

NHS ELECTRONIC STAFF RECORD

ESR-NHS0198 - GUIDE TO EMPLOYEE RELATIONS

Information Classification: Public

Owner:	ESR Development and Operations Team
Author:	Nicole Stacey
Creation Date:	12 August 2014
Last Updated:	11 January 2024
Next Update:	12 January 2025
Version:	5.0

Approvals:

Name	Lee Pacey
Title	Director of Operations

1. DOCUMENT CONTROL

1.1. Change Record

Date	Author	Version	Change Reference
12/08/2014	Maria Scott	1.0	
01/2018	Nicole Stacey	1.1	Updated following full review
28/02/18	Nick Adcock	2.0	Uplift to Version 2 after review
20/05/20	Nicole Stacey	2.1	Updated following full review.
08/06/20	Nick Adcock	3.0	Approved
29/09/21	Nicole Stacey	3.1	Annual Review
23/03/2022	Nick Adcock	4.0	Uplifted to V4
11/01/2024	Nicole Stacey	5	Updated following review

1.2. Reviewers

Name	Position
Kieron Walsh	Senior Development Advisor
Chris Moorley	Senior Development Advisor
James Haddon	Senior Development Advisor
Tracey Wilcock	Senior Development Advisor
Matthew Lye	Assistant Development Advisor
Dionne Domingos	Development Advisor
Christopher Holdroyd	Development Advisor
Sam Wright	Development Advisor
Matthew Madya	BI Support Analyst
Charlotte Hampton	Assistant Development Advisor
Diya Aswani	NHS ESR Functional Account Manager
Pushpa Mistry	Assistant Development Advisor
David Bromilow	NHS ESR Functional Account Manager
Rachel Cadey	NHS ESR Functional Account Manager
Helen Casey	NHS ESR Functional Account Manager
Spencer Dickson	NHS ESR Functional Account Manager
Steven Finney	NHS ESR Functional Account Manager
Graz Leonowicz	NHS ESR Functional Account Manager
Amanda Lowdon	NHS ESR Functional Account Manager
Liane Moralee	NHS ESR Functional Account Manager
Paula Spokes	NHS ESR Functional Account Manager
Joanne Stanger	NHS ESR Functional Account Manager

1.3. Distribution

Copy No.	Name	Location
1	Library Master	Programme Library
2		

2. CONTENTS

- 1. DOCUMENT CONTROL..... 2**
 - 1.1. *Change Record*..... 2
 - 1.2. *Reviewers*..... 2
 - 1.3. *Distribution*..... 2
- 2. CONTENTS..... 3**
- 3. INTRODUCTION 4**
- 4. KEY POINTS 4**
- 5. EMPLOYEE RELATIONS MODULE 4**
 - 5.1. *Employee Relations Details*..... 5
 - 5.2. *Generic Form Fields*..... 5
 - 5.3. *Referral to DBS*..... 7
- 6. NOTIFICATIONS..... 8**
 - 6.1. *Warning Expiry Notification – Role Based*..... 8
 - 6.2. *Capability Review Notification – System Generated*..... 9
- 7. ESR BI DASHBOARDS..... 9**
 - 7.1. *Employee Relations Dashboard*..... 9
 - 7.2. *Employee Relations Summary*..... 10
 - 7.3. *Cases* 10
 - 7.4. *Capability UHR*..... 11
 - 7.5. *Capability UHR*..... 11
 - 7.6. *Disciplinary*..... 11
 - 7.7. *Flexible Working*..... 12
 - 7.8. *Further ER Stages: Appeal*..... 12
 - 7.9. *Further ER Stages: DBS*..... 12
 - 7.10. *Further ER Stages: Refer to Prof Reg Body*..... 13
 - 7.11. *Further ER Stages: Tribunal*..... 13
 - 7.12. *Grievance* 13
 - 7.13. *Harassment*..... 13
 - 7.14. *BI Change Event Log – Employee Tab*..... 14
 - 7.15. *BI Change Event Log – View Events Tab*..... 14
- 8. APPENDIX 1..... 15**

3. INTRODUCTION

This document provides guidance on the Employee Relations functionality within ESR.

This guide provides details on:

- Key points about the functionality
- The Employee Relations types available
- The associated notifications
- ESR BI Dashboards

Further guidance can be found in the ESR User Manual to access click [here](#).

4. KEY POINTS

The following key points must be noted before using the functionality:

- ESR Employee Relations is not a case management system
- It enables the user to record Employee Relations types, dates, reference numbers, detail and outcomes and provides reporting functionality
- It should be used to support your detailed file on the relevant case
- The functionality is based on Extra Information Type (EIT) forms and is not date trackable
- Employee Relations types are recorded against an individual
- Records can be created against employees and ex-employees
- The Refer to DBS option enables an Alert Notification to be sent to the Disclosure & Barring Service (DBS) Barring Team when a safeguarding issue has occurred, supporting the organisation's legal duty to refer
- It enables the user to report on all Employee Relations types and can provide an analysis on Equality and Diversity
- It enables the organisation to identify which HR manager is dealing with which ER case
- It enables users to have read only access to person data held in the HR URPs
- Entering Process Start and End dates is vital as it impacts on enabling HR contact/Manager to be recorded and reported upon.
- Assigning relevant employees to the Employee Relations Role ensures that the Role Holder receives the relevant Warning Expiry notifications
- An agreed format for case reference numbers needs to be considered and locally agreed. Appendix 1 details an example of the format used by Barnsley Hospital NHS Foundation Trust. [Click here](#) to access

5. EMPLOYEE RELATIONS MODULE

The module is divided into 3 areas:

- Employee Relations Administration which includes:
 - Employee Relations Details
 - View Enter & Maintain
 - View Employee Management Information

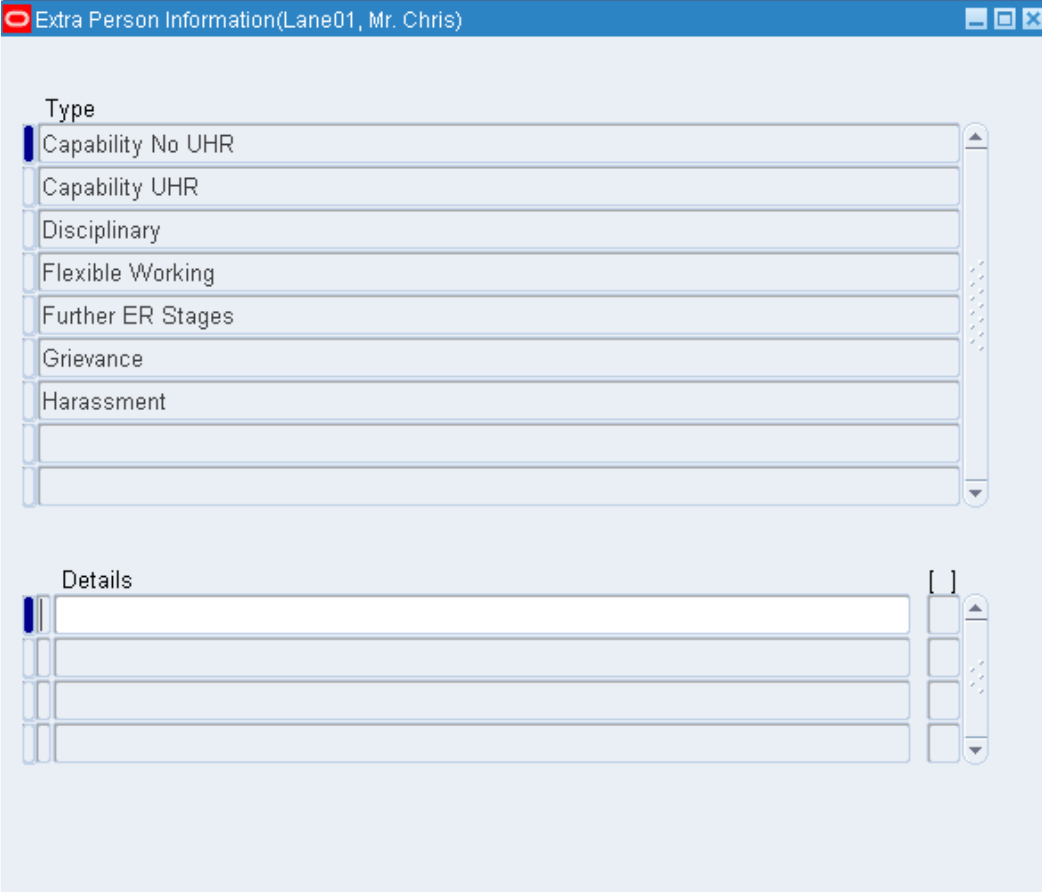
5.1. Employee Relations Details

This module is where the user will record the details for the specific Employee Relations process.

The available types are:

- Capability No Underlying Health Reasons
- Capability Underlying Health Reasons
- Disciplinary
- Flexible working
- Further Employee Relations Stages
 - Appeal
 - Referral to Professional Registered Body
 - Referral to DBS
 - Tribunal
- Grievance
- Harassment

To access each form, click onto the Type and then click into the Details row. Existing records will be viewable under Details. To create a new form, click into the next available row as shown in the screenshot below.



The screenshot shows a software window titled "Extra Person Information(Lane01, Mr. Chris)". The window is divided into two main sections: "Type" and "Details".

The "Type" section contains a list of Employee Relations Types, each with a selection box on the left and a scrollable area on the right. The types listed are: Capability No UHR, Capability UHR, Disciplinary, Flexible Working, Further ER Stages, Grievance, and Harassment. There are also two empty rows below the listed types.

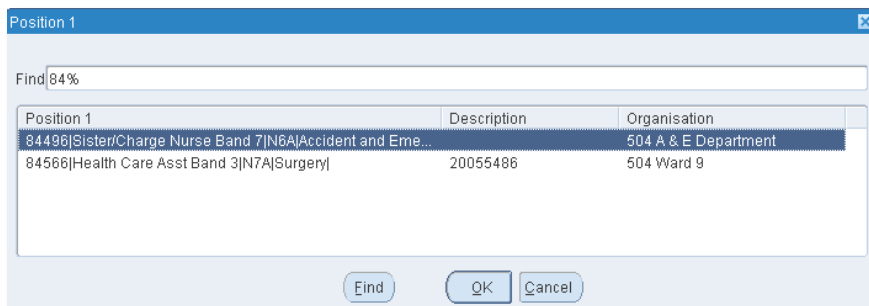
The "Details" section contains a list of rows for entering details. The first row is currently empty, and there are three more empty rows below it. Each row has a selection box on the left and a scrollable area on the right.

5.2. Generic Form Fields

Each Employee Relations Type has a number of standard fields and the same logic applies for all:

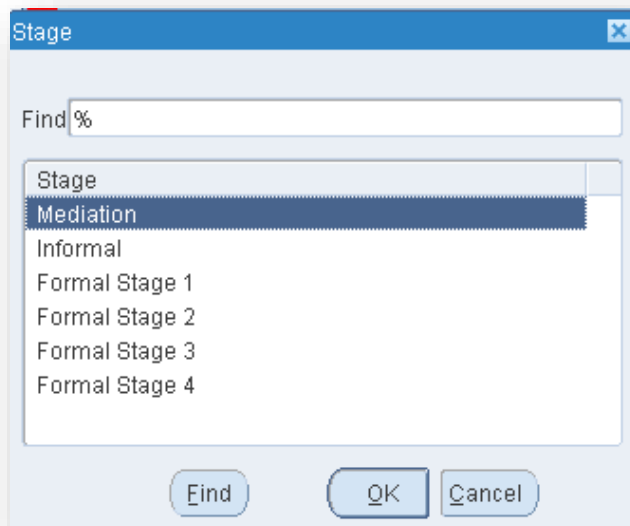
- **Case Reference Number** - Ensure that a case reference number in line with your organisation's agreed referencing logic is entered. This will ensure that you can report on specific cases. As previously mentioned an example of the suggested format is referenced in Appendix 1.

- **Process Start/End Dates** – These fields should always have a value entered as this supports the reporting process and also activates the HR Contact and Line Manager Contact fields for selection. Names can be over written if necessary.
- **HR and Line Manager Contacts** – It is important that the correct names are selected to ensure accurate reporting. In addition, on the **Capability No Underlying Health Reason** form, the HR Contact and Line Manager Contact selected will receive an automated Capability Review Notification 10 and 18 days before the 'review date'. Refer to the Notifications section of this guide for more information.
- **Position 1 – The screenshot shows the Position 1 field.** This field is mandatory and when opened will list all of the assignments the employee/ex-employee has or had previously.



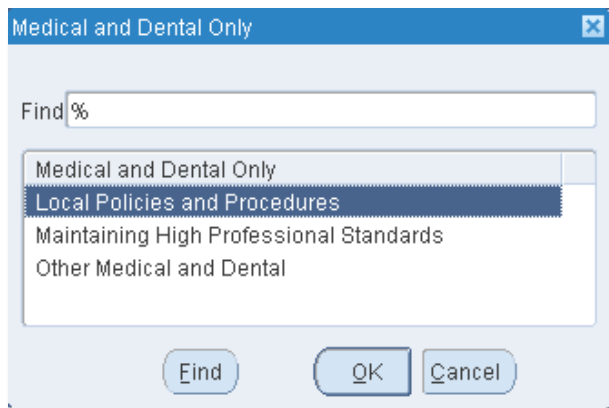
If the person has multiple positions that need to be included then select the remaining assignments in the Position 2 and Position 3 fields.

- **Stages and levels** - As shown in the screenshot these are generic lists that differ slightly on some forms. Local agreements will need to be made as to what constitutes each level in your process.

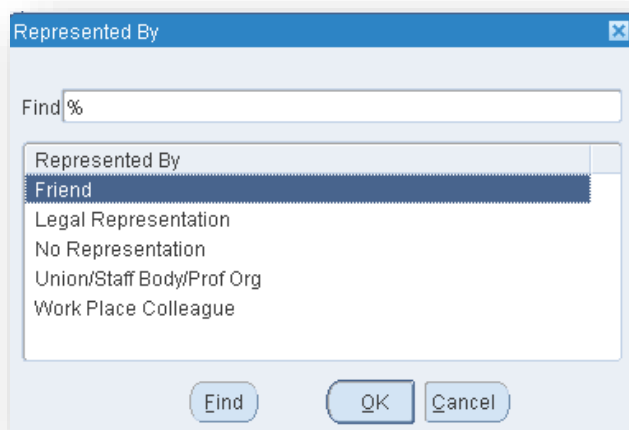


- **Warning Expiry Dates** – These dates will trigger a notification to the Employee Relations role holder/s on the date entered. Refer to the Notifications section of this guide for more information.

- **Medical & Dental Only as shown in the screenshot** records which process is being used in respect of medical and dental staff



- **Represented By as shown in the screenshot** shows a list of values



- **Further ER Stages** – Where the process has moved to one of the further ER stages then select Yes.

5.3. Referral to DBS

This form enables organisations to send an alert notification to the Disclosure and Barring Service (DBS), via the link between ESR and the DBS. The alert is triggered when a person has been removed from 'Regulated Activity'. This form can be used both for when the initial alert is made and then again when the formal referral has been made.

All NHS organisations have a 'Duty to Refer' to the DBS even where they have also referred the person to their Professional Registration Body.

An alert notification is triggered by completing the following fields:

- Removed from Regulated Activity
- Alert Disclosure and Barring Service = Yes

- Point of Contact for DBS (mandatory field). This field must include the name, email address and telephone number of the HR manager that the DBS can contact if necessary to discuss the pending formal referral.

A notification is then sent securely to the DBS Barring Team which gives them the following details about the person you are going to formally refer to them via the paper based process:

- Full Name & Title
- NHS Employee Number
- Date of Birth
- Gender
- Organisation Name
- Job Role
- Professional Registration Body & Number
- Next Employer (Destination on leaving)
- DBS Unique Number
- Type of DBS Disclosure
- Children's Barred List Check
- Adults' Barred List Check
- Start date at employing authority
- Date of Leaving
- Reason for Leaving
- Point of Contact for DBS

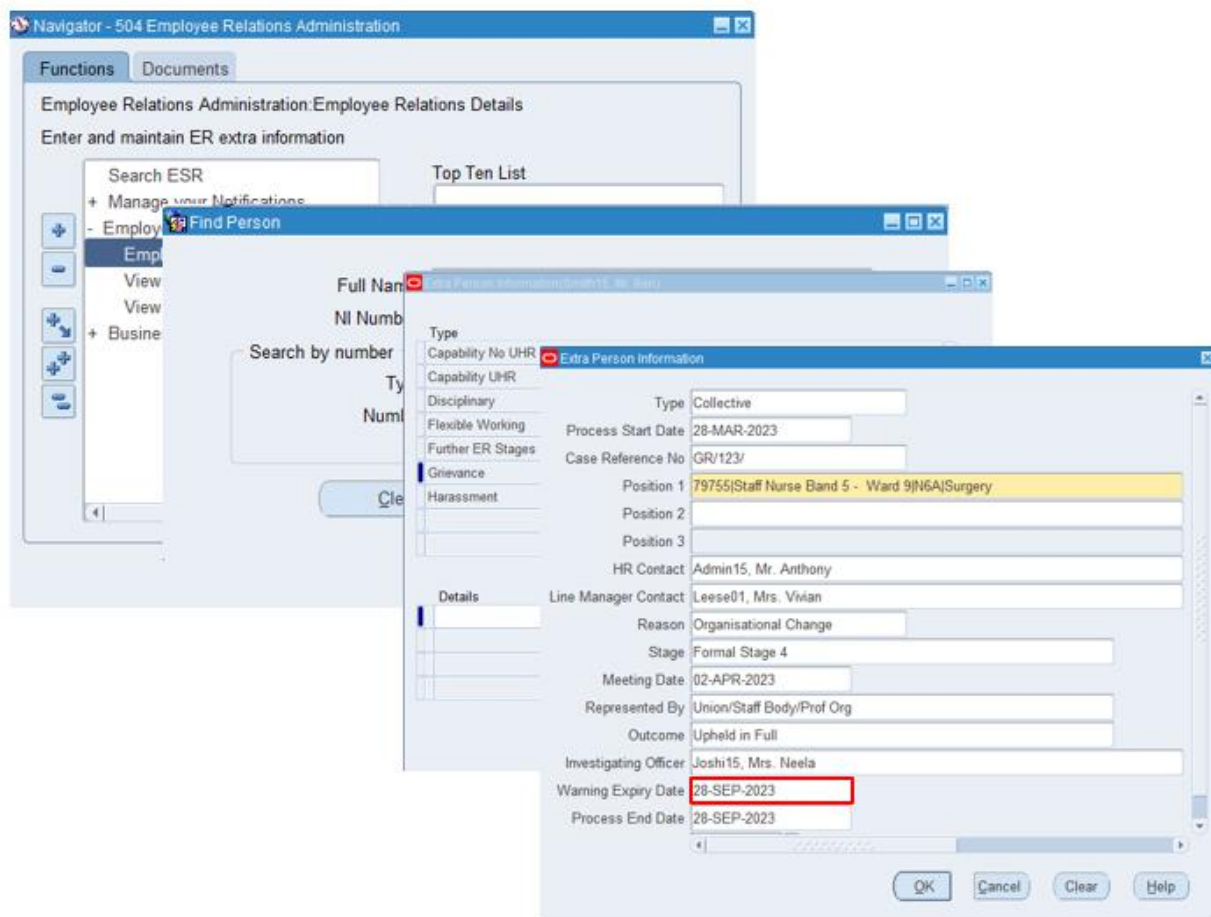
6. NOTIFICATIONS

There are two Employee Relations Notifications, Role Based Notifications and System Generated Notifications

6.1. Role Based

Role based notifications act as alerts to inform or warn an appropriate employee, the 'Role Holder', that action is required or, in the case of the Warning Expiry Date Notification, an expiry date has passed. Where the 'Warning Expiry Date' field is completed for any of the ER processes, a notification will be triggered to the role holder on that day.

The screenshot below shows where the 'Warning Expiry Date' can be found on the Extra Person Information EIT.



The completion of the date fields in the EIT is a manual process and organisations should adhere to local policy and process to manage them.

6.2. System Generated

System generated notifications are sent on a nightly basis when the relevant Workflow Background process runs and where certain criteria are met.

Where the Line Manager Contact, HR Contact and Review Date fields are populated in the Extra Person Information EIT for a Capability Review a notification is sent to both Contacts 18 and 10 days before the Review Date to ensure that relevant action can be taken in a timely manner.

Follow your local policy on the actions that must be taken when this is received.

7. ESR BI DASHBOARDS

7.1. Employee Relations Dashboard

The Employee Relations Dashboard is split into dashboard pages and follows the standard design used by all NHS Standard Dashboards. The summary page provides an overview grouped by each area of the employee relations process. Pages are then provided to show a detail view at employee level of each area. Prompts are provided for the user to filter each page to show open-ended cases only.

This dashboard is available to the following URPs:

XXX Business Intelligence Administration

7.2. Employee Relations Summary

Description

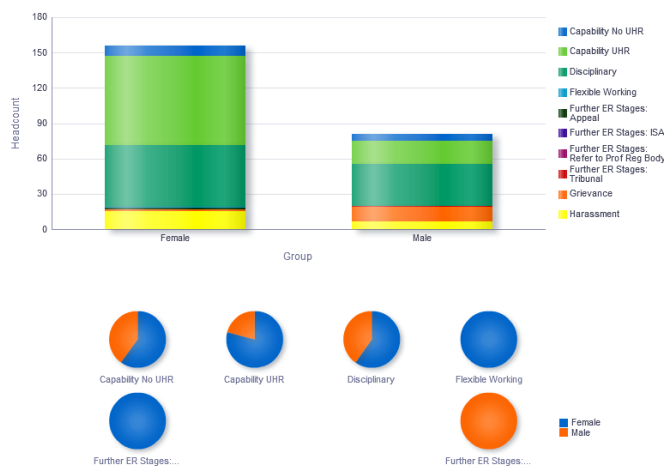
Three views are provided through this analysis. A Table, Bar Graph and Pie Graph are able to be grouped by a number of data items using the prompt provided and show the total number of employees at each area of the employee relations process.

Data Items

Group; Group By: Gender, Ethnic Origin, Age Band, Disability, Religious Belief, Sexual Orientation
Capability No UHR
Capability UHR
Disciplinary
Flexible Working
Further ER Stages: Appeal
Further ER Stages: ISA
Further ER Stages: Refer to Prof Reg Body
Further ER Stages: Tribunal
Grievance
Harassment

Example Screenshots of the ESR BI Dashboards are shown below:

	Capability No UHR	Capability UHR	Disciplinary	Flexible Working	Further ER Stages: Appeal	Further ER Stages: ISA	Further ER Stages: Refer to Prof Reg Body	Further ER Stages: Tribunal	Grievance	Harassment
Female	9	76	52	1	1	0	0	0	2	15
Male	6	20	35	0	0	0	0	1	12	7
Total	15	96	87	1	1	0	0	1	14	22



7.3. Cases

Description

This analysis is designed to show all open Employee Relations cases that began within a user input number of days (default to 105 (15 Weeks)). Users are able to define the period using the Date Between prompt or Case From and To Date prompts available.

Employee Number	Employee Name
Organisation Name	Organisation Level 1-13
Type of Case	Case Reference Number
Process Start Date	Process End Date
HR Contact	Line Manager Contact
Staff Group	Job Role

7.4. Capability No UHR

Description

This analysis is designed to provide a detail view of the Capability No UHR area of Employee Relations.

Data Items

Employee Number	Employee Suspended
Employee Name	External Agency Involved
Headcount	Medical and Dental Only
FTE	Stage or Level
Process Start Date	Review Date
Case Reference Number	Represented By
Position 1	Outcome
Position 2	Warning Expiry Date 1
Position 3	Warning Expiry Date 2
HR Contact	Further ER Stages
Line Manager Contact	Organisation Name
Initial Meeting Date	Organisation Level 1 - 13

7.5. Capability UHR

Description

This analysis is designed to provide a detail view of the Capability UHR area of Employee Relations.

Data Items

Employee Number	Date of First Referral
Employee Name	Meeting Date
Headcount	Stage or Level
FTE	Represented By
Process Start Date	Return to Work
Case Reference Number	Job Amendment
Position 1	Redeployment
Position 2	Appl for Ill Health Retirement
Position 3	Appl for Ill Health Ret Outcome
HR Contact	Outcome
Line Manager Contact	Warning Expiry Date 1
Employee Medically Suspended	Warning Expiry Date 2
Calendar Days Open	Further ER Stages
Organisation Name	Organisation Level 1 - 13

7.6. Disciplinary

Description

This analysis is designed to provide a detail view of the Disciplinary area of Employee Relations.

Data Items

Employee Number	Medical and Dental Only
Employee Name	Employee Suspended
Headcount	External Agency Involved
FTE	Investigating Officer
Process Start Date	HR Contact
Case Reference Number	Line Manager Contact
Nature of Allegation	Represented By
Specific Allegation	Investigation End Date
Position 1	Investigation Outcome
Position 2	Stage or Level

Position 3	Date of Hearing
Date of Alleged Incident	Hearing Outcome 1
Procedure Used	Hearing Outcome 2
Warning Expiry Date 1	Hearing Outcome 3
Warning Expiry Date 2	Process End Date
Calendar Days Open	Further ER Stages
Organisation Name	Organisation Level 1 - 13

7.7. Flexible Working

Description

This analysis is designed to provide a detail view of the Flexible Working area of Employee Relations.

Data Items

Employee Number	Other Applications Made
Employee Name	Meeting 1 Date
Headcount	Within 28 Days
FTE	Represented at Meeting 1 By
Type	Meeting 2 Date
Process Start Date	Represented at Meeting 2 By
Case Reference Number	Decision Required By
Position 1	Decision Date
Position 2	Grounds for Rejection
Position 3	Effective Date of Change
HR Contact	Date Decision Letter Sent
Line Manager Contact	Process End Date
Date Application Received	Calendar Days Open
Application Complete	Organisation Name
Requested Change	Organisation Level 1 - 13

7.8. Further ER Stages: Appeal

Description

This analysis is designed to provide a detail view of the Further ER Stages: Appeal area of Employee Relations.

Data Items

Employee Number	End Date of Hearing
Employee Name	Appeal Outcome
Headcount	Comments
FTE	HR Contact
Case Ref Number	Line Manager Contact
Process Start Date	Organisation Name
Nature of Appeal	Organisation Level 1 - 13
Calendar Days Open	

7.9. Further ER Stages: DBS

Description

This analysis is designed to provide a detail view of the Further ER Stages: DBS area of Employee Relations.

Data Items

Employee Number	Case Reference Number
Employee Name	Date Referred
Headcount	DBS Outcome
FTE	Comments
Process Start Date	HR Contact
Alert Disclosure and Barring Service	Line Manager Contact

Alert Date Sent	Process End Date
Point of Contact for DBS	Removed From Regulated Activity
Organisation Name	Organisation Level 1 - 13
Calendar Days Open	

7.10. Further ER Stages: Refer to Prof Reg Body

Description

This analysis is designed to provide a detail view of the Further ER Stages: Refer to Prof Reg Body area of Employee Relations.

Data Items

Employee Number	Case Reference Number
Employee Name	Body
Headcount	Date Referred
FTE	End Date of Hearing
Reg Body Outcome	Comments
HR Contact	Line Manager Contact
Process Start Date	Calendar Days Open
Organisation Name	Organisation Level 1 - 13

7.11. Further ER Stages: Tribunal

Description

This analysis is designed to provide a detail view of the Further ER Stages: Tribunal area of Employee Relations.

Data Items

Employee Number	Case Reference Number
Employee Name	Tribunal Level
Headcount	Nature of Claim
FTE	End Date of Hearing
Comments	Process Start Date
HR Contact	Line Manager Contact
Organisation Name	Organisation Level 1 – 13

7.12. Grievance

Description

This analysis is designed to provide a detail view of the Grievance area of Employee Relations.

Data Items

Employee Number	Line Manager Contact
Employee Name	Reason
Headcount	Stage
FTE	Meeting Date
Grievance Type	Represented By
Process Start Date	Outcome
Case Reference Number	Investigating Officer
Position 1	Process End Date
Position 2	Further ER Stages
Position 3	HR Contact
Organisation Name	Organisation Level 1 - 13

7.13. Harassment

Description

This analysis is designed to provide a detail view of the Harassment area of Employee Relations.

Data Items

Employee Number	Line Manager Contact
Employee Name	Employee Suspended
Headcount	Alleged Perpetrator Category
FTE	Alleged Perpetrator Name 1
Harassment Type	Alleged Perpetrator Name 2
Process Start Date	Medical and Dental
Case Reference Number	Stage
Position 1	Represented By
Position 2	Meeting Date
Position 3	Outcome
HR Contact	Process End Date
Calendar Days Open	Further ER Stages
Organisation Name	Organisation Level 1 - 13

8. BI CHANGE EVENT LOG

8.1. BI Change Event Log – Employee Tab

Description

This analysis is designed to provide a detail view of change events for an employee. Only users with the Employee Relations URP can access Employee Relations Change Events

Data Items

Change Date Between	Payroll
Change Initiated By	Assignment Number
Changed By	Paypoint
Changed By Name	Change Effective Date
Proxy User	Change Event Type
URP Used	Change Event Category
Employee Name	Change Event
Employee Number	Change 1-12
Organisation Level 1-13	Cost Centre Organisation Level 1-12

8.2. BI Change Event Log – View Events Tab

Description

This tab allows users to report on who has viewed the records of each employee within the organisation.

Data Items

View Date / Time	Form Name
Viewed By	Employee/Applicant Number
Proxy User	Person Full Name
Responsibility Name	Person Type

9. APPENDIX 1

Barnsley NHS Trust - Agreed format for Case Reference Number

- 2 Initials of Case HR Investigator/Contact
- Forward Slash
- 2 Letters to identify the Employee Relations Type as below; -
 - Grievance = GR
 - Disciplinary = DI
 - Harassment = HA
 - Capability UHR = CU
 - Capability No UHR = CN
 - Appeals = AP
 - Refer to Professional Registration Body = RE
 - Refer to DBS = RD
 - Tribunal = TR
- Forward Slash
- The month and year when the process started
- Forward Slash
- A unique identifying number 01-99 for each Employee Relations Type, starting with 01 for the first one each year, (year starting April).

For Example:

- Joe Bloggs is doing his first Disciplinary in April 2014 would equate to:-
JB/DI/0414/01
- His next Disciplinary would end with 02 etc.

Note: Related cases should have the same case number.