from 6th April 2021 will match the rUK for the Tax Year 2021/22.

Payrolling of Benefits:

Each year legislation is passed to update some of the calculations of tax liability, or the rates used in these calculations. Updates are required at the end of each tax year for processing P11Ds. For payrolling of benefits, these same updates will be required from the beginning of the tax year.

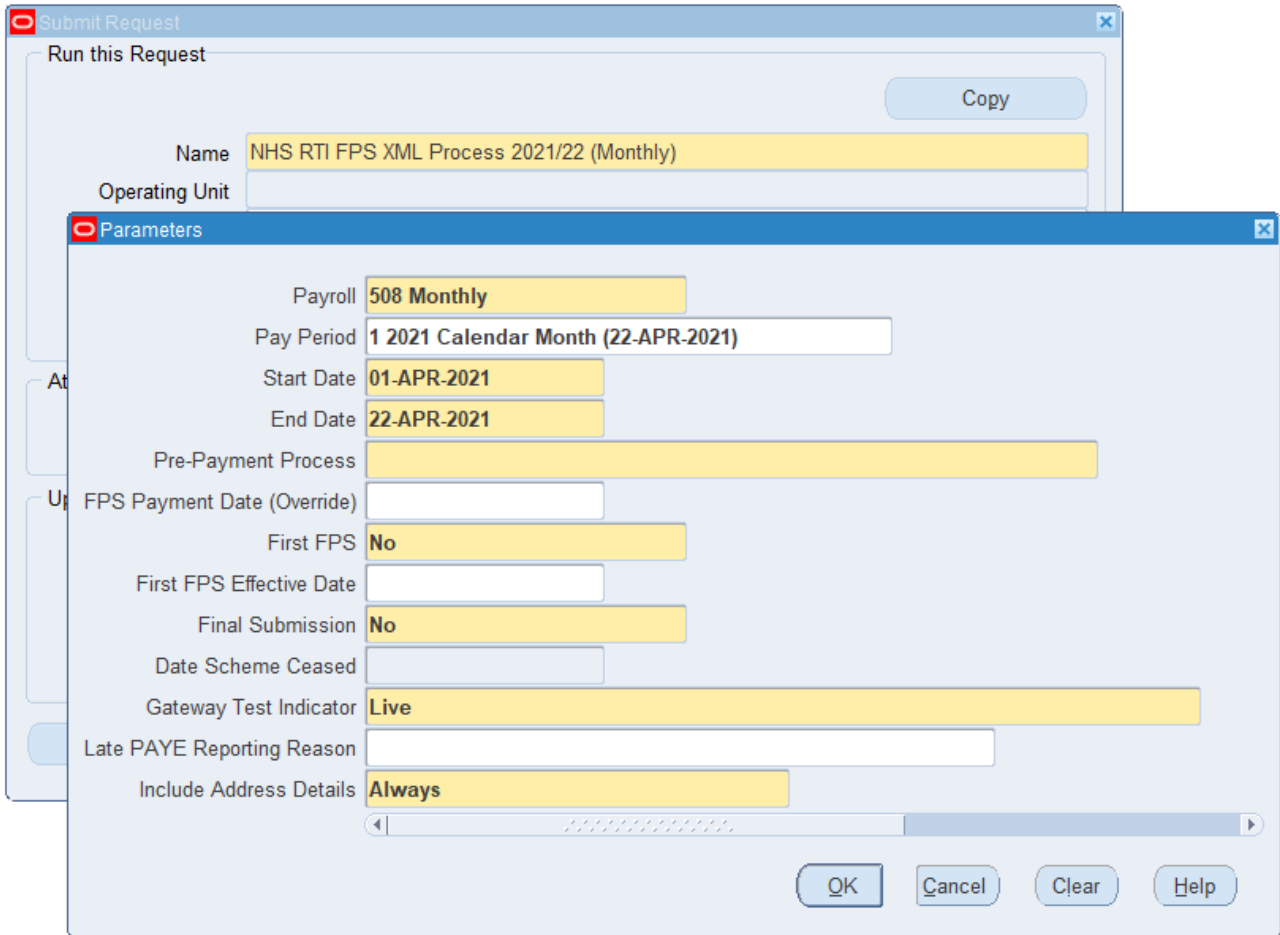
- For 2021-2022, the Number of Days in the Year is 365, as 2022 is not a leap year.
- The multiplier used in calculating the car fuel benefit increases from 24500 to £24600. The calculation method is unchanged.
- Multiplier used in calculating the van fuel benefit has increased from £666 to £669, whereas the basic calculation method remains unchanged.
- The cash equivalent value used to calculate the benefit for a van which is available for private use has increased from £3,490 to £3,500.
- HMRC has published tables to select the appropriate percentage for using in the car benefit calculation, based on CO2 emissions
- Diesel supplement remains at 4%.

Statutory Bereavement Pay:

Please refer to Section 17 of this guide for guidance.

9 RTI FPS Changes for 2021/22

In line with HMRC's guidance ESR has been enhanced to provide the new RTI FPS process for the new financial year as follows:

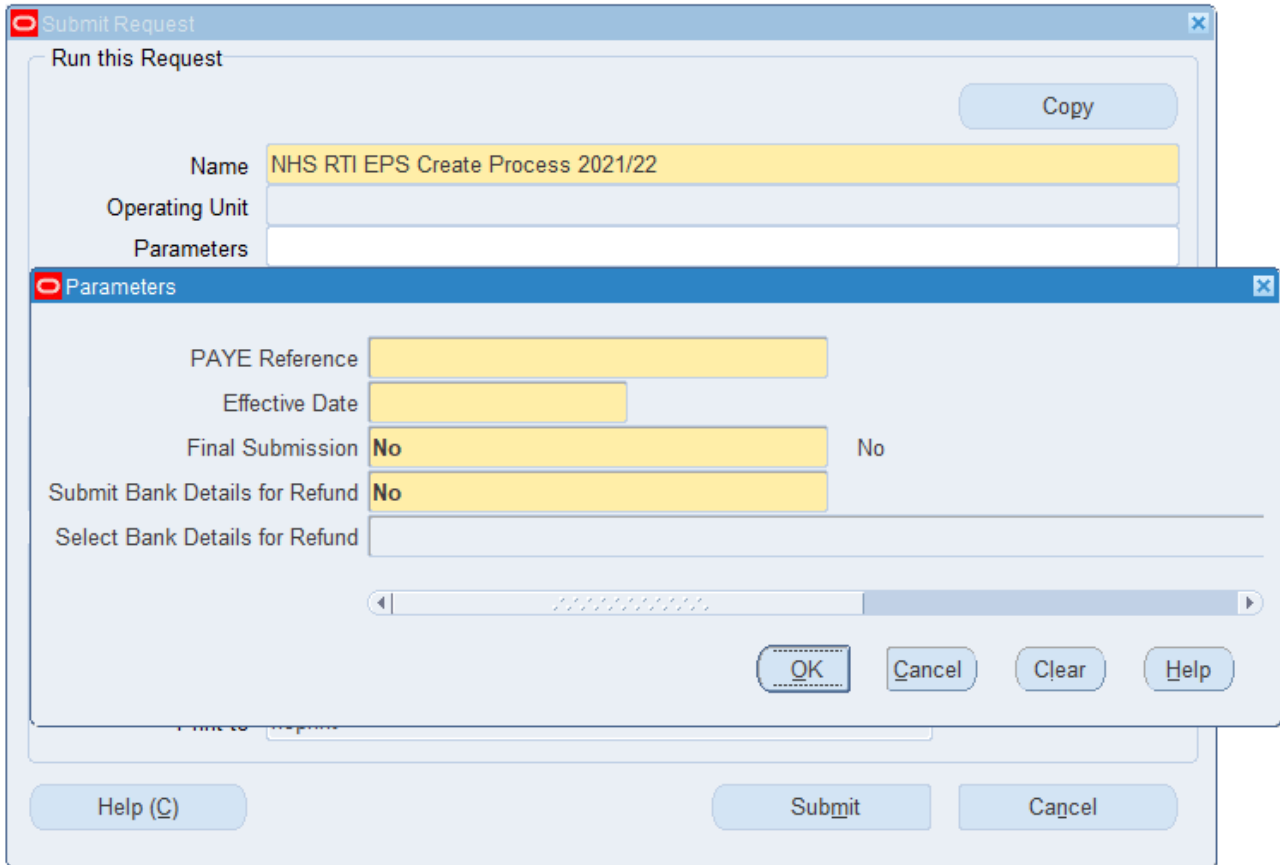


This new request includes the following:

- Student Loan Plan Type now accept 1, 2 & 4
- The earliest termination date that can be included in the FPS is 06 April 2015. Users are reminded to ensure that they enter a Final Process/End date when they terminate the employee/assignment record.

10 RTI EPS Changes for 2021/22

In line with HMRC's guidance a new request has been created for the NHS RTI EPS process for the new financial year as follows:

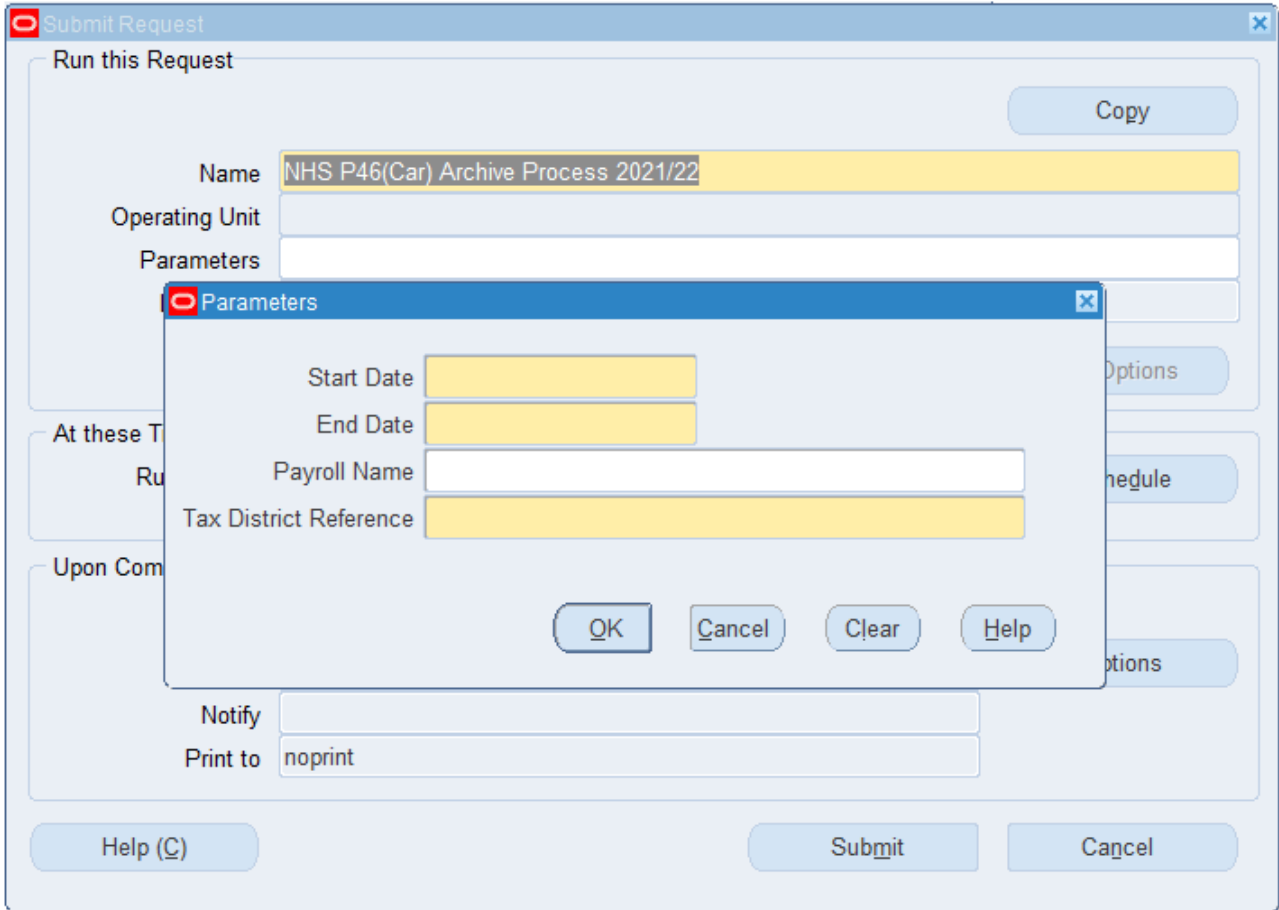


IMPORTANT NOTE:

The output from the NHS RTI EPS XML Process is validated by HMRC's rules for submitting an EPS. This is that for an EPS to be valid, it has to be submitted on or before 19th of the month relating to the end of the tax month. E.G. for a Month 1 EPS this would be the 19th May as the tax month ends on 5th May.

11 P46(Car) Changes for 2021/22

In line with HMRC's requirements a new request has been created for the P46 (Car) for 2021/22 as follows:



This process should be used for any car benefit where the reportable benefit is due during 2021/22. If the reportable benefit is due during 2020/21, then the NHS P46 (Car) Archive Process 2020/21 should be used.

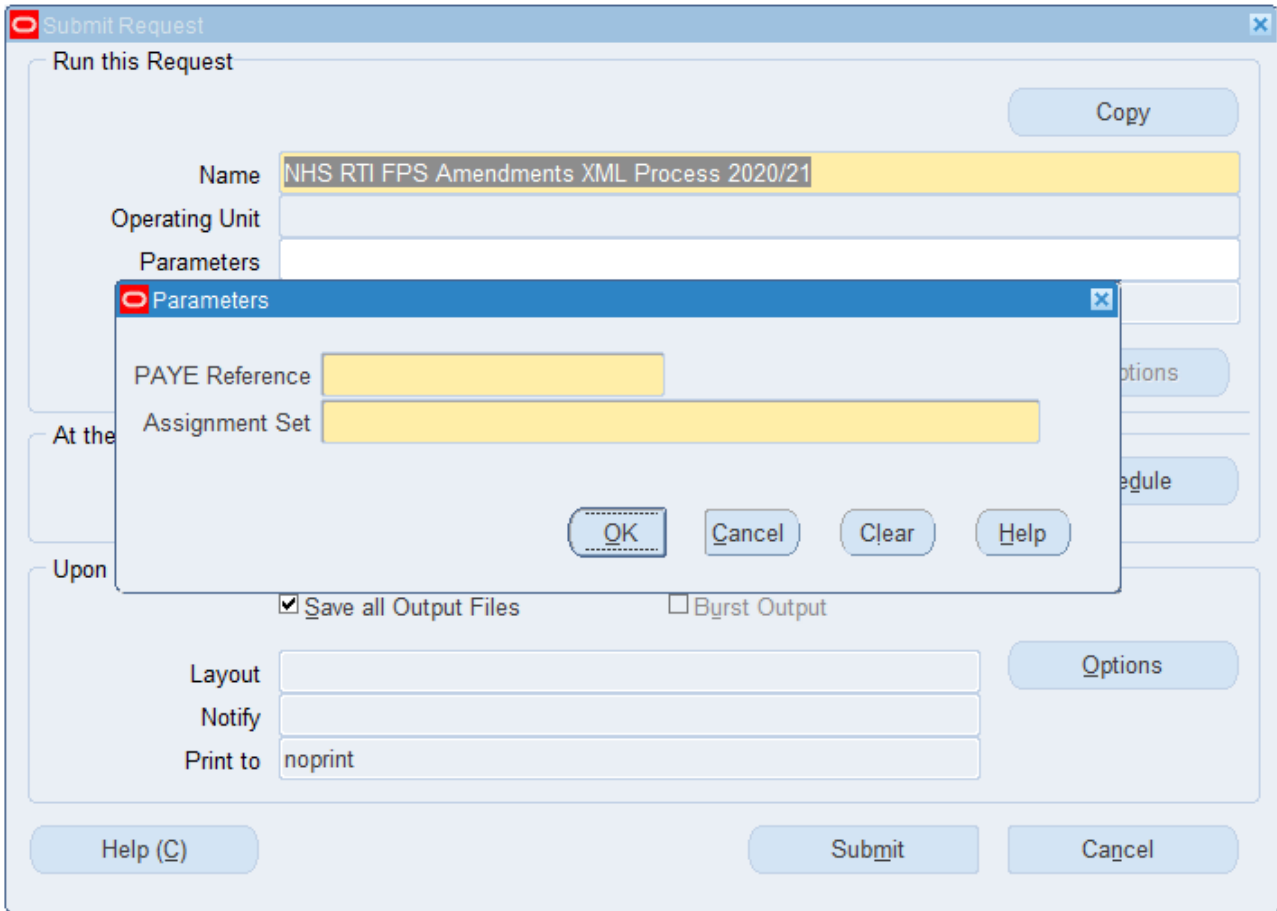
12 RTI P60 Changes for 2020/21

The P60 processing for 2020/21 has been updated to take into account the new field for Statutory Bereavement Pay (see Section 17 of this guide) as required by HMRC and the NHS RTI Year to Date Reconciliation Report Process, where the Compare All Payroll vs P60 run mode is selected, has also been updated to include this value.

In addition, the Name field in the Address label of the P60 has been increased from 37 characters to 42 to prevent truncation.

13 RTI FPS Amendments Changes for 2020/21

In line with HMRC’s requirements a new request has been created for the RTI FPS Amendments process for 2020/21 as follows:

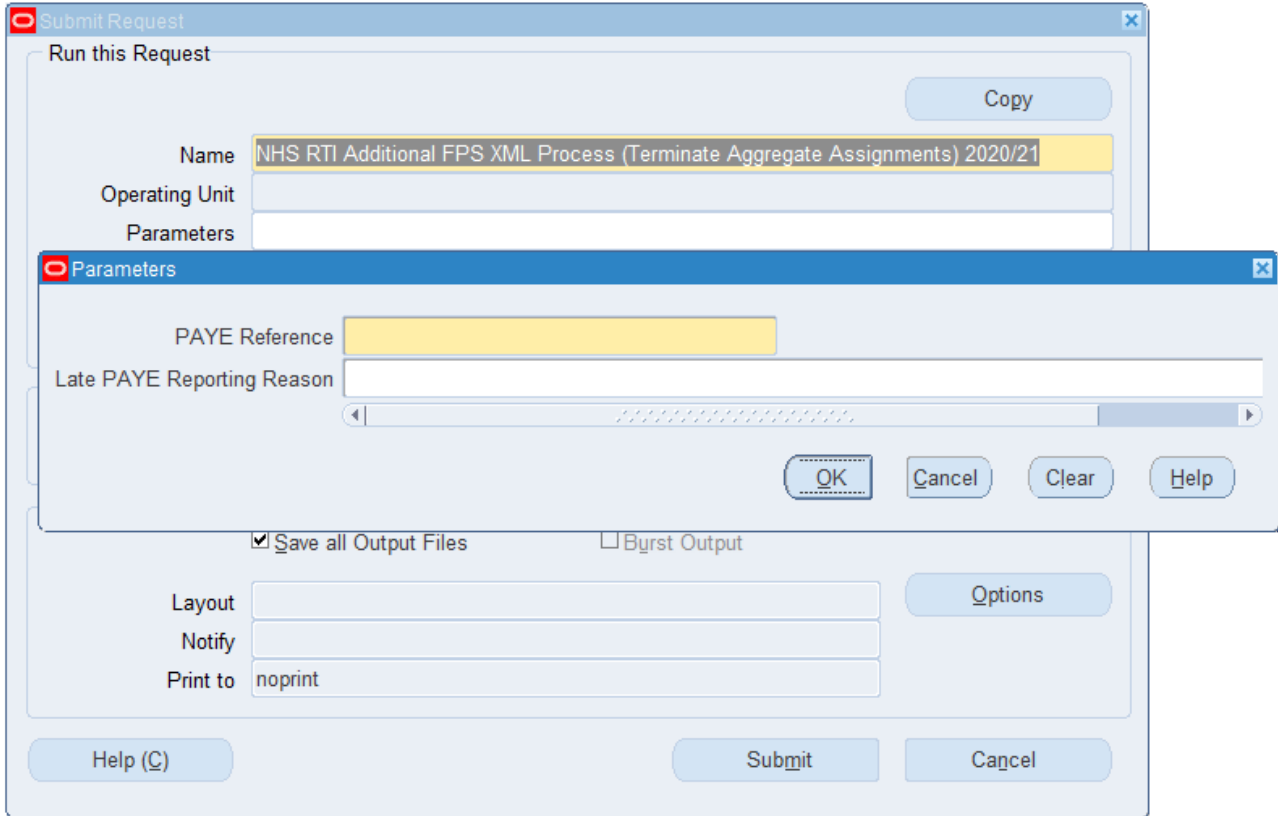


PLEASE NOTE: In order to allow this process to complete successfully the Assignment Set parameter has been made mandatory. In addition the following fixes have also been applied to both the 2019/20 and 2020/21 versions of the NHS RTI FPS Amendments XML Process:

- The FPS Amendments would not include an assignment if the last payroll run was either skipped or had no payment. This has now been resolved.
- The FPS Amendments was not reporting a previously reported termination date. This has now been resolved.
- The FPS Amendments was not using the payday from the last FPS archive as required and was using the equivalent date from the payroll calendar. This has now been changed to use the last FPS archive so that the data sent to HMRC has the same payday that was originally used.

14 RTI Additional FPS Changes for 2020/21

In line with HMRC's requirements a new request has been created for the NHS RTI Additional FPS XML Process (Terminate Aggregate Assignments) process for 2020/21 as follows:



This must be submitted for any employee who has had their aggregation status changed to NI and PAYE from 06-APR-21.

15 Tax Code Uplifts 2020/21

The Basic Personal Allowance has increased from £12,500 to £12,570 per annum from 06-APR-21. This translates to an uplift in the basic tax code from 1250L to 1257L i.e. a rise of 7 points.

The Start of Year process will automatically update tax codes by the following amounts:

- L Suffix increase by 7
- M Suffix increase by 8
- N Suffix increase by 6

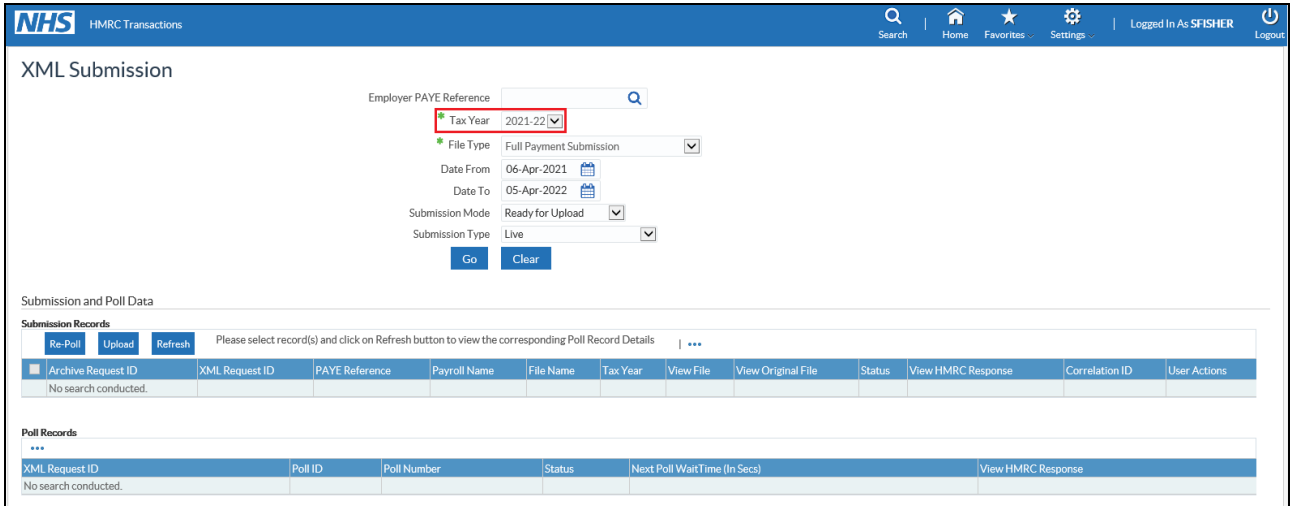
The Emergency Tax Code in ESR has also been increased to 1257 and this will be reflected in the applicable Exception reports.

16 Submit Files to HMRC – Change to Default Year

When opening the Submit Files to HMRC form, the default Tax Year has been changed from 2020/21 to 2021/22 as follows:

Navigation Path: XXX Payroll Super Administration

HMRC Transactions > Submit Files to HMRC



The screenshot shows the 'XML Submission' form in the NHS HMRC Transactions system. The 'Tax Year' dropdown menu is highlighted with a red box and shows '2021-22' selected. Other form fields include 'Employer PAYE Reference', 'File Type' (Full Payment Submission), 'Date From' (06-Apr-2021), 'Date To' (05-Apr-2022), 'Submission Mode' (Ready for Upload), and 'Submission Type' (Live). Below the form are sections for 'Submission and Poll Data' with 'Submission Records' and 'Poll Records' tables, both showing 'No search conducted.'

17 Statutory Parental Bereavement Pay and Leave

The Parental Bereavement (Leave and Pay) Act introduced a new employment right to Statutory Parental Bereavement Leave (SPBL) and an entitlement to Statutory Parental Bereavement Pay (SPBP) for any qualifying parent who loses a child (under the age of 18) or who suffers a still-birth from 24 weeks of pregnancy.

Statutory Parental Bereavement Leave (SPBL)

An employee can take 2 weeks' leave from the first day of their employment for each child who has died or was stillborn.

2 weeks leave may be taken either as 2 separate weeks or one block of 2 weeks.

Statutory Parental Bereavement Pay (SPBP)

Statutory Parental Bereavement Pay for an eligible employee is either £151.20 a week or 90% of their average weekly earnings (whichever is lower).

ESR does enforce withholding of statutory payments due to late evidence / notification rules, although they can be manually entered. This is because of the sensitive nature of the absence.

Pay is not reduced so statutory payments are treated as notional

Parental Form

Navigation Path: XXX Absence Administration

Absence > Others > Parental Bereavement

Parental Bereavement(Smith, Mr. Ben)

Date of Child's Death or Stillbirth ... SPBPP Start Date

Relevant Week Continuous Employment Start Date

Number of Deceased Children

Statutory Pay

Date Started Work for New Employer

Evidence Form

Parental Bereavement Notice and Declaration: 20-JUN-2021

Date Notice Given: 01-FEB-2021

Status: Current Superseded

Source: Letter

Details: []

Late Submission

Reason: []

Accept Late Notification

Declaration

Date of Child's Death or Stillbirth: []

Absence Others...

Absence Form

Absence Detail

Type: Shared Bereavement Leave Category: Parental Bereavement

Reason: [] Occurrence: []

Child's Date of Death: 07-MAR-2021

Notified: 08-MAR-2021 Time: []

Projected Start: [] Time: [] End: [] Time: []

Actual Start: 08-MAR-2021 Time: [] End: 21-MAR-2021 Time: []

Duration: 14 Days [] Hours []

Reason for Late Notification: [] Accept

Authorized by: [] Number: []

Replaced by: [] Number: []

Balance Information

Associated Element: Absence SPBP NHS

Running Total: 0

In Current Year: 0 Hours (B) Days No Balance (G) []

Accruals Confirm Projected Dates

Evidence Statutory Payments QSP AfC Others...

Statutory Payments Screen

Parental Bereavement: 20-JUN-2021(AFF, Mr. Adamant)

Earnings Calculation
 Average Earnings Amount **464.56** Effective Date 28-FEB-2021 User Entered Recalculate
 Payment Periods

Stoppages

From	To	Reason	Override	Employee Notified	User Entered
			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SPBP Entries

From	Amount	Rate	Recoverable	Effective Start	Effective End
15-MAR-2021	151.20	STD	139.10	01-MAR-2021	31-MAR-2021
08-MAR-2021	151.20	STD	139.10	01-MAR-2021	31-MAR-2021

Absence Others...

On creation of the Statutory Bereavement Leave and Absence record the Absence SPBP NHS element will automatically be applied to the Assignment to control the payment of SPBP:

Element Entries: 01-FEB-2021(Smith, Mr. Ben)

Period 11 2021 Calendar Month (01-FEB-2021)
 Classification

Processing Types
 Recurring
 Nonrecurring
 Both

Override
 Additional
 Processed
 Retroactive

Element Name	Processing Type	Costing	Reason	[]	Override	Additional	Processed	Retroactive	Effective Dates	
									From	To
Absence SPBP NHS	Nonrecurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-FEB-2021	28-FEB-2021
Basic Contracted NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Enhanced Multipliers NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
NI	Recurring	[NHS999999]NH			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Negative Net Pay NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Overtime Multipliers NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
PAYE Details	Recurring	[NHS999999]NH			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Pension NHS	Recurring	[NHS999999]NH			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Pensions Information	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
SSP SMP Calculator NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	
Standard Costing NHS	Recurring				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01-JAN-2021	

Entry Values Balance Grossup

18 Student Loan Changes

The following changes are made to the Student Loans to comply with the legislative changes effective for the new tax year 2021/22:

- From April 2021, a new type of student loan is introduced for Scottish loan repayments to handle the difference in the threshold and will be referred to as a Plan4 loan. This is in addition to the existing Plan1, Plan2 and Postgraduate Loans (Plan3).

IMPORTANT NOTE: the Scottish Student Loan, Plan Type 4 will be introduced with effect from 06-APR-2021 however HMRC may start sending SL1 notifications with the new plan type from 05-MAR-2021. These files will error when running the NHS Student Loan Upload Process and therefore the affected assignment records should be noted from the Log File.

The affected assignments must then be updated manually following Release 49 using one of the following methods:

[Fastpath > Entries](#) (to update an individual assignment)

[Web ADI](#) or [Batch Element Entry](#) (to bulk update assignments)

- Threshold values for the existing plan types – Plan1 and Plan2 are revised for the new tax year 2021/2022 as follows:

Plan Type	Current Threshold Value	Revised Threshold Value	Current Repayment Rate	Revised Repayment Rate
Plan 1	19390	19895	9	9
Plan 2	26575	27295	9	9
Plan 4	-	25000	-	9

NOTE: The threshold value and repayment rate for postgraduate loans (Plan3) are unchanged

19 National Minimum Wage and National Living Wage Changes for 2021/22

ESR has been updated to reflect the revised National Minimum/Living Wage values from 01-APR-21 as follows:

Category	Rate from 01-APR-21
Under 18	4.62
18 to 20	6.56
21 and 22	8.36
Apprentice	4.30
Living Wage	8.91

NOTE: The Living Wage now applies to those age 23 and over – this has changed from the previous age of 25, effective 01-Apr-21.

The above rates will be used in the following:

- NHS Payroll Message Report
- Payroll Exceptions Management tool

The messages displayed in the Payroll Exceptions Management tool have been amended to reflect these changes and all NLW/NMW exceptions are mandatory.

20 **HMRC Advisory Fuel Rates from 01-MAR-2021**

HMRC has published new advisory fuel rates for company cars effective 01-Mar-2021 and these rates are now in use in ESR.

For one month from the date of change, employers may use either the previous or new current rates, as they choose. Employers may therefore make or require supplementary payments if they so wish but are under no obligation to do either.

The revised rates are as follows:

Engine Size	Petrol	LPG
1400cc or less	*10p	*7p
1401cc to 2000cc	12p	*8p
Over 2000cc	18p	*12p

Engine Size	Diesel
1600cc or less	9p
1601cc to 2000cc	11p
Over 2000cc	*12p

Engine Size	Electric
All	*4p

* No change has been made to these rates. These are stated for information only.

Action

Please note that mileage payments are not processed when NHS Retro Pay is run, so any changes to amounts already paid will need to be made manually.

21 Pension Band Reassessment

A new process has been added into payroll processing to automatically reassess new starters and assignments with certain pay affecting changes to ensure they are allocated to the appropriate pension band. This will include assignments that have been affected by pay awards.

A full period payroll must have run between the effective date of the change and the reassessment being done. This is because the reassessment process needs a full period at the new value of pay to correctly estimate the annual pensionable pay.

For example if a grade step change happens mid-way through April then the pay in April would not fully represent the new rate of pay, as part of the period would still be at the old rate. Instead the process will wait until after May has been paid, as then the pensionable pay from May should have a full period at the new rate.

If a change to pension band resulted from this change it would be date tracked to the 01-May i.e. the first day of the next period after the effective date of the change (assumes this assignment is monthly). If the change had been effective from the 01-Apr (the first day of a period) then it could have been reassessed after the April payroll and any change that resulted would have been date tacked to 01-Apr.

Where the reassessment process finds that a new pension band is now required for a new starter this will be corrected back to the assignment start date.

Where the reassessment process finds that a new pension band is now required for an assignment after a pay affecting grade step change then the new band will be updated on the pension element from the start date of the next payroll period after the effective date of the change (or from the effective date of the change where this is already the first day of a payroll period).

Triggering events to automatically include an assignment in this process will be as follows:

- New starter, including a new assignment for an existing person.
- A change to the assignment grade step which is pay affecting
- Assignments affected by a pay award

A separate process will be run centrally after pay awards to make sure all affected assignments are triggered for reassessment after their next payroll run. The same rules apply as for other triggering events e.g. a full period must be processed at the new rate before the reassessment can happen. For example if a pay award was effective from 01-Apr then as part of the pay award the central process would run to mark the appropriate assignments for reassessment. For monthly paid assignments we would expect this to happen after the April pay runs.

Where a pay award is back-dated the same process would be run to highlight affected assignments e.g. a pay award effective from 01-Apr is not applied into ESR until June. If this is applied before the June payroll runs then the appropriate assignments would be marked for reassessment and would be reassessed after the June payroll runs (as June will be paid at the new rate). Any retro pay paid in June would be ignored as part of the reassessment process. Any changes to pension band that resulted from the reassessment would be back-dated to 01-Apr, the effective date of the pay award.

There is however a slight complication with back dated Pay Awards. If a second change happened to an assignment between the effective date of the pay award and the date of the reassessment e.g. an assignment had a pay affecting grade step change on 01-May in the example above, then the reassessment for this assignment in June would have two factors contributing to the June rate of pay, the grade step change and the pay award change. If a band change resulted from the reassessment in June then this would be effective from the 01-May NOT the 01-Apr, as we would need to use the later of the two event dates as the effective date. This is because we cannot tell from the June pay if the pay award alone caused the band change. This scenario would be highlighted in the Band Allocation Report for June with one of the 'Multiple Changes' process statuses.

This assignment should then be reviewed manually.

This process will use the pensionable pay in the period to estimate the pensionable pay for the assignment for the year. For this reason the assignment must meet certain criteria before it can be reassessed for pension by this process e.g. the assignment

- Cannot be Bank. Bank assignments will only be assessed for pension bands at year end.
- Must not be a Leaver in the Period
- Must be on a valid assignment status for the whole period e.g. not Maternity and Adoption. Only assignments with the following assignment statuses in the reassessment period will be reassessed, all other assignment statuses in the period would cause the assignment to be skipped for reassessment.
 - Active
 - Acting Up
 - Internal Secondment
 - Suspend With Pay
- Must not have any non-representative pay items in reassessment period e.g.
 - OSP Nil
 - OSP Half
 - Unpaid Absence
 - Basic NR
- Any non-typical pay such as retro pay in the reassessment period will not be counted as pensionable pay for the purpose of this estimation. In addition to all retro elements the following elements are explicitly excluded:
 - New Starter Basic Arrears
 - NHS Manual Arrears NR NHS
 - Lieu of Annual Leave Locum NR NHS
 - Lieu of Annual Leave NR NHS
 - Lieu of Notice NR NHS
 - Pay in Lieu NR NHS

The process will also highlight assignments where the reassessment did take place but where there were some elements present in the period that mean the assignment should be manually reviewed e.g.

- OSP Full

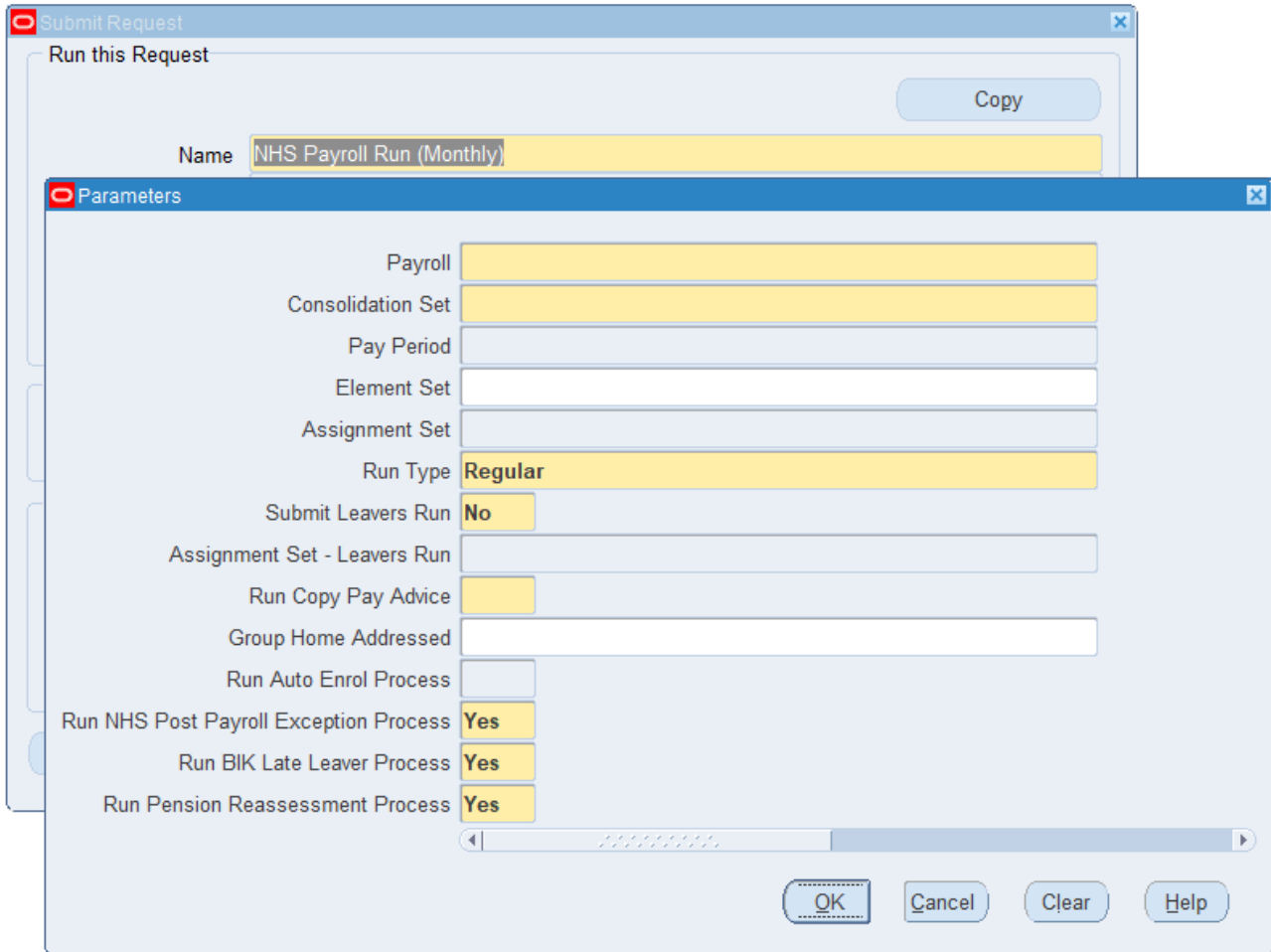
Assignments that have been triggered for Mid-Year reassessment, but have not met any of the eligibility criteria to be reassessed will not be reassessed and will be left to be picked up by the year end rebanding process at the end of the current pension year.

Any assignments that have been successfully reassessed by this process mid-year, will not now be included in the Year End Rebanding process for that year.

The process will form part of the Payroll Run from this release and will be defaulted to 'Yes' to run in all cases. If payroll is being run with the intention of rolling back and re-running later then the user may choose to not run the reassessment process as part of the run.

The following Processes have been updated with the new parameter:

- NHS Payroll Run (Monthly)
- NHS Payroll Run (Weekly)
- NHS Payroll Run (Fortnightly)
- NHS Payroll Run (Lunar)



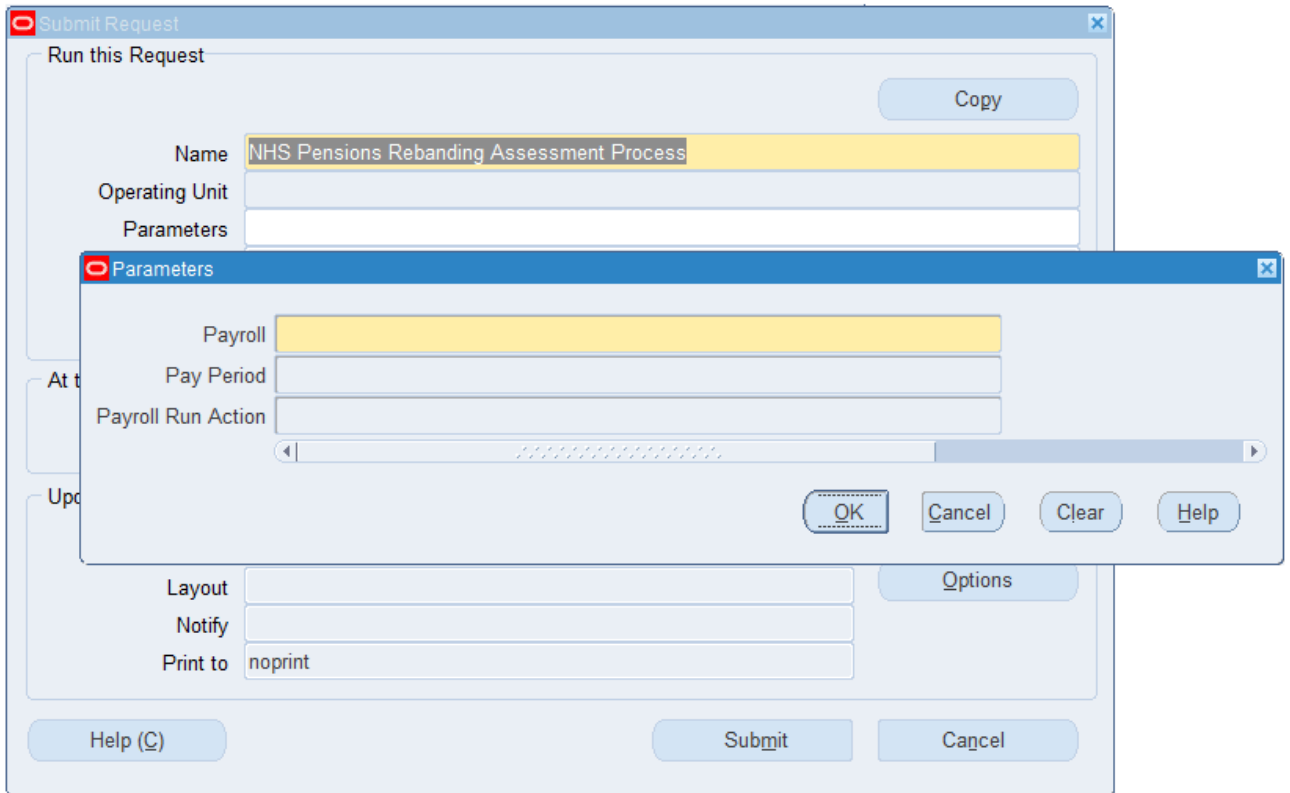
The Leavers Run and Supplementary Run processes will not be updated with the new parameter as Mid-Year reassessment of pension band would not be applicable to them.

Only the results from a single pay run are being used by the Mid-Year process to estimate annual pensionable pay. This means that the process would not work as expected where an assignment is being paid twice in the same period.

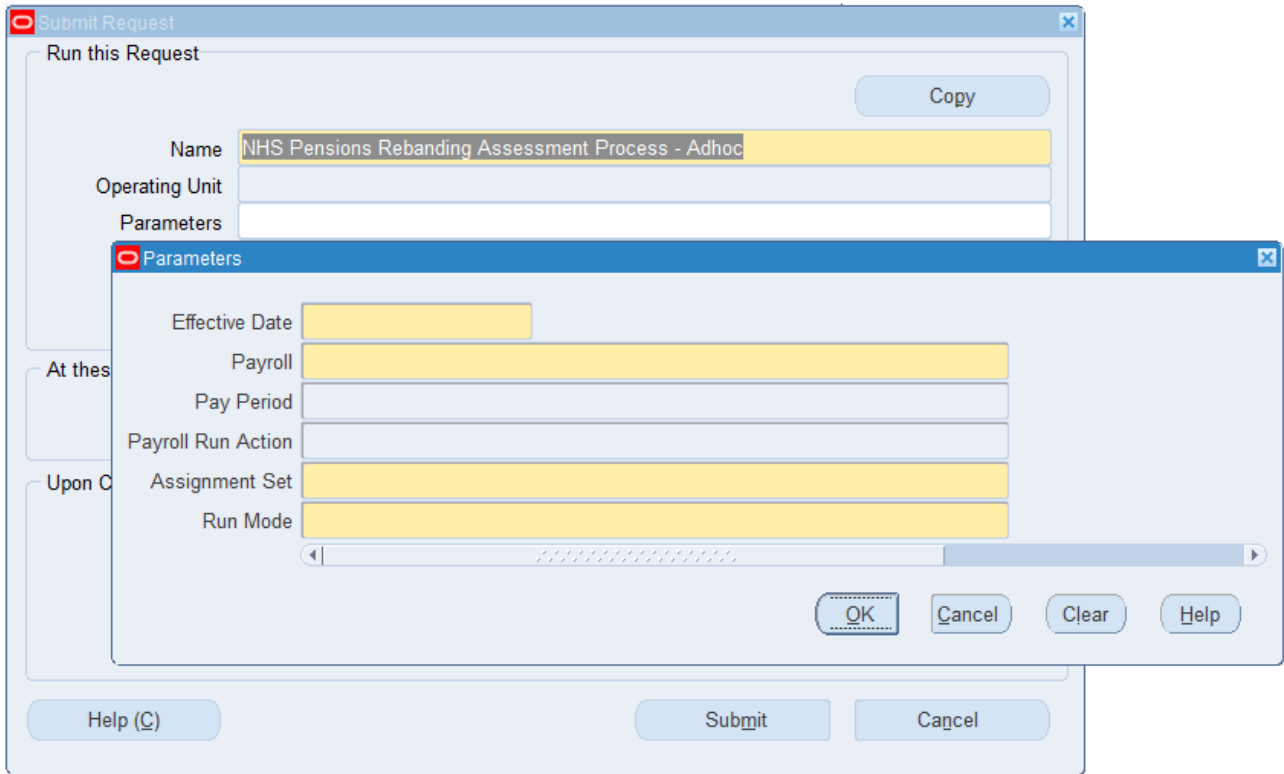
E.g. if the Mid-Year reassessment process were to be run against a supplementary run then only the payments made in the supplementary run would be used by the calculation. This could result in large variations in the estimates for annual pensionable pay. If it were thought that a significant portion of normal pay was missing from a single run then it may be better to wait until the next pay run before running this process (assuming the next pay run had more 'representative' pay).

The process can also be run in one of two manual modes:

- Stand Alone mode
 - Used to run reassessment for a given run to pick up any assignments automatically triggered for reassessment. This would only be required if the normal Payroll Run had the Pension Reassessment option set to 'No', but it was later decided that this run would not be rolled back and the reassessment should happen on this run.



- In Ad-Hoc mode to reassess a list of assignments supplied from an assignment set.
 - Additional assignments i.e those not triggered automatically, may also be reassessed Mid-Year as required. The required assignments should be listed in an assignment set and processed using the Ad-Hoc version of the process. An existing Payroll Run must be selected to reassess the assignments against.
 - The effective date parameter in the Ad-Hoc version of the process is the effective date that any changes to the pension band should be made effective from. This would normally be expected to the start date of the period the reassessment is being performed for or the start date of the next period. Using dates much before the reassessment period could result in large amounts of retro being generated for affected assignments.
 - The ad-hoc version of the process can be run in validate or commit mode. The validate mode will report on the changes that would be made but not commit any of the proposed changes to the pension element. The commit mode would commit the changes as well as generating the report.



NHS Pension Band Allocation Report

The existing Pension Banding Report has been updated to handle both Year End Rebanding and Mid-Year Rebanding.

The report parameters have been updated as follows:

The image shows two overlapping dialog boxes. The background dialog is titled 'Submit Request' and contains a 'Copy' button, a 'Name' field with the text 'NHS Pension Band Allocation Report', and fields for 'Operating Unit' and 'Parameters'. The foreground dialog is titled 'Parameters' and contains a 'Mode of Operation' field (highlighted in yellow), 'Tax Year End', 'Payroll', 'Pay Period', and 'Percent' fields. It also has 'OK', 'Cancel', 'Clear', and 'Help' buttons. At the bottom of the 'Submit Request' dialog, there is a 'Print to' field set to 'noprint' and 'Help (C)', 'Submit', and 'Cancel' buttons.

There are 3 modes of operation as follows

- E – Year End
- M – Mid-Year
- S – Annual Summary

These work as follows:

Year End - This will be similar to the previous version. The user should select the Pension Year End to be reported on and the report will list only those assignments rebanded as part of the year end process for that year.

Mid-Year – This will only list the assignments that were reassessed Mid-Year in a particular payroll period. The user must select the payroll and the pay period to be reported on. It is important that this report is generated whenever the Pension Reassessment process has been run. It should be used to check the changes that have happened and for reviewing any messages to see if any manual action is required. This report will also list assignments that have been skipped or have raised an error and will give the associated reasons in the messages column. Users can choose to leave these assignments to be picked up again at the next year end rebanding or by their next triggering event, which happens first. Alternatively the users can choose to reassess them manually using the Ad-Hoc process in a subsequent period, provided the reason for them not getting assessed in the current period has been addressed or does not still apply. The Mid-Year version of the report will only include assignments that are still active at the end of the period selected. Assignments who left mid-period would not have their pension band re-assessed and would not be included in the Mid-Year version of the report for the period in which they leave.

Annual Summary – This will be a combination of all Mid-Year reassessments and the year-end reassessment for a given Pension Year. The user only needs to select the year end and all the Mid-Year reassessments for the year will be included. Only assignments successfully reassessed Mid-Year will be listed in the Mid-Year section of the report, as those not successfully reassessed Mid-Year will be included in

the Year-End section. It is possible for an assignment to be in the Mid-Year section more than once where they have been triggered for reassessment multiple times throughout the year. It is advisable that this report is run and checked at year end.

The Annual Summary version of the report will only include assignments that are still active at year end. Assignments who left Mid-Year and who were assessed Mid-Year before they left would not be included in the Annual Summary version of the report.

In all three modes the user can also select a percentage figure, and assignments within this percentage of a band boundary will be highlighted in the report.

The report output will be similar to the existing Pension Band Allocation report but there are two new columns as follows:

- ‘Assessment Type’ which will be either ‘Mid-Year’ or ‘End of Year’. Note the same assignment could have multiple rows if they have been assessed multiple times in the year.
- ‘Assessment Period’, the period in which a Mid-Year assessment took place.

The columns in the report will be populated slightly differently depending on the assessment type being reported on for the assignment. These can be either ‘End of Year’, ‘Mid-Year and Assessed’ or ‘Mid-Year but Skipped’. For performance reasons where an assignment is skipped by the Mid-Year process some of the values that would have been populated by the assessment process will be left blank.

The table below shows the columns in the report and which are expected to be populated under each scenario.

Report Column	End of Year	Mid-Year and Assessed	Mid-Year but Skipped
Assignment Number	Y	Y	Y
Last Name	Y	Y	Y
First Name	Y	Y	Y
Middle Name	Y	Y	Y
Title	Y	Y	Y
Latest Start Date	Y	Y	Y
Assignment Status	Y	Y	Y
Assignment Status Count	Y	N - Not used for Mid-Year assessment	N - Not used for Mid-Year assessment
Assignment Category	Y	Y	Y
Payscale	Y	Y	Y
Grade Salary	Y	Y- Not used for Mid-Year assessment but will be included for comparison	N – Not populated where skipped.
Spot Salary	Y	Y - Not used for Mid-Year assessment but will be included for comparison	N – Not populated where skipped.
Contract Hours	Y	N -Not used for Mid-Year assessment	N -Not used for Mid-Year assessment
Average FTE	Y	Y	N – Not populated where skipped.

Override Hours	Y	N - Not used for Mid-Year assessment	N – Not populated where skipped.
Annualised Hours	Y	N - Not used for Mid-Year assessment	N - Not used for Mid-Year assessment
Pensionable Pay	Annual Amt	Period Amt	N – Not populated where skipped.
NR Pensionable Pay	Annual Amt	Period Amt	N – Not populated where skipped.
Hours Worked	Y	N - Not used for Mid-Year assessment	N - Not used for Mid-Year assessment
Recurring Hours Worked	Y	N - Not used for Mid-Year assessment	N - Not used for Mid-Year assessment
Deemed Hours	Y	N - Not used for Mid-Year assessment	N - Not used for Mid-Year assessment
Annualized WTE Pen Pay	Y – Amt used to assess pension band	Y – Amt used to assess pension band	N – Not populated where skipped.
Old Capacity Code	Y	Y	N – Not populated where skipped.
New Capacity Code	Y	Y	N – Not populated where skipped.
Capacity Code Change Flag	Y	Y	Will always be ‘N’ where skipped.
Assessment Type	‘End Of Year’	‘Mid-Year’	‘Mid-Year’
Assessment Period	N - Not used for end of year assessment	Period Name	Period Name
Boundary Flag	Y	Y	N – Not populated where skipped.
Messages	Existing End of Year Rebanding messages	New Mid-Year reassessment messages as outlined below	New Mid-Year reassessment messages as outlined below

The following messages will be assigned to assignments as part of the Mid-Year reassessment process

‘A’ codes are for assignments that were reassessed but a band change was not needed

‘P’ codes are for assignments that were reassessed and a band change was needed

‘S’ codes are for assignments that were skipped – these assignments will be picked up at year end if no further changes are made that cause reassessment sooner.

‘E’ codes are error codes - these assignments will be picked up at year end if no further changes are made that cause reassessment sooner.

Code	Message	Notes
A1	Assessed, no change required	
A2	Assessed, no change required, BUT pay affecting elements detected	May require manual review due to non-standard elements in the period e.g. OSP Full
A3	Multiple changes assessed, no change	May require manual review due to multiple

	required	triggering events
A4	Multiple changes assessed, no change required, BUT pay affecting elements	May require manual review due to multiple triggering events AND non-standard elements in the period
P1	Processed, change applied	
P2	Processed, change applied, BUT pay affecting elements detected	May require manual review due to non-standard elements in the period e.g. OSP Full
P3	Multiple changes processed, change applied	May require manual review due to multiple triggering events
P4	Multiple changes processed, change applied, BUT pay affecting elements detected	May require manual review due to multiple triggering events AND non-standard elements in the period
S1	Skipped, Bank assignment	Bank assignments would not normally be included in the re-assessment process
S2	Skipped, invalid assignment status	
S3	Skipped, cannot determine FTE	
S4	Skipped, pay affecting elements detected	
S5	Skipped, override elements exist	
S6	Skipped, cannot determine pensionable balances	
S7	Skipped, pension element not found	
S8	Skipped, capacity code not found	
S9	Skipped, annualised earnings are less than or equal to zero	
S10	Skipped, no pay affecting changes	
E1	Errored, future element entries exist	
E2	Errored, unexpected error updating element	
E3	Errored, unexpected error processing assignment	

22 Ability for Main Appraiser to Update Appraisee Questionnaires

When an Appraisee shares an appraisal to the Main Appraiser (Standard Appraisal or 360-Degree Appraisal) with any questionnaire completed the Main Appraiser will now have the ability to open, edit and apply changes to the questionnaire. This will be done by clicking on a new button called 'Complete Questionnaire' that will be placed in the 'Questionnaire Details: Appraisee' section as below:

The screenshot shows a web interface with two main sections. The top section is titled 'Questionnaire Details: Appraisee' and contains a 'Show Questionnaire' link, the text 'Questionnaire Name: KSF Review', and 'Last Answered On: 02-Mar-2021'. A 'Complete Questionnaire' button is located at the bottom right of this section. The bottom section is titled 'Questionnaire: Main Appraiser' and contains a 'Complete Questionnaire' button at the bottom right. A small instruction text is visible between the two sections: 'Click Complete Questionnaire to respond to the questionnaire listed below. Last Answered tells you when you last answered the questionnaire.'

Clicking on the 'Complete Questionnaire' button will display an editable version of the Appraisee questionnaire form where the Main Appraiser can view and update the form.

The screenshot shows the 'Answer Questionnaire' form for 'KSF Review'. It includes a 'Cancel' and 'Apply' button in the top right corner. The form content includes: 'Follow the instructions for completing the questionnaire below, then click Apply.', 'NATIONAL HEALTH SERVICE', 'PERSONAL DEVELOPMENT PLAN DETAILS', a 'PDP Date' dropdown menu set to '02-Feb-2020', and a section titled 'Proforma for a personal development plan'. This section contains three rows of questions, each with a text input area for the appraiser and a scrollable comment area for the appraisee. The questions are: 'What is the development need? Relate the development need to the NHS KSF dimensions and levels', 'What will I do to develop myself in this area and how will I do this?', and 'How will I know that I have completed this development and it is successful? What are the review dates?'

Once the Main Appraiser has made any required changes and applied them they will be taken back to the 'Update Appraisal' page where they can proceed, following the usual process flow as required.

NOTE: The 'Complete Questionnaire' button in the 'Questionnaire Details: Main Appraiser' section will still be available to users and will behave as it does currently, i.e. the Main Appraiser will only have access to their own questionnaire form.

23 Update to Annual Leave GRRs for Welsh Consultants

In line with the changes to the Welsh Consultants Annual Leave entitlements from 01-APR-21, the GRRs for the Annual Leave Accrual * NHS elements have been updated for the Scheme 'CYM' and Primary Pay Scale 'Z'.

24 Interfacing to the General Pharmaceutical Council (GPhC) and GDC

The following changes have been made to the Professional Bodies Interface.

The General Pharmaceutical Council (GPhC) has been added into the Professional Bodies Interface and a user notice will be issued later this year advising of when this will become operational and the planned rollout activities.

Red, Amber and Green notifications will be produced for updates from the GPhC (similar to those produced for the GMC and NMC) once the interface is operational. As part of preparation activities, users should ensure they have one or more users assigned to the new 'Pharmacy Prof Registration' role to ensure they receive these notifications.

Following this release, the notifications produced for the General Dental Council (GDC) will now also be split into Red, Amber and Green, similar to other Professional Bodies in this interface. These will continue to be sent to the existing 'Dental Prof Registration' role.

25 Accessibility Statement TRS Website

The 'Accessibility Statement for TRS Access' has been updated on the TRS website as follows:

<https://www.nhsbsa.nhs.uk/accessibility-statement-trs-access>