ELECTRONIC STAFF RECORD

ESR-NHS0060 - Workflow Notifications Guide

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Approvals:

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1. DOCUMENT CONTROL

CHANGE RECORD

Date	Author	Version	Change Reference
31 Dec 09	Chris Moorley	5.1	Updated and consolidated original guidance
30 Jun 10	Chris Moorley	5.2	Included ESR release 7 changes
31 Jul 10	Chris Moorley	5.3	Include feedback from reviewers
31 Aug 12	Chris Moorley	6.0	Include additional notifications and updated screens
25 Oct 12	Chris Moorley	7.0	Updated following ESR r16
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19 Aug 13	Chris Moorley	9.0	Updated following ESR r19
03 Oct 13	Chris Moorley	10.0	Updated following ESR r20
09 Jan 13	Chris Moorley	11.0	Updated following ESR r21
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17 Sep 14	Chris Moorley	12.1	Updated to ESR r24
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13 Oct 16	Matt Lye	17.1	Updated to ESR r32.0
11 Nov 16	Nick Adcock	18.0	Approved
21 Jul 17	Matt Lye	18.1	Updates to screenshots and functionality
20 Oct 17	Matt Lye	18.2	R36 Functionality, updates to screenshots
27 Oct 17	Matt Lye	19.0	Uplifted to version 19.0
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01 May 18	Matt Lye	20.1	R38 Functionality, embedding of Email Notification Guide
03 Aug 18	Matt Lye	20.2	R39/39.2 Functionality
24 Oct 18	Matt Lye	20.3	R40 Functionality
17 Jan 19	Matt Lye	20..4	R41 Functionality
04 Apr 19	Matt Lye	20.5	R42 Functionality
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11 Oct 19	Matt Lye	21.1	R43 Functionality
31 Dec 19	Matt Lye	21.2	R44 Functionality
13 Jan 20	Nick Adcock	22	Updated and uplifted to 22
17 Mar 20	Matt Lye	22.1	R45 Functionality
30 Apr 20	Nick Adcock	23	Updated and uplifted to 23
30 Apr 21	Matt Lye	23.1	Updated to R49 Functionality and MSO Role Notifications
12 Jul 21	Matt Lye	23.2	R50 Functionality
29 Sep 21	Nick Adcock	24	Update agreed and uplifted to 24
18 Nov 21	Matt Lye	24.1	Updated to R51.3 Functionality
26 Nov 21	Julie Bickerton	25.0	Approved version
23 Dec 21	Matt Lye	25.1	Updatedagainst R52, R52.2, R52.3, R53 and R53.2.
16 Mar 22	Nick Adcock	26	Update agreed and uplifted to v26
14 Mar 23	Matt Lye	26.1	Reviewed up to Release 57.3
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14 Jun 24	Matt Lye	28.1	Reviewed
24 Jun 24	Chris Moorley	29	Approved version

REVIEWERS

Name	Position
NHS Development Team NHS Functional Account Managers	

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2		

2. CONTENTS

3. INTRODUCTION

This document is a guide to the different notifications which are delivered within the ESR system. The document is broken into three sections:

- **Section 1** gives an overview of how notifications work within ESR and the options available on receipt of a notification;

- **Section 2** details the notifications generated from triggers within the core application, such as a New Starter or Leaver;

- **Section 3** details notifications which are generated within the Self Service environment, such as the approval of a personal details change made by an employee.

The purpose of this document is not to detail every notification produced by ESR, or act as a training guide, but to give an overview and general understanding of the most commonly used notifications.

Every effort has been made to ensure the accuracy of this document, however if there are any changes or additions needed then please email via esr.pmo@nhs.net including full details of the requirement.

Where references are made in this document to the 'supervisor' this is the named person in the Supervisor field of the employee assignment, as shown below; this may or may not be that same employee's line manager.

Similarly, where reference is made to the 'hierarchy'. This is usually in relation to the Self Service hierarchy of supervisors and employees as defined by the organisation, and **not** the organisational hierarchy of directorates and departments.

4.   NOTIFICATIONS OVERVIEW

A notification within ESR is a system delivered message which either has options for a supervisor to action, or is for information purposes.

Notifications can be accessed directly from the Portal.

Users logging into the Portal will see how many Notifications they have open, signified by the number next to the Notifications icon.

Clicking on the icon will take the user directly to their Worklist where they can view and action the notifications.
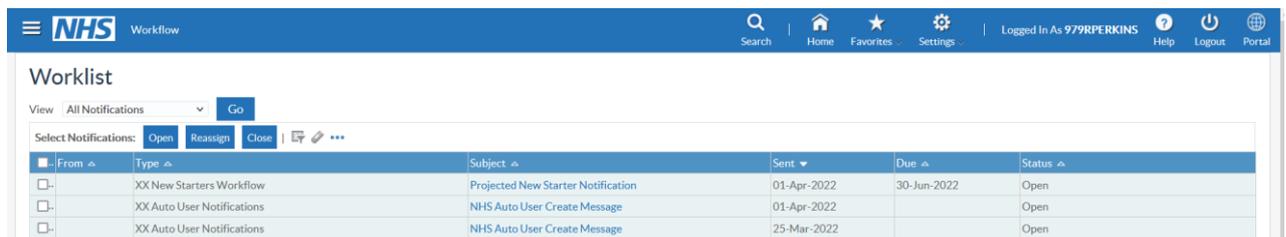
When logging in to the professional ESR solution forms, users will receive a 'Note' advising them of any open notifications in their system inbox waiting to be actioned:
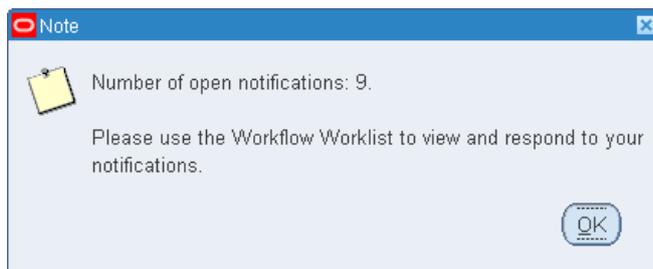
On receiving the system "Note" users of the professional forms will need to follow the navigation path below:

N > Requests> Workflow Notifications:
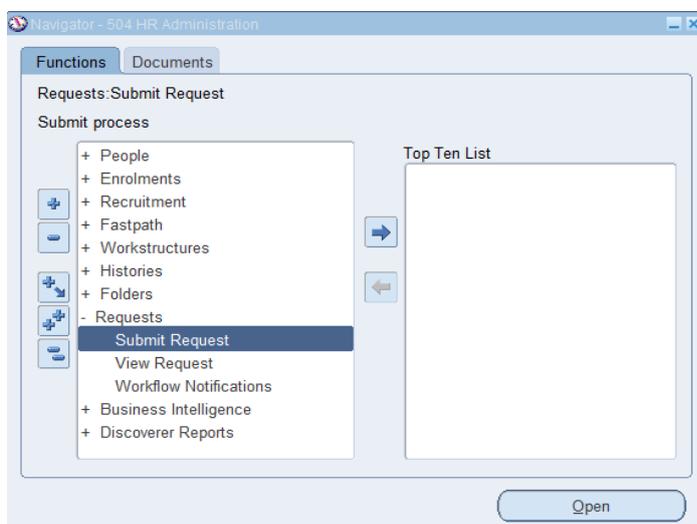
Users are then able to view their notifications as above.

4.1. Viewing and Searching Notifications

Users can change the View filter to enable them to see notifications other than those that are still open. Closed notifications are removed from view 45 days after they are closed.
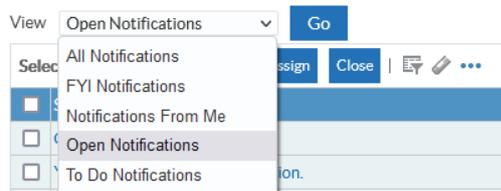
It is possible to search the Worklist by selecting the Query by Example icon.
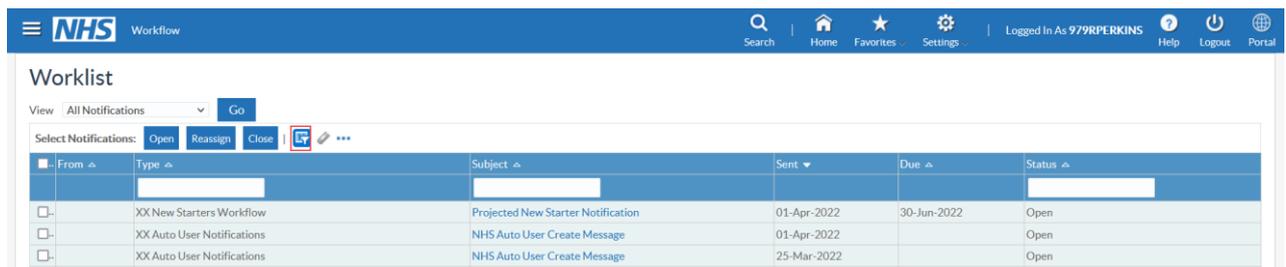
Search terms can be entered in the search fields. Pressing Enter executes the search.
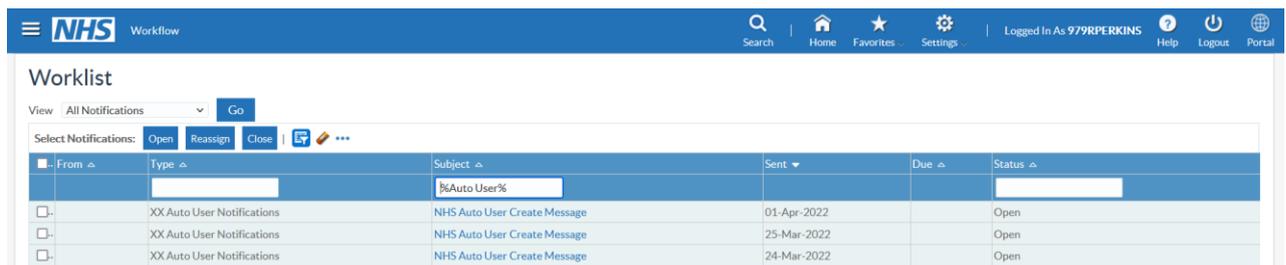
The following rules apply to the terms entered:

Search terms are case sensitive.
The wildcard search term % can be used.
When the worklist is set to View All Notifications, it is possible to search on Status.
When searching status, the term must be entered in uppercase e.g. OPEN, CLOSED.
When searching multiple columns, all criteria must be met to return results.

4.2. Supervisor and Employee Notification Actions

The majority of notifications sent between the employee and supervisor which are requesting a change of information or enrolment on training have four options available to the supervisor in response:

Approve
This accepts the change and the information will be updated in the employee record.

Reject
This will reject the changes made and the information will not be updated. The employee will receive a notification informing them of this.

Reassign
The supervisor can select another employee to reassign the notification to, requesting that they action the change.

Return for Further Information
The employee will receive a notification back from the supervisor in which the supervisor should detail the additional information required.

Where employees have additional supervisors, requests for changes will be sent to all supervisors with the exception of PMP and Appraisal processes which use the standard assignment supervisor hierarchy for processing of notifications. The first action taken against a notification will close the notification for all supervisors.

This principle applies to other transactions that are sent for approval. For example, when a supervisor returns a request for correction, the initial notification will be closed for all users. The corrected request will then be sent to all supervisors, when approved by one of the supervisors (not necessarily the initial supervisor who requested the correction), the notification will be closed for all users.

The majority of notifications generated within Self Service which require an action by the supervisor are subject to time out rules. This means that after a defined period of time a notification which has not been actioned will move up the assignment supervisor hierarchy to next level of approval. They will not be sent to supervisors of additional supervisors.

Notifications requiring a response will continue to escalate up the supervisor hierarchy all the way to the top. At this point they will either error following the time out period or continue to re-circulate around the hierarchy from the original requisition until such time as they are actioned or the process errors.

Timeout rules are covered in more detail in section 4.7 of this document.

4.3. Preferences

Users have the ability to control certain elements of ESR behaviour through the "ESR Preferences". This can be found by clicking on their initialsin the top right corner of the header in the Portal.

ESR Preferences can only be set when logged in via the Health and Social Care Network (HSCN), they cannot be changed when logged in via the Internet.

Ensuring that the correct preferences are set will also enable system pop-ups to be viewed where defined. To ensure these can be viewed correctly Accessibility > Accessibility Features will need to be set to None.

4.3.1. Email Preferences

The options available will be dictated by the email domain of the user e.g. firstname.lastname@domain.net. Where the domain is classed as a secure email i.e. @nhs.net, then the following options will be available:

- Actionable Notification Email
- Summary Notification Email
- Do not send me mail

Where the user does not have a secure email domain then the option to receive an Actionable Notification Email will not be available.

An overnight summary email will be provided with more detailed information including notification type and who it relates to.

4.4. Vacation Rules

Users can set up rules to manage notifications by selecting the Vacation Rules option from their Worklist:

The user will then be reminded of any previous rules that they have set-up, and can create additional rules by selecting the 'Create Rule' button.

The Item Type will default to "All".

If left as "All" this will then skip to the final step to set the dates the rule applies for. If the item type is changed to HR, then the user will need to decide if this is all HR notifications or just specific ones:

Additional information can then be added to specify the periods for which the rule will be applied (for example periods of annual leave) and any message that is to be added to the routed notification.

The user can then choose whether to Reassign the notification (with delegate authority or by actually transferring the ownership of it), or by responding to the Requestor with the contents of the note attached. Once the name has been selected, the Rule Response is completed as demonstrated below.

The Rule can now be submitted and will appear on the Notification Routing Rules page from which it can be updated or deleted in the future as appropriate.

4.5. Proxy and Worklist Access

The proxy functionality within ESR allows delegated access to URPs and notifications, so that tasks can be performed by one person on behalf of another. Users can grant proxy access to the Self Service responsibilities listed below and specify a list of other users who can access their worklist and action them on their behalf via Settings.

Any changes performed by the proxy user are captured in the ESRBI Change Event Log Dashboard – Employee Analysis and also in the Proxy Report available to the delegating user from the Proxy Configuration form.

4.5.1. Proxy Access
Proxy access is available for the following URPs:

- XXX Manager Self Service (Payroll Approvals Required)
- XXX Manager Self Service (Payroll Approvals Not Required)
- XXX Administrator Self Service (Payroll Approvals Required)
- XXX Administrator Self Service (Payroll Approvals Not Required)
- XXX Supervisor Self Service
- XXX Supervisor Self Service (Limited Access)

For English organisations, a Smartcard user will be unable to grant proxy access to a Non Smartcard user, but a Non Smartcard user can grant access to a Smartcard user.

Select Settings - Manage Proxies.
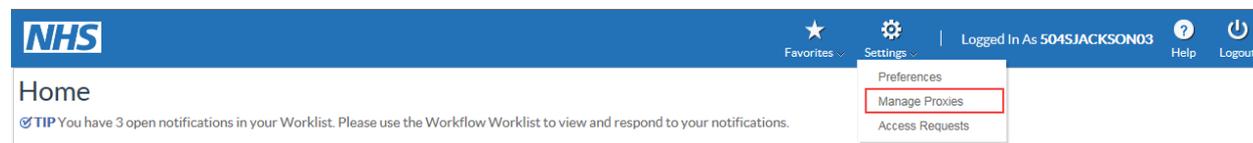
Click Add Proxy.
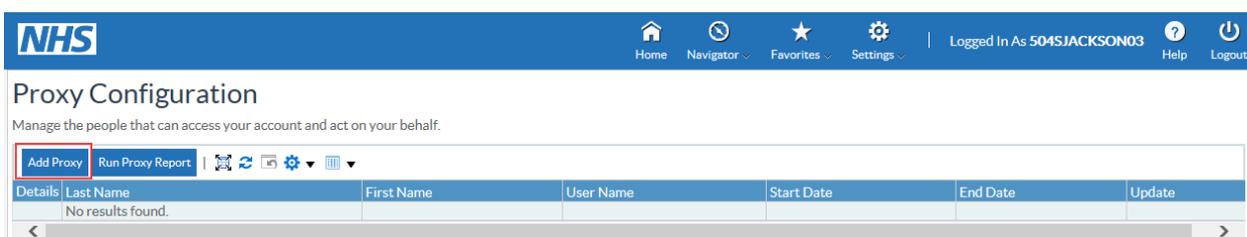
To grant proxy access:

Select the username and dates when the access is to be given

In the Grant Responsibility Access section, select the Responsibility that they will be given access to

The user granted proxy access will receive a notification informing them that they have been given access.

4.5.2. Worklist Access

Select Settings - Manage Proxies.

Click Add Proxy.

Select the username and dates when the access is to be given

In the Grant Worklist Access section, select the workflow items that access is being given to or select All.

Add People

Submit   Cancel

Add Proxy

      * User Name   504TRAIN21   🔍   Notes to Proxy

      * Active From   05-Mar-2018 📅

      Active To   08-Mar-2018 📅

Grant Responsibility Access

Responsibilities

- ⦿ None
- ◯ Selected
- ◯ All

Grant Worklist Access

Workflow Item Types

- ◯ None
- ⦿ Selected
- ◯ All

Available Item Types

> Move

» Move All

‹ Remove

« Remove All

Selected Item Types

NHS IAT STATand Mand Competence Approval
XX Inter Authority Transfer Approval

Click Submit.

4.6. Emails and Notifications

ESR notifications have the ability to be delivered directly to a user's email account. The notifications that can be sent by email are covered in the document ESR-NHS0252 ESR Email Notifications.

ESR provides the ability to approve, reject or request more information directly from a secure email account. There are two levels of email capability dependent on email domain security:

- Approval and summary emails - available to NHS.net and other approved secure domains;
- Summary email - other email domains outside an approved list.

ESR users have the ability to:

Receive Workflow Notifications via email (outbound For Your Information (FYI), For Your Action (FYA) and Summary) generated from ESR.

NHS ESR users, on receipt of an FYA email notification can take inbound actions such as Approve, Reject and Request for Information from the email notification. On receipt of the email response the workflow will be progressed within ESR based on the incoming action.

Where a VPD is SPINE enabled and where a notification will update a data item that triggers the SPINE Interface and the transaction requires additional workflow approval, the outbound FYA email will be supressed and a secure FYI email will be sent to the user informing of the transaction and to login to ESR to take the required action.

Workflow Email Notifications will be sent to the email address held on the Office Details tab against the Person Record of the intended recipient.

4.7. Time Out Rules

As discussed earlier, the majority of notifications are subject to time out rules, for example when an administrator makes changes in Administrator Self Service and an approval notification is sent to a supervisor to approve the changes, the supervisor will be given a fixed amount of time to approve the notification.

If the notification is not approved within the time allowed then the notification will be progressed onto the next supervisor in the hierarchy, or returned to the initiator. The Manager Flag tick box located on the Miscellaneous Tab on the Assignment Form is used to highlight whether or not a supervisor is classed as a 'Manager' for approval of notifications in relation to Administrator Self Service.

The time out days for each administrator function are listed in the table below.

Function	Time Out Days
Administer Assignment Changes	5
Administer Hours Changes	5
Administer End Employment	5
Administer End Non Primary Assignment	8
Administer Hires	5
Administer Personal Information	8
Administer Property Register	8
Administer Supervisor	5
Administer Location	5
Administer Absence	5
Administer Competencies	8
Administer Qualifications	8
Administer Registrations and Memberships	5

The table below details the time out period in days for employee initiated changes requiring approval:

Function	Time Out Days
Absence*	28
Personal Information	8
Education and Qualifications	8
Enrol In Training	8
Competence Profile**	8
Professional Registration	3
Internet Access Approval	10

*Note - After 28 days, requests for Annual Leave will be returned to the initiator so that they can cancel the workflow.
**Note - After 8 days, requests for updates to competence profiles will be returned to the initiator so that they can cancel or resubmit the workflow.

4.8. Transaction Monitor

The Transaction Monitor allows users to view and track details of Self Service transactions that have a status of 'Pending Approval', 'Complete' and 'Error'. For self service transactions that are 'Pending Approval' or 'Complete' users can use the transaction monitor to view the approval history, comments, and attachments for the transactions, if any.

It is available to all Self Service URPs, HR Administration, HR Administration (With RA), Payroll Super Administration and Payroll Administration.

It enables:

Employees to view all transactions that they initiate.

Managers to view those transactions initiated by themselves on any user within their hierarchy.

HR/Payroll users to view all transactions initiated by users within their VPD.

The Transaction Monitor displays transactions which have been created on or after 15th December 2013. Completed transactions are available for 45 days, with the exception of absence and competence transactions which are available back to 15th December 2013.

4.9. Managing Workflow Notifications

The ability for a System Administrator to view workflow notifications within ESR has been provided through the Workflow Administrator URP.

The administrator can see all workflows which have been initiated from within their organisation and has the ability to reassign workflow notifications.

This User Responsibility Profile is intended for use by a System Administrator or similar, and is not intended for general allocation. The responsibility allows users to reassign Workflows, changing the intended approvals for a given workflow, for example when an approver has taken unplanned leave. In allocating this responsibility to a user the organisation are accepting that the user is authorised for this level of system access.

To ensure this functionality is appropriately utilised, it has been agreed that the maximum number of users with access to this responsibility profile should be 7 per organisation. Usage will be monitored centrally and if more than 7 users have access to this user responsibility within an organisation it will be flagged by the ESR System Provider and discussed with the NHS central team.

The workflow Status Monitor can be used to find the location of workflow notifications within ESR i.e. whose worklist the notification is in. When conducting a search, it is important that criterion is used. Failure to do this will result in the search taking an excessive amount of time, and may result in errors.

Detailed information for using Workflow Administrator is available in the ESR User Manual.

5. ROLE BASED NOTIFICATIONS

Role based notifications allow relevant business information to be targeted at specific ESR users whose job requires them to either be aware of or act on this information. The list of roles currently available in ESR is shown in the table below.

Role	Purpose
AfC Increment Deferral	To support AfC terms and conditions for incremental pay progression the AfC Increment Deferral role is available, with holders receiving notifications to alert them of action required.
Applicant Details	Role holders will receive a notification advising them of details updated in the My Applicant Details portlet.
Assignment Reminder	Notifications sent to the role holders detail information relating to tasks and reminders placed on an individual's assignment.
Auto User Account Details	Role holders will receive a notification advising of user account details created using the automated process e.g. usernames and passwords.
Conflict of Interest Reviewer	Role holders will receive a monthly summary of the Conflict of Interest declarations made or updated in their organisation in the previous month.
DBS Administration	Notification sent to the role holder when a person's subscription to the DBS Update service is due to expire.
DBS Status & Safeguarding	Notification sent to the role holder when the results of the DBS Update e-bulk check shows the status of either New Information or No Match Found against an employee.
Dental Prof Registration	Allows the role holder to receive notifications regarding the information transferred using the Professional Bodies interface for General Dental Council members. The notifications detail failed lines, lines which require a decision on being accepted and lines which have been successfully updated.
Employee Checklist	There are four roles associated with the employee checklist which direct notifications to specific staff groups for 'General', 'Medical and Dental', 'Nursing and Midwifery' and 'All'. Notifications will be sent listing all employees and applicants who have had automatic updates made to the 'Date of Medical Clearance' field or have an OH Status of 'unfit'.
Employee Relations Role	This notification is triggered on the same day any Warning Expiry Date field on any of the Employee Relations forms occurs.
Expiry Notifications	Alerts the role holder of the expiration of Registrations and Memberships; Competencies; Fixed Term Contracts; and Reviews Due. There are four roles associated with the Expiry Notification which direct notifications to specific staff groups for 'General', 'Medical and Dental', 'Nursing and Midwifery' and 'All'.
Generic System Administration	Notification sent to the role holder when there are no active users allocated to the DBS Status Notification role.
GI: ETA – Occ Health EIT Role	After the bi-directional interface has run, if there are updates to immunisations, the role holder will receive a notification describing the success, error or failure of that update and can then act accordingly.
GI: OHA – Occ Health Assessment Role	After the bi-directional interface has run, if there are updates to OH assessments, the role holder will receive a notification describing the success, error or failure of the update and can then act accordingly.
HCPC Registration	Allows the role holder to receive notifications regarding the information transferred using the Professional Bodies interface for Health Care Professions Council members. The notifications detail failed lines, lines which require a decision

Role	Purpose
	on being accepted and lines which have been successfully updated.
IAT Approver	The role holder can approve requests for IAT. They will also be able to Perform PDS Copy for Self Service hires.
IAT Initiator	When a non-automated IAT request is approved, the approval notification will be delivered to all role holders
IAT Service History	This role holder will receive the IAT NHS Service History Notification with details of the consolidated service history for an employee.
Internet Access Approval	Allows the role holder to manage requests for remote access for Employee Self Service and Employee Self Service (Limited Access).
Jr Doc & Trn Dentist Contract	This role holder will receive a notification when Junior Doctors and Trainee Dentists are transferred to an organisation with the values for the following elements held by the employee: Cash Floor Protection NHS and Annual Leave Appointment NHS.
Maternity Return Ntf	Identifies employees that are due to return to work from maternity leave and sends a notification to the role holder. There are four roles associated with the Maternity Return Ntf which direct notifications to specific staff groups for 'General', 'Medical and Dental', 'Nursing and Midwifery' and 'All'.
Medical Staff Officer	Allows the role holder to receive notifications regarding the information transferred using the GMC and Doctors in Training (DIT) interfaces. The notifications detail failed lines, lines which require a decision on being accepted and lines which have been successfully updated.
Multi-Employer Comp Update	This role holder will receive a notification when an employee with additional employments at other organisations is awarded a competence at one of those organisations.
NHS CRS Add Applicant Error	Role holders will receive workflows related to Applicant errors returned from CIS.
NHS CRS Add Employee Error	Role holders will receive workflows related to Employees and External Shared Service Staff errors returned from UIM.
NHS CRS RA Agents	Enables the role holder to receive notifications in relation to the ESR interface with UIM and the NHS Bank Inactivation Concurrent Process
New Starter Notification	Sends an automated list of new starters that are due to join the organisation to the role holder.
Nursing Prof Registration	The Professional Bodies Interface includes updated files from the Nursing and Midwifery Council (NMC) and information is sent to role holders. The notifications detail failed lines, lines which require a decision on being accepted and lines which have been successfully updated. A separate notification is sent advising when an NMC registrant's revalidation date is due in twelve, six and four months. A short notice notification is also sent when the revalidation for a new starter is less than four months away.
Occupational Health Admin	This role holder will receive notification of OH information generated through the IAT process.
Occ Health Absence Referral	Notification to the Occ Health Absence Referral role holder is sent notifications as part of absence trigger points.
PDS Notification	Role holders will have the option to perform the PDS Copy when hiring an applicant. When the IAT Process is run, the PDS notification will be sent to the role holder where this has been populated.
Pay Progression	Role holders will be sent notifications on a monthly basis, outlining all employees due a pay affecting increment in the next 45 days.
Payroll Super Admin	Notifications advising that Time and Attendance and Pensions interface files have been received are sent to the role holders.

Role	Purpose
Person Reminder	Notifications sent to the role holders detail information relating to tasks and reminders placed on an individual's person record.
Pharmacy Professional Registration	Allows the role holder to receive notifications regarding the information transferred using the Professional Bodies interface for General Pharmaceutical Council members. The notifications detail failed lines, lines which require a decision on being accepted and lines which have been successfully updated
Property Register	Role holders will receive a notification one week before the employees leave where they still have property assigned.
Recruitment - Non Deanery App	A notification will be sent to the role holder with details relating to the creation of both successful and or failed applicant records.
Reference Approver	The role holder will receive a notification entitled 'Request for Standard Reference Information' and is required to approve/reject the request, validating and populating the applicant information as required.
Reference Receipt	Role holders will receive a notification from the Reference Approver at the approving organisation advising if the reference request has been approved or rejected. Where approved this will include a copy of the standard reference form.
Reverse Termination	Sent to role holders when an employee's termination is reversed.
Right to Work	Alerts the role holder to the expiration of a Right to Work document. There are four roles associated with the Right to Work which direct notifications to specific staff groups for 'General', 'Medical and Dental', 'Nursing and Midwifery' and 'All'.
XXX SSHR Payroll Approvals	Allows the role holder to approve payroll impacting changes generated from self service Managers and Administrators.
STC Learning Administrator	Allows the role holder in the Shared Training Provider to manage learning enrolment requests from customer organisations through the receipt and generation of notifications.
Stat & Mand Competencies Ntf	The IAT process will transfer any national statutory and mandatory competences to role holders at the pre hire stage.
Supervisor Hierarchy Ntf	Role holders will receive a notification each time that a Supervisor's assignment in their organisation is changed to a particular status.
Termination Notification	Sends an automated list of employees due to be terminated to the role holder.

5.1. Allocating Roles

To allocate any of the above mentioned roles to individuals in your organisation you will need access to either XXX Local HRMS Systems Administration or XXX Local HRMS Systems and User Administration URP and select the Maintain Roles function from the menu options.

Oracle Applications Home Page

Navigator

504 Employee Self Service
504 HR Administration
504 Local HRMS Systems and User Administration

504 Local HRMS Systems and User Administration
- Setup Users
- Maintain Roles
- Maintain CRS Person UUID
- OLM Data Groups
- NHS User Level Override Setup

Maintain Local Values
- Flexfield Values
- Administer Folders
- Application Utilities Lookups

Requests
- Submit Request
- View Request
- Workflow Notifications

Discoverer Reports
- Standard Reports
- Ad Hoc Reports

Click in the role you wish to allocate and then click in to the Person field on the Users tab. You can then either search for or enter the name of the person to whom you wish to allocate the role (names are stored Last Name, Salutation, First Name).

Maintain Roles

Role Name	Role Type	Further Information	Enabled
Emp Checklist - General	HR Manager		✔
Emp Checklist - M&D	HR Manager		✔
Emp Checklist - N&M	HR Manager		✔
Expiry Ntf - All	HR Manager		✔
Expiry Ntf - General	HR Manager		✔

Users | Positions | Templates | Extra Information

Person	User	Default Role	Benefit Role	Enabled
		☐	☐	✔

5.2. Local Roles

Organisations can use Local Roles if they wish to devolve responsibility for certain areas to specific individuals or teams.

They can be assigned to organisations for:

- XXX SSHR Payroll Approvals
- Stat & Mand Competencies Ntf
- PDS Notification
- Reference Approver
- Pay Progression

Assigning a role to an organisation will assign it to all organisations beneath it in the organisation hierarchy, unless they are overwritten at a lower level.

Notifications for employees in positions in organisations with a local role assigned will be sent to the local role holder.

Where an organisation has no override assigned to it, either directly or at any point above it in the hierarchy, then the national role will continue to be used.

Can be assigned to person records (via Professional forms or Self Service) for:

- New Starter Notification
- Termination Notification

Where local roles are assigned to person records, notifications will be generated for the local roles where the new starter/leaver has the role identified on the Person Extra Information form. These can be used to inform specific departments (for example, an IT department to grant/revoke access to specific systems) that action is required for that person.

5.2.1. Naming Conventions

Local roles are created by XXX Local HRMS Systems and User Administration - Maintain Roles. People are added to this local role.

Locally created roles need to comply with the following rules:

- Must start with the three digit VPD identifier
- Keywords must be included in the Role Name - these are case sensitive
- Use spaces between words, not underscores

The character limit and keywords are outlined in the table below:

National Role	Character Limit	Keywords	Example
XXX SSHR Payroll Approvals	30	Payroll Approval	123 Ward 10 Payroll Approval
Stat & Mand Competencies Ntf	30	Stat & Mand	123 Ward 10 Stat & Mand
PDS Notification	30	PDS Notification	123 Ward 10 PDS Notification
Reference Approver	45	Reference Approver	123 Ward 10 Reference Approver
New Starter Notification	30	New Starter	123 Car Park New Starter
Termination Notification	30	Termination	123 Car Park Termination

The 6i NHS User Roles report available to Local HRMS System & User Administration URP lists all users with roles along with the relevant employee details.

Once created they can be assigned to the appropriate organisation via the Organisation level DFF. Any person who has been added to the Local Role for the Organisation will receive associated notifications.
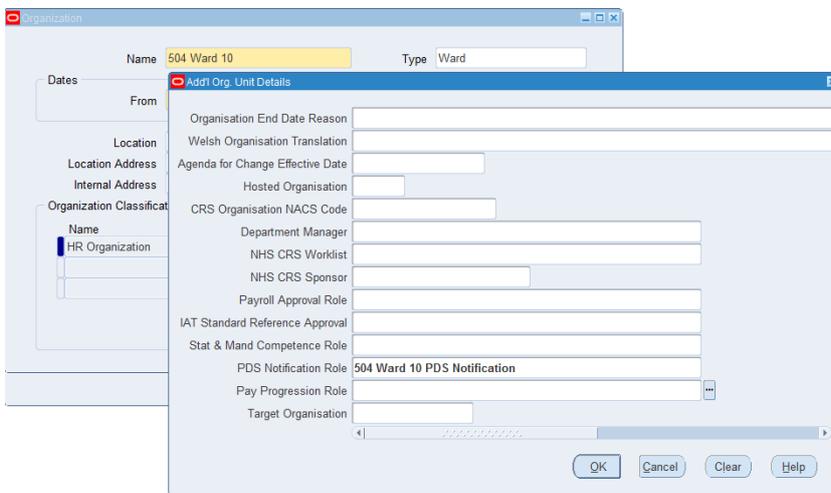
5.3. AfC Increment Deferral Role

To support AfC terms and conditions for incremental pay progression the AfC Increment Deferral role is available, with holders receiving notifications to alert them of action required. Notifications are triggered by the outcome of the Pay Progression Meeting and AfC Development Review appraisal process, the table below showing the values available for selection in ESR and the effect of each of these:

Value	Afc Development Review	Pay Progression Meeting
Yes	The appraisee progresses on to the next incremental point. There is no change to the existing process and no further action is required. No notification is generated.	Where a row exists in the Appraisals and Development Summary EIT for a review type of 'Pay Progression Meeting' and this row has an appraisal date in the 365 days prior to their increment date being processed then the appraise will advance to the next point on the pay scale.
No	The appraisee does not progress on to the next incremental point. No further incremental progression will be possible without intervention. A notification is sent to the role holder.	The appraisee will not be advanced to the next pay step point. A notification is sent to the role holder.

Value	Afc Development Review	Pay Progression Meeting
Yes following initial deferral	This will trigger a notification to the role holder advising that manual intervention is necessary to ensure the appraisee is given the appropriate incremental progression.	This will trigger a notifictation to the role holder advising that manual intervention is necessary to back date pay to the Date of Re-Instatement – specified on the notification.

Rules for when notifications will be sent are as follows:

- The AfC Pay Progression field is populated/updated with '2-No' or '3-Yes following initial deferral'
- The Appraisals and Development Summary EIT 'last update date' is greater than the date the 'NHS AfC Increment Deferral Notification' process ran.
- Where multiple EIT rows exist the latest Appraisal where the Appraisal Date is less than the Increment Date.

For a subsequent appraisal following a 'No' response, 'Yes following initial deferral' must be selected to trigger a notification to the role holder. For review types of Pay Progression Type, a value must be entered in the Date of Re-Instatement field.

An example of a notification advising that incremental progression will be withheld is shown below:

An example of a notification advising that incremental progression needs to be reinstated is shown below:

5.4. Pay Progression Role

Notifications will be sent to role holders on a monthly basis, outlining all employees due a pay affecting increment in the next 45 days.

Worklist >

ℹ Information
This notification does not require a response.

Notification of employees with a pay step progression point - Pay Affecting

OK   Reassign   More Information Request

To XXHR_PPM_ADHOC_419_34_440121
Sent 29-Mar-2019 14:38:21
ID 554468306

The following employees have a Pay Step progression point within the next 45 days. Please ensure all appropriate activity in relation to the local policies and procedures on pay progression have been completed.

Name	Assignment Number	Email Address	Position Name	Increment Date	Progression Point	Meeting Date	Meeting Outcome	Next Meeting Date
AfCIncrementEleven, Mr. AfCIncremTestEleven	27714133	esr.test03@nhs.net	SN TestPos ORG2	25-APR-2019	58148.00	01-APR-2019	No	01-AUG-2019
AfCIncrementSeventeen, Mr. AfCIncremTestSeventeen	27714139	esr.test03@nhs.net	SN TestPos ORG5	28-APR-2019	55226.00	01-APR-2019	No	01-AUG-2019
AfCIncrementSixteen, Mr. AfCIncremTestSixteen	27714138	esr.test03@nhs.net	SN TestPos ORG5	28-APR-2019	55226.00	01-APR-2019	Yes following initial deferral	01-AUG-2019

5.5. SAS Pay Progression Role

Notifications will be sent to role holders on a monthly basis, outlining all SAS employees due a pay affecting increment in the next 45 days.

5.6. (Assignment) Diary Reminder

This facility allows notes and actions to be recorded against person and assignment records in the professional forms, with the ability to enter due dates, review dates and dates of completion.

Events will be notified to the Person Reminder or Assignment Reminder roles based on the Item Type selected for the Diary Reminder entry as follows:

- Personal (Person Reminder)
- Absence (Assignment Reminder)
- Assignment (Assignment Reminder)
- Payroll (Assignment Reminder)

An overnight summary notification will be produced for the appropriate role listing all events where either of the following is true:

- Review Date is today
- Date Due is 30 days from today

An example of the notification is shown here:

5.7. Auto User Account Details

The Automated User Account process runs each night, and a list of the accounts generated will be sent in a summary notification to holders of the 'Auto User Account Details' role. At least one user must be assigned to this role for the process to work.

Role holder receives workflow notification.

Worklist

View [Open Notifications] [Go]

Select Notifications: [Open] [Reassign] [Close]

Select All | Select None

Select	From	Type	Subject	Sent ▼	Due
☐		XX Auto User Notifications	NHS Auto User Create Message	18-Jul-2017	

☑ **TIP** Vacation Rules - Redirect or auto-respond to notifications.
☑ **TIP** Worklist Access - Specify which users can view and act upon your notifications.

Detailed Auto-User Account Notification.

Worklist >

NHS Auto User Create Message

🛈 **Information**
This notification does not require a response.

To   298 Auto User Account Details 3012161233461828
Sent   30-Dec-2016 12:33:44
ID   295744905

The following new accounts were created by the Automated User Account Creation Process which ran at 30-DEC-2016 12:01:22

Last Name	First Name	Title	Employee Number	Applicant Number	Organisation	Position Title	User Name	Password	Email Address	User Person Type	Message
Kumar	Mary Esther	Mrs.	15109827		123 Ward 19	Position 5360878	123MKUMAR01	2NOX3G3P		Employee	
Grainge	Harriott	Ms.		52	123 Ward 12	Position 52000	123GRAINGER	2DFG3F29		Applicant	

In order for this process to work organisations must decide to opt into this process by setting the correct option on the Organisation Descriptive Flex Field for the Employing Authority Level Organisation (most commonly this is the organisation type of 'Trust').

The available options are:

- No User Creation (null will also be interpreted as this value)
- No User Creation – No Approval Required for Remote Access
- Employee SSHR
- Employee SSHR (Limited Access)
- Employee SSHR (Limited Access) – No Approval Required for Remote Access
- Employee SSHR – No Approval Required for Remote Access

Where something other than one of the 'No User Creation' options is selected then from that point, all new hires and applications set to 'Offer Accepted' will be processed overnight to generate new user accounts with access as defined above.

Where organisations have not set up their supervisor hierarchy and approval is required for remote access, then the organisation must assign at least one person to the Internet Access Approval role.

5.8. Conflict of Interest Reviewer

Holders of this role will receive a monthly summary of the Conflict of Interest declarations made or updated in their organisation in the previous month.

These will be automatically sent out at the start of each calendar month for the previous calendar month.

The notification will have a count at the top of all 'Nothing to Declare' declarations and then a table of all other declarations with some summary details.

The notification will include information where an employee has deleted a declaration that has previously been recorded and has a Manager Action recorded against it.

5.9. Employment Checklist Notifications

A national process will run twice daily to generate notifications listing all employees and applicants who have had automatic updates made to either the 'Date of Medical Clearance' field or have an occupational health status of 'Unfit' on the Employment Checklist (Special Information Type) SIT by the Occupational Health Module.

To receive these notifications users must be assigned to one or more of the Employment Checklist roles:

Emp Checklist - All	Emp Checklist - N&M
Emp Checklist - M&D	Emp Checklist - General

Notifications will be sent to the following roles using the conditions set out:

Emp Checklist – All   role receives notifications for all staff

Emp Checklist - M&D   role receives notifications for Medical and Dental staff only

Emp Checklist - N&M   role receives notifications for Nursing and Midwifery staff only

Emp Checklist – General   role receives notifications for General staff only (note 'General' here means all other staff i.e. those not defined as M&D or N&M)

Where no users are assigned to a role then no notifications will be generated. Where no staff have been updated by the Occupation Health module since the last run then no notifications will be generated.

Example Notification

Worklist >

The following Employees have had automatic updates made to their Employment Checklist record.

ℹ️ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

To Leese21, Vivian
Sent 18-Jul-2017 14:32:51
ID 347291

Staff Group	Organisation	Last Name	First Name	Title	Assignment Number	Applicant Number	Position Number	Position Description	Position Occ Code	Location	Primary Flag	Data Item	New Value	OH Status	OH Restrict/Conditions	EPP Clearance	EPP Post
Nursing and Midwifery Registered	504 Ward 10	Joshi	Neela	Mrs.	20095060		84608	Staff Nurse Band 6	N6A	504 ESR Hospital	Y	Date of Medical Clearance		Unfit		No	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

5.10.   Employee Relations Role

The Employee Relations Administrator URP can be used to capture information relating to the following areas:

- Capability (No Underlying Health Reason)
- Capability (Underlying Health Reason)
- Disciplinary
- Flexible Working
- Further ER Stages
- Grievance
- Harassment

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.

Example notification:

For Flexible Working, where the Agreed Arrangements End Date has been entered, the Role Holder will receive a notification 14 days prior to this date.

Information
This notification does not require a response.

End of Flexible Working Arrangements for Richard Perkins

OK   Reassign

To   298 FLEXWORK_Employee_Relations_Role 64
Sent 05-Nov-2020 11:27:47
ID   132605
The flexible working arrangements for Richard Perkins were recorded in ESR as Temporary, with an end date of 19-Nov-2020. Please review the record held in ESR and make any amendments to the agreed arrangements as required, ensuring this has been discussed with the employee as necessary.

5.11.   Expiry Notifications

There are four roles associated with expiry notifications, all expiry notifications will be sent to holders of each of the four the Expiry Notification Roles:

- Expiry Ntf – All
- Expiry Ntf - General
- Expiry Ntf - M&D
- Expiry Ntf - N&M

The four separate roles allow users to receive notifications for specific staff groups as required:

- Notifications for all employee assignments will go to users enrolled onto the 'All' role.
- Users enrolled onto the 'General' role will only receive notifications for staff in positions where the Occupation Code is defined as 'General' (i.e. all other Occupation codes which are not 'Medical and Dental' and not 'Nursing and Midwifery').
- Users enrolled onto the 'M&D' role will only receive notifications for staff in positions where the Occupation Code is defined as being Medical and Dental.
- Users enrolled onto the 'N&M' role will only receive notifications for staff in positions where the Occupation code is defined as being Nursing and Midwifery.

Expiry notifications are sent to the Expiry Notification role holder for each of the following events:

- Fixed Term Contract End Date
- Review Date
- Professional Registrations Expiry Date
- Competencies Expiry Date

A separate notification will be received for each type of event at the following frequencies:

- 3 Month Notification. This will list all employee assignments where the expiry date is due in 90 days.
- 1 Month Notification. This will list all employee assignments where the expiry date is due in 30 days*.

- The Short Notice Notification will list all employee assignments where there has been an update to the expiry date which results in the new expiry date being less than 30 days from the current date as at the time of the update*

Manager Notifications

- The one month expiry notification sent to line managers is sent on the 1st of the month*. The notification lists all staff with expiry dates in the following calendar month. This notification is called the 'Next Month' notification.
- The three month notification sent to line managers is sent on the 1st of the month and shows dates for staff with expiry dates in 3 calendar months' time. For example a notification sent on the 1st June will list all staff with expiry dates in September.

*Note - This is with the exception of Registration Expiry notifications which is outlined in the Registration Expiry section.

5.11.1. Competency Expiry Notification

The recording of mandatory training, such as Manual Handling or Fire Safety, is best achieved in ESR by using the national Core Skills Training Framework. Individual competencies can then be added to an employee's competence profile on completion of the appropriate training.

Once populated, the renewal period against the competency will be used to automatically apply an end date to the competency when it is associated with a person's record. The Competency Expiry Notification will then use this date to trigger a workflow notification. The notification is sent to:

- Manager – This is the person entered in the Supervisor field on the employee's assignment.
- Employee
- Role Holder – Any user of ESR who has been set up to receive the expiry notifications. This is set up using the System Administration URPs, and the Maintain roles functionality:

Employee 1 month and Short Notice notifications

As part of the 1 month and short notice expiry events the Learning automatic subscription and enrolment process will perform a competence assessment on the employee. The content of the notification will vary based on the existing subscriptions and enrolments that the employee has and the availability of learning within the ESR Learning Catalogue to achieve the competence.

Outcome of competence assessment	Content of notification
Already subscribed/enrolled on learning	Informed to play/search using the My Compliance Portlet.
Subscribed and/or enrolled onto associated learning	Informed that competence can be gained by completing the learning they have been subscribed/enrolled upon.
Not subscribed/enrolled but learning available to achieve competence.	Informed that the competence can be gained by completing one of the listed learning events.
Not subscribed/enrolled and no learning available	Informed that no learning available and asked to contact learning administrator

5.11.2.   Fixed Term Contract Expiry

For employees on a fixed term contract the end date and the reason can be recorded on the assignment additional details (DFF) form.

The date entered in the Fixed Term/Temp Con End Date field is used as the trigger to send a notification highlighting the impending contract expiry to the employee's manager. The manager is identified as the person completed on the Supervisor field on the employees assignment record.

Users who are identified against the expiry notification roles will also receive the notification. This notification is NOT sent to the employee.

5.11.3.   Registration Expiry Notification

All employees' that have a Registration/Membership Body(s) that is due to expire will have a registration expiry notification sent to both their Supervisor, and themselves. The registration expiry notification will also be sent to holders of the expiry notifications roles.

The registration expiry notification uses the expiry date set on the Registration and Memberships Person Extra Information form.

The notification is only sent for statutory registrations/memberships. Those currently flagged to send notifications are:

- Chartered Institute of Management Accountants
- General Chiropractic Council
- General Dental Council
- General Medical Council
- General Optical Council
- General Osteopathic Council
- General Pharmaceutical Council
- Health and Care Professions Council
- Nursing and Midwifery Council

- Social Work England
- Social Care Wales

Registration Expiry Notifications are sent 25 days prior to the expiry date.
The short notice notification is generated when the Registration expiry date is less than 25 days away for employees, managers and role holders.
The Manager notification is produced on the 7th of the month.

5.11.4. Reviews Due Notification

When an employee has had their appraisal or development review, this information is entered onto ESR using the Self Service functionality. The Reviews Due Notification will then use the Next Meeting date to trigger a workflow notification.

The notification is sent to:

- Employee
- Manager – This is the person entered in the Supervisor field on the employee's assignment.
- Role Holder – Any user of ESR who has been set up to receive the Expiry Notifications. This is set up using the System Administration URPs, and the Maintain roles functionality:

5.12. Right to Work Document Expiry Notification

There are four roles associated with Right to Work expiry notifications. All expiry notifications will be sent to holders of each of the four Expiry Notification Roles:

- Right to Work – All
- Right to Work - General
- Right to Work - M&D
- Right to Work - Nursing

The four separate roles allow users to receive notification for specific staff groups as required:

- Notifications for all employee assignments will go to users enrolled onto the 'All' role.
- Users enrolled onto the 'General' role will only receive notifications for staff in positions where the Occupation Code is defined as 'General' (i.e. all other Occupation codes which are not 'Medical and Dental' and not 'Nursing and Midwifery').
- Users enrolled onto the 'M&D' role will only receive notifications for staff in positions where the Occupation Code is defined as Medical and Dental.
- Users enrolled onto the 'Nursing' role will only receive notifications for staff in positions where the Occupation code is defined as Nursing and Midwifery.

Employees whose Right to Work is time limited and require a valid proof of right to work from one of the acceptable Home Office List B evidence, can have the expiry date of the proof recorded against their record in ESR. This information is held on the additional person details Descriptive Flexfield located on the Person form. Extra Information Type form called Illegal Working Checklist, List B (Group 1 or Group 2) 'Valid To Date' field.

The Right to Work Expiry Notification will then use this date to trigger a workflow notification. The notification is sent to:

- Manager – This is the person entered in the Supervisor field on the employee's assignment.
- Employee
- Role Holder – Any user of ESR who has been set up to receive the expiry notifications. This is set up using the System Administration URPs, and the Maintain roles functionality:

This will contain details of the right to work source and what evidence was provided as proof previously.

A separate notification will be received at the following frequencies:

- 3 Month Notification. This will list all employee assignments where the Right to Work expiry date is due in 90 days.
- 1 Month Notification. This will list all employee assignments where the Right to Work expiry date is due in 30 days.

Alerts are received by the role holder, manager and employee.

5.13.   Disclosure and Barring Service Notifications

There are three roles associated with the Disclosure and Barring Service functionality in ESR:

- DBS Administration
  The role holder is informed when a person's subscription to the DBS Update service is due to expire within 30 days. A notification is also sent to the Employee.

- DBS Status & Safeguarding
  Alert the role holder when the results of the DBS Update e-bulk check shows the status of either New Information or No Match Found against an employee whose DBS Disclosure is registered with the DBS Update Service and have given permission for the organisation to monitor its status, and;will prompt the Safeguarding role to consider if a Safeguarding issue occurred and if so to make a referral to the DBS Barring team.

- Generic System Administration
  Has been developed because the DBS Update Service requires information about the organisation requesting the update

5.13.1.   DBS Administration

Holders of this role will receive notifications related to a person's subscription to the Disclosure and Barring Service (DBS).

A Notification will be triggered when a person's subscription to the DBS Update service is due to expire within 30 days (using the Disclosure Certificate Date field to determine the annual renewal date). A notification is also sent to the Employee

---

DBS Subscription Reminder

🛈 Information
This notification does not require a response.

[OK] [Reassign] [More Information Request]

To   Jackson, Simon
Sent   15-Jul-2017 22:34:34
ID   348768010

DBS Subscription Reminder

The following employees are due to renew their DBS Subscription to the DBS Update Service within 30 days. Please ensure they have taken the necessary action to renew their DBS subscription. A reminder has also been sent to the employee.

Note: The renewal date is based on the DBS Disclosure Issue Date and only their Primary Assignment is detailed below. They may have additional assignments.

If you have any queries relating to this notification please contact the NHS Interfaces Team by raising a Service Request on the Remedy Helpdesk.

Title	Last Name	First Name	Employee Number	Organisation Name	Position Title	Assgn Category	Supervisor	DBS Website Check	DBS Unique Number	DBS Certificate Date	Type of Disclosure	Disclosure Issue Date	Adults Barring List Check Requested	Childrens Barring List Check Requested
Miss	Joshi	Neela	12345678	504 Ward 10	Staff Nurse	Fixed Term Temp	12345679 Leese, Vivian Mrs.	10-Jun-2017	585/ESR01	14-Aug-2015	Enhanced	14-Aug-2015	Yes	Yes

[OK] [Reassign] [More Information Request]

Return to Worklist
☐ Display next notification after my response

5.13.2. DBS Status and Safeguarding

DBS 'Alert' Status Update

A Notification will be triggered and sent to the role holder when the results of the DBS Update e-bulk checks show the following statuses against an employee whose DBS Disclosure is registered with the DBS Update Service and they have given their permission for the organisation to monitor its status. This is done by flagging the 'permission to check DBS status' field on the CRD and Vetting checklist EIT to 'Yes'.

- No Match Found
- New Information

DBS Dismissal – Refer to DBS

A Notification will be triggered and sent to the role holder when an employee's employment has been ended due to one of the following dismissal reasons:

- Dismissal - Some Other Substantial Reason
- Dismissal - Statutory Reason
- Dismissal - Conduct

5.14. Generic System Administration

The following notification will be triggered and sent to the role holder when there are no active users allocated to the DBS Status Notification role

DBS Role Holder Not Allocated

This notification has been developed because the DBS Update Service requires information about the organisation requesting the update. The first name and last name of the "DBS Status and Safeguarding" role holder must be supplied to the DBS Update Service when checking the status. Without this information, the NHS Hub cannot submit a Status Request. The notification will urge the Generic System Administrator to allocate the role to an appropriate employee within the organisation, so that DBS Updates can be processed by ESR.

DBS Role Holder Not Allocated

ℹ Information
This notification does not require a response.

| | | | OK | Reassign | Request Information |

To   XXHR_GEN_II_ADHOC_USER
Sent   18-Oct-2017 16:49:14
ID   347548

It has been noted that your organisation has DBS Certificates that are registered with the DBS update service. The DBS Status and Safeguarding role within ESR is currently not allocated for your employing authority (VPD). This will prevent automatic update checks for DBS Certificates from taking place. Please allocate the role as a matter of urgency to someone within your organisation. Contact your HR department for advice on who this role should be allocated to.

If you have any queries regarding this notification please contact the NHS Interfaces Team by raising a Service Request on the Remedy Helpdesk.

| | | | OK | Reassign | Request Information |

Return to Worklist
☐ Display next notification after my response

5.15. IAT Notifications

Inter Authority Transfers (IAT) are a feature of ESR that enables the automated transfer of staff information between organisations, when moving from one post to another. As the Automated IAT approval process removes the need for the source organisation to approve requests then notifications will vary.

5.15.1. IAT Approver

Holders of this role are alerted to the fact that they need to action a Portable Data Set (PDS) request for a member of staff.

The end to end IAT process requires both an initiator and an approver, with the IAT Approver Role being allocated to at least one employee in the organisation together with the IAT Approver URP; if this is not done then the process will fail.

The approval aspect of the process needs to be completed following the receipt of the PDS request from the employees' new place of work.

Note: The Automated IAT process does not require this step.

Clicking the Portable Data Set Request notification displays the following screen

The IAT Approver will then need to click 'Employee Match Form' to complete the process of finding matching employee details and approving the transfer of information.

Where there are multiple holders of the IAT Approver Role, requests sent to holders of the role function in a similar way to a shared email inbox. Once the request has been read/actioned by one of the holders it will no longer be available for selection by any others. Role holders need to be aware of this and ensure that once the request is marked 'OK', they should then also complete all necessary actions.

5.15.2.   PDS Copy for Self Service Hires

Where an Applicant Hire is performed via Self Service . The NHS Admin/Manager Hire or Placement Process for Applicant notification, sent to the IAT Approver Role 'allows the role holder to perform the PDS Copy.

Clicking on the Perform PDS Copy button will close the original IAT PDS Request Authorisation Notification generated as part of the IAT process.

The 'Perform PDS Copy' button will not be displayed if there is not an open IAT from which the PDS Copy can be performed.

Worklist >
NHS Admin/Manager Hire or Placement Process for Perkins, Mr. Richard

| OK | Perform PDS Copy | Reassign | Request Information |

From SYSADMIN
To IAT Approver 638
Sent 17-Jan-2019 11:11:19
ID 348754
Last Approver: Jackson, Sam
User Name: 504SJACKSON
Comments:

The following employee has been hired by Jackson, Sam. Please ensure the relevant PDS Copy (IAT) is performed.

If there are any issues with this record then please contact Jackson, Sam.

Employee Name: Perkins, Mr. Richard
Applicant Number: 18794
Employee Start Date: 17-JAN-2019
Employee Organisation: 504 Ward 10

Action History

Num	Action Date	Action	From	To	Details
1	17-JAN-2019 11:11:19	Submit	SYSADMIN	IAT Approver 638	

Return to Worklist

5.15.3. IAT Initiator

The IAT process is automated so that the initiating organisation can both request and approve an IAT. This process will only be enabled where a 100% match has been found against the NI number, Last Name and Date of Birth and, the source organisation has set the "Auto IAT Approval" option within the Add'l Org Unit Details descriptive flexfield to Yes. All other matches will continue under the original process, requiring approval from the source organisation. Where all criteria are met the 'Auto Person Match' button becomes available.

When an IAT request is approved using the non-automated process, the approval notification will be delivered to all members of this role within the initiating organisation. This enables those organisations where multiple users deal with IAT requests to access all the incoming IAT approval matches rather than managing on a one to one relationship. When an IAT request is approved using the automated IAT process or if an organisation has no members within the IAT Initiator role when an IAT request is approved using the non-automated process, then the approval notification will be delivered to the initiating user only.

Where the person transferring is a Doctor in Training then the DBS data will be included in the Portable Data Set. This is signified in the notification.
Doctor in Training

Type of DBS	Disclosure Date	DBS/CoGS Received	DBS Disclosure Issue Date	DBS Unique Number	DBS Check Outcome	Children's Barred List Check Requested	Adults Barred List Check Requested
CoGS	02-JUN-2018		06-JUN-2018			No	No

Other Staff

DBS/CoGS Details

(For information only - not part of PDS)

Type of DBS	Disclosure Date	DBS/CoGS Received	DBS Disclosure Issue Date	DBS Unique Number	DBS Check Outcome	Children's Barred List Check Requested	Adults Barred List Check Requested
CoGS	02-JUN-2018		06-JUN-2018			No	No

5.15.4. No IAT Approver Notification

This is sent to the Initiator at the requesting Organisation. It is triggered when the system has found no IAT Approver at the Source Trust and therefore the initiated request cannot be actioned.
Notification details:

Heading	Information
To	<Name>
Subject	IAT Approver not found at selected Trust
Body	The IAT Initiation Request you submitted on <date> for <first name> <last name> was unable to locate an IAT process Approver at <T1>. To progress your IAT request, please contact the Human Resource Department at <T1> and inform then that they do not currently have an IAT Approver Role. Once this request has been actioned, please resubmit your IAT Initiation Request.

The Workflow Message Text message will contain the data items listed below.

Data Item	Description
Old Trust	The organisation that the Portable Data Set will be copied from
Date	The date the request was initiated
Last Name	The Appointees last name
First Name	The Appointees first name

Note: This notification only applies where the non-automated IAT process is used for the request.

5.15.5. IAT Request Timed Out

This notification applies to non-automated IAT requests and is triggered after 8 working days has passed without approval. The details of the notification include:

Heading	Information
To	IAT Initiator
Subject	Inter Authority Transfer – Portable Data Set Request Timed Out
Body	Your request for the Portable Data Set for <First Name> <Last Name> has timed out. Please contact the Human Resources Department at <T1> to discuss your requirement. You should then re-try the IAT process from the point of initiation.

The Workflow Message Text message will contain the data items listed below.

Data Item	Description
IAT Initiator	The user that initiated the IAT request
Old Trust	The organisation that the Portable Data Set will be copied from
Last Name	The Appointees last name
First Name	The Appointees first name

5.15.6.   IAT Record Match Not Found

This notification is sent to the Initiator when no match can be found at the source organisation for the person concerned.

The details include:

Heading	Information
To	IAT Initiator
Subject	Inter Authority Transfer - Record match not found: <First Name> <Last Name>
Body	Your request for the Portable Data Set for <First Name> <Last Name> has been processed by <T1>. ized <T1> was unable to locate a record meeting the match criteria for <First Name> <Last Name>, and have provided the following comments <Comments> Please check that <T1> was a correct selection as a holder of a record for <First Name> <Last Name>. If you are satisfied that <T1> was a valid selection, please contact the HR Department at <T1>. If <T1> was not a valid selection, identify the correct employer. In either case, you can then re-run the IAT process from the point of initiation.

The Workflow Message Text message will contain the data items listed below.

Data Item	Description
Old Trust	The organisation that the Portable Data Set will be copied from
Last Name	The Appointees last name
First Name	The Appointees first name
Comments from T1 User	The Comments entered by the "Old Trust" User

5.15.7.   IAT Data Copy Failed

The details below contain the content of the IAT Data Copy Failed notification.

Heading	Information
To	Portable Data Set Copy Performer
Subject	Inter Authority Transfer – Error – Data Copy Failed
Body	The IAT process to copy the Portable Data Set for <First Name> <Last Name> has failed. Failure Reason : <System Message> Please contact your support administrator, or resolve the data inconsistency mentioned within the Failure reason above.

5.15.8. IAT Data Copy Successful

This notification is sent to both the source and requesting organisation upon successful copying of the portable dataset into the requesting organisation. This is sent for either IAT process used.

Worklist >

Inter Authority Transfer - Portable Data Set Copy Confirmation Gloria Anton

ℹ Information
This notification does not require a response.

| | | OK | Reassign | Request Information |

To Leese, Vivian
Sent 01-Aug-2017 16:22:01
ID 347865
The IAT process to copy the Portable Data Set for Gloria Anton from 502 ESR Hospitals NHS Trust was completed successfully.

Please note: XX_IAT_REG_MEM_BODY_IGNORED

A copy of the Portable Data Set for Gloria Anton has been taken from 502 ESR Hospitals NHS Trust and released to 504 ESR Hospitals NHS Trust on 01-AUG-2017. This Portable Data Set consists of the following Personal information:

	Portable Data Set Value	Value after Copy	Updated by Copy
Last Name	Anton	Anton	No
First Name	Gloria	Gloria	No
Title	Ms.	Mrs.	No
Middle Name	Rachel	Rachel	Yes
Marital Status	Divorced	Divorced	Yes
Nationality	British	British	Yes
Known As			No
Previous Last Name			No
Date of Birth	07-JUN-1960	07-JUN-1960	No
NI	NE502108A	NE502108A	No
Gender	Female	Female	No
12 Mnth Continuous Svs	01-JAN-2000	01-JAN-2000	Yes
3 Mnth Continuous Svs	01-JAN-2000	01-JAN-2000	Yes
Date of Entry to NHS	01-JAN-2000	01-JAN-2000	Yes
Unique NHS Identifier	80	80	Yes
Email Address			No
Loss of Office Payment Date			No
Loss of Office Reck Serv Date			No
NHS Pensioner			No
Date NHS Pension Benefits			No

NOTE: No OSP data was present in the approving Organization, so no OSP data has been taken as part of this Portable Data Set.

The PDS data items included in the notification are available in the IAT Contents of Portable Data Sets, available on the Hub .

5.15.9. PDS Notification

Where an open IAT exists, users in this role will receive the Inter Authority Transfer - Portable Data Set Request Authorisation notification and will have the option to perform the PDS Copy when hiring an applicant.

5.15.10. Pension Override Date

The Override Pension End Date that is recorded on the PDS following an IAT request is used to derive the information to generate the date to feed into the Override Pension Start Date.

A notification will be sent to PDS Notification role holders to advise that the Override Pension Start Date has been automatically updated.

Worklist >

ℹ Information
This notification does not require a response.

IAT Override Pension Start Date Notification for Mrs. CCNPensOvTwentyFive CCNPensOvTwentyFive

| | OK | Reassign |

To XXHR_IAT_ADHOC_NTF_5465603
Sent 04-Jun-2020 10:47:55
ID 788318559

Mrs. CCNPensOvTwentyFive CCNPensOvTwentyFive, 28615829 has had their Override Pension Start Date amended following an IAT PDS process.

Please check that this information is correct and should be applied to the record.

5.15.11.   IAT Service History

The IAT NHS Service History notification is sent to the IAT Service History role holder. It provides a consolidated history of NHS service history based on the following conditions:

- There is a 100% person match found.
- The organisations are all opted into Auto IAT.

Service History will be displayed from latest to the earliest employment.

The notification will display two tables, one showing Substantive Service History and one showing Bank Service History. Each table will have a sub total displaying the years and days of service history derived from the 'Date From' and 'Date To' fields and will take into consideration overlapping periods of service.

The notification will also include a Combined Service History total which will combine the two sub totals.

Worklist >

Information
This notification does not require a response.

IAT NHS Service History For Perkins Richard For Information Only

OK   Reassign   More Information Request

To   XXHR_IAT_SERVICE_HISTORY46
Sent   08-Jun-2018 10:07:52
ID   91980
NHS Service History For Information Only Perkins Richard
Employee or Applicant Number:: 20000133

Basic Person

Last Name: Perkins
First Name: Richard
Known As:
Title: MR.
Date Of Birth: 12-NOV-1974
NI Number: JY111111A
Unique NHS Identifier: 78

Service History**

Employer	Date From	Date To	Assignment From	Assignment To	Assignment Number	Job Title	Grade	Point	Salary	WTE	Primary	Incremental Date	CSD 1 Week	CSD 3 Months	CSD 12 Months	Reason for Leaving
425 Organisation 306992	22-JAN-2019		22-AUG-2019		28069452	Estates and Ancillary - Support Worker	NHS|XN02|Non Review Body Band 2			.26667	Y					
225 Organisation 44622	01-JUN-2017		10-MAY-2019	09-JUL-2019	28058523	Healthcare Scientists - Manager	NHS|XR09|Review Body Band 8 - Range B	540	58148	1	Y					
225 Organisation 44622	01-JUN-2017		01-JUN-2017	09-MAY-2019	28058523	Healthcare Scientists - Manager	NHS|XR09|Review Body Band 8 - Range B	540	58148	1	Y					

Service History Total Value :2 years and 111 days

Service History for Bank Assignments**

Employer	Date From	Date To	Assignment From	Assignment To	Assignment Number	Job Title	Grade	Point	Salary	WTE	Primary	Incremental Date	CSD 1 Week	CSD 3 Months	CSD 12 Months	Reason for Leaving
425 Organisation 306992	22-JAN-2019		22-JUN-2019		28069452-2	Estates and Ancillary - Support Worker	NHS|XN02|Non Review Body Band 2			0	N					
425 Organisation 306992	22-JAN-2019		22-JAN-2019	21-AUG-2019	28069452	Estates and Ancillary - Support Worker	NHS|XN02|Non Review Body Band 2			0	Y					
225 Organisation 44622	01-JUN-2017		10-JUL-2019		28058523	Healthcare Scientists - Manager	NHS|XR09|Review Body Band 8 - Range B	540	58148	0	Y					
225 Organisation 44622	01-JUN-2017		01-JUN-2017	08-JUN-2018	28058523-2	Healthcare Scientists - Manager	NHS|XR09|Review Body Band 8 - Range B	540	57515	0	N					

Service History for Bank Assignments Total Value :1 years and 292 days

Combined Service History Total Value:2 years and 154 days

The Portable Data Set copy can only be copied when the person has started working for you. Please select the Perform Portable Data Set Copy action once you have an employee record.

* Note that the number of lines of Assignment History in the approval will be limited to 25. All Assignment History lines, however, will be copied as part of the Portable Data Set.

**Service History is only displayed from Organisations who are opted in to the Auto IAT process.

5.15.12.   Stat & Mand Competencies Ntf

The IAT process will transfer national statutory and mandatory competencies at the pre hire stage. When the IAT is approved a pre IAT notification will be sent to the Stat and Mand Competencies Ntf role holder for action. This notification will detail any competencies with a national framework type of MAND, CSTF, CCF or EDU that the applicant has.

The role holder must approve, reject or edit the competencies being transferred (by clicking the Update Competence Form link on the notification). If a role holder does not carry out any action then the competencies will not be transferred.

Once the competencies have been approved or edited via the form and submitted, no further changes can be made to competencies with the above national framework types and any updates made at the source organisation will not be included in the PDS Copy

If the organisation has no users in the Stat & Mand notification role then the competences will be transferred as part of the PDS Copy and no changes will be possible.

Example Notification

The IAT Update Competence Notification and IAT Competence Management form have a Status column.
- A green status means that the competence being transferred will not expire in the next three months
- An amber means that the competence being transferred will expire in the next three months.

Worklist >
IAT Update Competence Message for Mr. Richard Perkins

[Approve] [Reject] [Reassign]

To   XXHR_IAT_ADHOC_COMP_APPROVER25
Sent   19-Oct-2018 15:29:00
ID   349468

Inter Authority Transfer - National Competencies.

503 ESR Hospitals NHS Trust have given approval for the update of the following National Competencies for the following person to take place.

Last Name: Perkins
First Name: Richard
Title: Mr.
Applicant Number: 18800
Employee Number:

Position Number: 84710
Role: Staff Nurse
Staff Group: Nursing and Midwifery Registered
Organisation: 504 Ward 10

Competency Information

Competency Name	Proficiency Level	Valid From	Valid To	Status	Date Last Awarded	Awarded By	Title
NHS|CSTF|Equality, Diversity and Human Rights - 3 Years|	1 - Assessed	22-Nov-2015	21-Nov-2018	🟧		User	
NHS|CSTF|Fire Safety - 1 Year|	1 - Assessed	22-Jul-2018	21-Jul-2019	🟩		User	
NHS|CSTF|Health, Safety and Welfare - 2 Years|	1 - Assessed	07-Jun-2018	06-Jun-2020	🟩		User	

Competency Requirements for the position

Competency Name	Low	High	Essential	Date From	Date To
NHS|CSTF|Communication - 1 Year|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Equality, Diversity and Human Rights - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Fire Safety - 1 Year|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Fire Safety - 3 Years|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Information Governance - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Moving and Handling - Level 1 - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Safeguarding Adults - Level 1 - 1 Year|	1 - Assessed		N	01-Jan-1951	
504|LOCAL|Test|			N	01-Jan-1951	

Key:

🟧 Indicates that the Competence will expire within the next 3 months
🟩 Indicates that the Competence will not expire within the next 3 months

Action History

Num	Action Date	Action	From	To	Details
1	19-OCT-2018 15:29:00	Submit	NHSMLYE	XXHR_IAT_ADHOC_COMP_APPROVER25	

References

📄 Competence Update Form

Example form

IAT Competence Management

[Approve and Submit] [Cancel]

Applicant Details

Last Name	**Perkins**
First Name	**Richard**
Title	**Mr.**
Applicant Number	**18800**
Employee Number	
Position Number	**84710**
Role	**Staff Nurse**
Staff Group	**Nursing and Midwifery Registered**
Organization	**504 Ward 10**

Competency Information

Only selected rows will be transferred

☑	Type	Competence Name	Proficiency Level	Valid From	Valid To	Status	Date Last Awarded	Awarded By	Title
☑	IAT	NHS|CSTF|Fire Safety - 1 Year|	Assessed	22-Jul-2018	21-Jul-2019	🟩		User	
☑	IAT	NHS|CSTF|Equality, Diversity and Human Rights - 3 Years|	Assessed	22-Nov-2015	21-Nov-2018	🟧		User	
☑	IAT	NHS|CSTF|Health, Safety and Welfare - 2 Years|	Assessed	07-Jun-2018	06-Jun-2020	🟩		User	
☐	REQ	NHS|CSTF|Information Governance - 1 Year|							
☐	REQ	NHS|CSTF|Fire Safety - 1 Year|							
☐	REQ	NHS|CSTF|Moving and Handling - Level 1 - 1 Year|							
☐	REQ	NHS|CSTF|Equality, Diversity and Human Rights - 1 Year|							
☐	REQ	NHS|CSTF|Safeguarding Adults - Level 1 - 1 Year|							
☐	REQ	NHS|CSTF|Fire Safety - 3 Years|							
☐	REQ	504|LOCAL|Test|							
☐	REQ	NHS|CSTF|Communication - 1 Year|							

Competency Requirements for the position

Competence Name	Low	High	Essential	Date From	Date To
NHS|CSTF|Communication - 1 Year|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Equality, Diversity and Human Rights - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Fire Safety - 1 Year|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Fire Safety - 3 Years|	1 - Assessed	1 - Assessed	Y	01-Jan-1951	
NHS|CSTF|Information Governance - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Moving and Handling - Level 1 - 1 Year|	1 - Assessed		N	01-Jan-1951	
NHS|CSTF|Safeguarding Adults - Level 1 - 1 Year|	1 - Assessed		N	01-Jan-1951	
504|LOCAL|Test|			N	01-Jan-1951	

Current Competency Details for the person

Competence Name	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Title	Last Updated By
No results found.							

Key:

🟧 Indicates that the Competence will expire within the next 3 months

🟩 Indicates that the Competence will not expire within the next 3 months

[Approve and Submit] [Cancel]

5.15.13. Reference Approver (IAT Standard Reference)

IAT Initiators are able to request a reference for applicants as part of the IAT process. Requesting this triggers a separate process once the IAT request is approved. The standard Reference Templates replicate the detail as outlined in NHS Employers guidance and would usually be sent to the last/current employer for an ex.employee/employee.

The notifications related to this process are sent to the Reference Approver role (at the approving organisation) and the approved reference details or rejection is sent back to the Reference Receipt role (at the initiating organisation).

The Reference Approver will receive a notification entitled 'Request for Standard Reference Information':

The current/previous employer on receipt of the request will be able to review and validate the information held in ESR which is contained in the Standard Reference Request. Any additional supporting information can also be included at this stage and if necessary the detail populated from ESR can be overtyped, before the data is approved and sent to the requesting Organisation. The Reason for Leaving (highlighted in green) sent to the requesting organisation will state Not Applicable unless updated by the Reference Approver.

An Employee Relations indicator (highlighted in blue) will alert the Reference Approver role holder completing the reference that active Employee Relations information is present on the record for whom the reference is being requested.

The first responder to approve/reject the notification will trigger a 'Reference Receipt' notification to be delivered to the 'Reference Receipt' role holder(s) in the requesting organisation.

Request for Standard Reference Information for MR. Richard Perkins from 504 ESR Hospitals NHS Trust

[Approved] [Rejected] [Reassign]

To **503_IAT_REF_APPROVER_28**
Sent **19-Oct-2018 14:42:20**
ID **349433**

Action History

Num	Action Date	Action	From	To	Details
1	19-OCT-2018 14:42:20	SEND_FIRST	ANONYMOUS	503_IAT_REF_APPROVER_28	

Please review and amend as appropriate the information held within ESR for:

Title   : MR.
Last Name   : Perkins
First Name   : Richard
Middle Name   :
Employee Number : 20110804

Once agreed please approve to return the standard reference data to the initiating Organisation.

Please note: Employee Relations information exists in ESR record for this employee. Please check and update the Reference appropriately.

Existing Information

Last Name Perkins
Middle Name
First Name Richard
Title MR.
Date of Birth 01-JAN-1971
National Insurance Number AA828002A
Employment Date from 01-SEP-2011
Employment Date to 15-SEP-2018
Applicants Current/Most Recent job Title and Grade 138444|Staff Nurse Band 5|N6A|| - NHS|XR05|Review Body Band 5
Applicants Reason for Leaving (if known) Employee Transfer
Date of DBS Check Last completed 06-JUN-2018
Level of DBS Check undertaken CoGS
If Enhanced with Barred List check was undertaken, please indicate which barred list this applies to NONE
Adult First Requested
Adult First Received

Response

Employment date from: 01-Sep-2011
Employment date to : 15-Sep-2018
Applicants Current/Most Recent job Title and Grade 138444|Staff Nurse Band 5|N6A|| - NHS|XR05|Review Body Band 5

Reason for Leaving Not Applicable

Are there any warnings on the applicant's record that have not been disposed of? No
If yes please give details (this may include warnings that could have been imposed, if the individual had not left before an investigation had concluded)

Is the applicant currently under investigation for any matter (incl. conduct, or performance) under any of your employment policies? No
If yes, please give details (this may include any formal action that could have been taken, if the individual had not left before the investigation had concluded):

Date of DBS Check last completed 24-Jun-2016
Level of DBS Check undertaken Enhanced
Enhanced with Barred List Check undertaken? Both
Adults First Requested
Adults First Received
Did check return any information requiring further investigation? No
Recent/Outstanding Allegations? No
If yes, please give details of allegations:

Contact Name

Contact email

Contact Telephone Number

Request for Standard Reference Information for MR. Richard Perkins from 504 ESR Hospitals NHS Trust

5.15.14.   Reference Receipt (IAT Standard Reference)

Role holders will receive a notification from the Reference Approver at the approving organisation advising if the reference request has been approved or rejected.

Notification on approval of release of the standard reference:

This will include a PDF copy of the standard reference form with information populated by the approving Organisation from their ESR data set and any additional items included by the approving role holder.

Example notification

An example of the standard reference template::

NHS

504 Kingston PCT

CONFIRMATION OF EMPLOYMENT (WITHOUT SICKNESS ABSENCE) REQUEST

PRE-OFFER REQUEST: to be used where requesting information PRIOR to a conditional offer being made.

Last Name	Perkins	
First Name	Richard	
Middle Name		
Title	MR.	
Employment Dates	From: 01-SEP-2011	To: 15-SEP-2018
Organisation	503 Havering PCT	
Applicants Current/Most Recent job Title and Grade	138444|Staff Nurse Band 5|N6A|| - NHS|XR05|Review Body Band 5	
Applicants Reason for Leaving (if known)	Mutually Agreed Resignation - Local Scheme with Repayment	

1. Are there any current Warnings on the applicant's record?		Y
Details of Current Warnings Details given		
2. Is the Applicant currently under investigation for any matter (Including conduct, capability or performance) under any of your employment policies?		N
If yes, please give details of investigations:		
3. Please provide details of when you last completed a DBS check		
- Date when DBS check was last completed - If Enhanced with Barred List check was undertaken, please indicate which barred list this applies to	RoRS	
- Did the check return any information that required further investigation	N	
4. Are you aware of any recent/outstanding allegations that were made against the applicant that relate to any safeguarding issues/referrals (including any referrals to the DBS)	N	
If yes, please give details:		

NHS

504 Kingston PCT

5. The answers given above have been provided in good faith and are correct to the best of my knowledge and Belief.	
Referee name (please print): David Smith	Telephone number: 01234 567896
Email address : david.smith@trust.nhs.uk	Date : 19-OCT-2018

Data Protection
This form contains personal data as defined by the Data Protection Act. This data has been requested by the Human Resources/Workforce Department exclusively for the purpose of recruitment. The human Resources/Workforce Department must protect any information disclosed within this form and ensure that it is not passed to anyone who is not authorised to have this information.

Notification following an Organisations decision not to release information via ESR

Example notification

Worklist >

🛈 Information
This notification does not require a response.

Request for Reference Information for MR. Ben Smith Declined from 503 ESR Hospitals NHS Trust

OK   Reassign   Request Information

To   502_IAT_REF_RECEIPT_3
Sent 17-Mar-2020 10:04:01
ID   357138

Your request for approval of the release of standard information for the following has been declined:

Title   : MR.
Last Name   : Smith
Middle Name   :
First Name   : Ben
Applicant Number : 18775

5.15.15. Doctors in Training & Trainee Dentist Contract

Role holders will receive a notification for Doctors in Training and Trainee Dentists. This will inform the target organisation of the values of certain elements held for the employee being transferred. The elements included in the notification are as follows:

- Cash Floor Protection NHS
- Annual Leave Appointment NHS

Where the employee does not hold either one or both of the elements at the source organisation. The

notification will state that this is the case and will list the elements that they don't hold.

5.16. Dental Profressional Registration
5.16.1. Dental Professional Registration Role (GDC)- Successful Update and Decision Notification

The Professional Bodies interface sends files to ESR to update the Professional Registration details of General Dental Council members.

This interface can update details on the Registrations and Memberships Extra Information Type only.
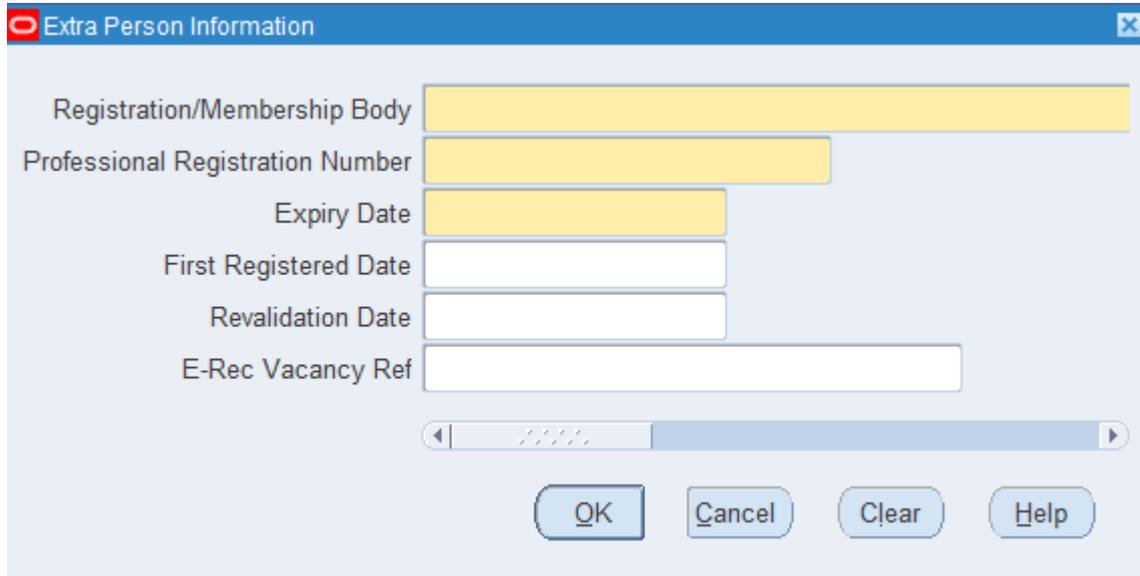
An automatic update can only occur where the professional registration number matches an active employee AND the first name and last name of the employee also match the details obtained from the GDC Public register.

Automatic Update Notification
Where automatic updates have occurred, a notification will be sent to the role holder of the ''Dental Prof Registration' role detailing the changes made.

The notifications are colour coded in Red, Amber or Green depending on whether any registration status issues exist.

Notifications to GDC Registration Role

Red Notification

Amber Notification

Green Notification

Decision Notifications

Where an employee with a matching professional registration number is found, but the name is not an exact match, then a 'Decision' notification will be sent to the role holder requesting a decision as to whether the update is appropriate for the employee. If this update is approved then the update will be applied to the employee's registration record. If the update is rejected then the update will not be applied.

5.16.1.   Dental Professional Registration Role (GDC) - GDC registration number errors

A Workflow notification will be generated to individuals assigned to the GDC registration role on a weekly* basis which lists errors/ issues identified on registration numbers. The notification will list registration numbers that have been found to have an invalid format, are inaccurate or have been assigned incorrectly. An example of the notification has been shown below

Note: The frequency of notifications is monitored and may decrease based on the volume of errors/ anomalies and feedback from GDC registration role holders.

Notification: Invalid, erroneous or incorrectly assigned registration numbers.

The following GDC registrant numbers have been found to have an invalid format, or assigned to incorrect individual(s)* or not to be found on the GDC register. As such the GDC professional Body Interface will not update the registration information for the following records.
Please review and correct after confirming with the GDC public register.

*Other registrants found with the same registration number.

ESR employee Number	Surname	First Name	GDC Professional registration	Type	Reason
8736325	Roberts	Julia	123456	Name differs from GDC Register	Other registrants found with same registration number in ESR
3846736	Crusoe	Robinson	G87654	Invalid format	Contains one or more invalid characters
467890	Cox	Brian	963852	Not Found	Registrant not found in GDC. Please check registration number.

Role holders are required to review the notifications received and correct the registration information after confirming with the GDC register.

5.17.   Health Care Professional Registration Role
5.17.1.   Health Care Professional Registration Role (HCPC) - Successful Update and Decision Notification

The Professional Bodies interface sends files to ESR to update the Professional Registration details of Health Care Professions Council members.

This interface can update details on the Registrations and Memberships Extra Information Type only.
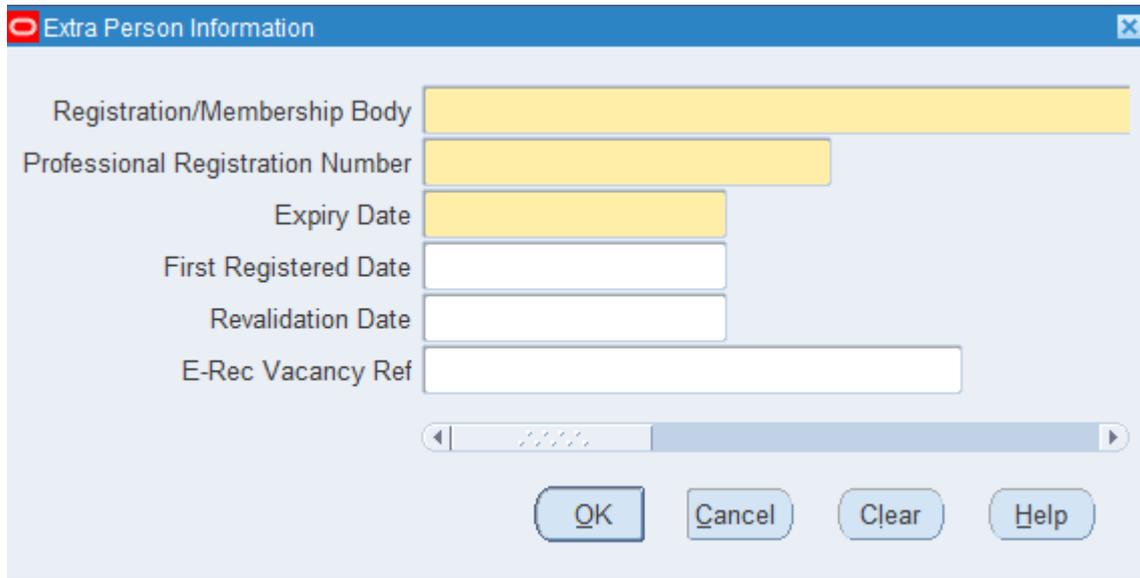
An automatic update can only occur where the professional registration number matches an active employee AND the first name and last name of the employee also match the details obtained from the HCPC Public register.

Automatic Update Notification
Where automatic updates have occurred a notification will be sent to the role holder of the 'HCPC Registration' role detailing the changes made.

The notifications are colour coded in Red, Amber or Green depending on whether any registration status issues exist.

Notifications to HCPC Registration Role

Red Notification

Professional Bodies - Successful Updates RED

[OK] [Reassign] [More Information Request]

To   CCN076, Role
Sent   24-Apr-2018 14:05:47
ID   458466808

Professional Body Interface

The following people have had their professional registration details records updated by the Health and Care Prof Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	HCPC Profession	Registration Status	Public Work Town	Local Anaesthesia	Prescription Only Medicines	Supplementary Prescribing	Modalities	Independent Prescribing
27249191		CCN076,Test01	180 Organisation 237834	180 Location 171300	AS07601	26-DEC-2030	06-JAN-2010	06-JAN-2020	AS Art Therapist	Registered	Test Public Work Town		POM-A	Yes		Yes
27249194		CCN076,Test04	180 Organisation 237834	180 Location 171300	CS07604	23-DEC-2030			CS Clinical Scientist	Registered Interim Conditions of Practice				Yes	Modality3	Yes
27249197		CCN076,Test07	180 Organisation 237834	180 Location 171300	ODP07607	20-DEC-2030		12-JAN-2020	ODP Operating Department Practitioner		Test Public Work Town		POM-S	Yes	Modality1 Modality3	
27249200		CCN076,Test10	180 Organisation 237834	180 Location 171300	PA07610	17-DEC-2030	15-JAN-2010		PA Paramedic	Registered Conditions of Practice			POM-AS	Yes	Modality2 Modality4	
27249203		CCN076,Test13	180 Organisation 237834	180 Location 171300	PYL07613	14-DEC-2030	18-JAN-2010	18-JAN-2020	PYL Practitioner Psychologist	Deregistered Interim Suspension	Test Public Work Town		POM-A	Yes	Modality2 Modality3 Modality4	No
27249206		CCN076,Test16	180 Organisation 237834	180 Location 171300	SW07616	11-DEC-2030	21-JAN-2010	21-JAN-2020	SW Social Worker in England	Registered Caution				Yes		No

Return to Worklist
☐ Display next notification after my response

[OK] [Reassign] [More Information Request]

Amber Notification

Professional Bodies - Successful Updates AMBER

[OK] [Reassign] [More Information Request]

To   CCN076, Role
Sent   24-Apr-2018 14:07:14
ID   458466810

Professional Body Interface

The following people have had their professional registration details records updated by the Health and Care Prof Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	HCPC Profession	Registration Status	Public Work Town	Local Anaesthesia	Prescription Only Medicines	Supplementary Prescribing	Modalities	Independent Prescribing
27249192		CCN076,Test02	180 Organisation 237834	180 Location 171300	BS07602	25-DEC-2030	07-JAN-2010		BS Biomedical Scientist	Registered Caution			POM-AS	No	Modality1	Yes
27249195		CCN076,Test05	180 Organisation 237834	180 Location 171300	DT07605	22-DEC-2030	10-JAN-2010	10-JAN-2020	DT Dietitian	Deregistered Suspension	Test Public Work Town		POM-A	No	Modality4	Yes
27249198		CCN076,Test08	180 Organisation 237834	180 Location 171300	OR07608	19-DEC-2030			OR Orthoptist	Registered				No	Modality1 Modality4	
27249201		CCN076,Test11	180 Organisation 237834	180 Location 171300	PH07611	16-DEC-2030		16-JAN-2020	PH Physiotherapist	Registered Interim Conditions of Practice	Test Public Work Town		POM-S	No	Modality1 Modality2 Modality3	No
27249204		CCN076,Test14	180 Organisation 237834	180 Location 171300	RA07614	13-DEC-2030	19-JAN-2010		RA Radiographer				POM-AS	No	Modality1 Modality2 Modality3 Modality4	No

Return to Worklist
☐ Display next

Green Notification

Professional Bodies - Successful Updates GREEN

[OK] [Reassign] [More Information Request]

To   CCN076, Role
Sent   24-Apr-2018 11:57:00
Closed   24-Apr-2018 12:43:56
ID   458465912
Responder   CCN076, Role

Professional Body Interface

The following people have had their professional registration details records updated by the Health and Care Prof Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	HCPC Profession	Registration Status	Public Work Town	Local Anaesthesia	Prescription Only Medicines	Supplementary Prescribing	Modalities	Independent Prescribing
27249193		CCN076,Test03	180 Organisation 237834	180 Location 171300	CH07603	24-DEC-2030		08-JAN-2020	CH Chiropodist/Podiatrist	Registered Conditions of Practice	Test Public Work Town		POM-S		Modality2	Yes
27249196		CCN076,Test06	180 Organisation 237834	180 Location 171300	HAD07606	21-DEC-2030	11-JAN-2010		HAD Hearing Aid Dispenser	Deregistered Interim Suspension			POM-AS		Modality1 Modality2	
27249199		CCN076,Test09	180 Organisation 237834	180 Location 171300	OT07609	18-DEC-2030	14-JAN-2010	14-JAN-2020	OT Occupational Therapist	Registered Caution	Test Public Work Town		POM-A		Modality2 Modality3	
27249202		CCN076,Test12	180 Organisation 237834	180 Location 171300	PO07612	15-DEC-2030			PO Prosthetist/Orthotist	Deregistered Suspension					Modality1 Modality2 Modality4	No
27249205		CCN076,Test15	180 Organisation 237834	180 Location 171300	SL07615	12-DEC-2030		20-JAN-2020	SL Speech & Language Therapist	Registered	Test Public Work Town		POM-S			No

Return to Worklist
☐ Display next notification after my response

Decision Notifications

Where an employee with a matching professional registration number is found, but the name is not an exact match, then a 'Decision' notification will be sent to the role holder requesting a decision as to whether the update is appropriate for the employee. If this update is accepted then the update will be applied to the employee. If the update is rejected then the update will not be applied.

5.17.2.   Health Care Professional Registration Role (HCPC) - HCPC registration number errors

A Workflow notification will be generated to individuals assigned to the HCPC registration role on a weekly* basis which lists errors/ issues identified on registration numbers. The notification will list registration numbers that have been found to have invalid format, are inaccurate or have been assigned incorrectly. An example of the notification has been shown below

*Note: The frequency of notifications is monitored and may decrease based on the volume of errors/ anomalies and feedback from HCPC registration role holders.

HCPC registration number errors:

The following HCPC registrant numbers have been found to have an invalid format, or assigned to incorrect individual(s) or not to be found on the HCPC register. As such the HCPC professional Body Interface will not update the registration information for the following records.
Please review and correct after confirming with the HCPC public register.

Employee Number	Surname	First Name	HCPC Prof. Reg number	Type	Reason
33392516	Roberts	Jason	CH.12345	Invalid format	Contains one or more invalid characters
55571689	Statham	Derek	BS62930	Assigned to Incorrect registrant	Other registrants found with same

					registration number in ESR.
888149 89	Brown	Jason	33150	Invalid format	The professional code prefix is missing
222117	Dixon	Michael	BS29391	Not found	Registrant not found in HCPC. Please check registration number.

Role holders are required to review the notifications received and correct the registration information after confirming with the HCPC register.

5.18.   Medical Staffing Officer Role

There are two aspects associated with this role, facilitating information provided through both the Doctors in Training (DIT) and the GMC interface.

5.18.1.   Medical Staffing Officer Role (DIT)

Notification Process

On a regular basis a process will scan the NHS Confirmation table on the NHS Hub and generate a notification for each organisation listing all Positions with a status of 'FAIL'.

The notification will be sent to the 'Medical Staffing Officer' role holders in each organisation. The notification will have a warning message as follows which is displayed only if there are one or more records with the status 'FAIL'

This Notification requires user action.

Details of assignments attached to the following positions were extracted, but have not been forwarded on to the appropriate body. The position details will need to be corrected so that this data can be sent to the appropriate body in the next extract.

Then each position with a status of fail will be listed with the following values

The list will be ordered by Position Number.

Position Number 1	Position Title 1	Deanery Post Number 1	Message1 e.g. Deanery Body not recognized from Deanery Post Number supplied
Position Number 2	Position Title 2	Deanery Post Number 2	Message 2
Position Number 3	Position Title 3	Deanery Post Number 3	Message 3

DIT Inbound Notifications – MSO Role

As the DIT interface creates applicants and applications in ESR a number of notifications will be sent to the MSO role as follows and ESR will facilitate the delivery of these notifications from both the DIT System and the NHS Systems Integration Team.

Medical Rotation Notification

The delivery of this notification is controlled by the third party DIT system and will hold a URL link to take the MSO to a table of information held on the NHS Hub.

This notification will hold details about all medical and dental trainees due to commence at the employing authority as part of their rotation.

Change to Projected Hire/End Date Notification

The notification provides the outline of the person concerned and the change in information, advising the role holder to manually amend the record.

Title:	Medical Training - Change to Project Hire/End Date Notification (No specialty supplied)
Trust ID:	180
Date of Notification:	02 May 2018

Body of Notification: Below are details of a trainee who has had their projected hire/end date amended in the LETB system. Please locate the person record and make the appropriate amendment to the application.

Last Name	First Name	GMC Number	Position Number	Position Name	New Projected Hire Date	New Projected End Date
Cheah	Seong Keat	7550272	15336199	Specialty Registrar	05 June 2018	
Chukwuma	Unoma	7000831	15336199	Specialty Registrar		30 June 2019
Chukzema	Anoma	7000898	15336198	Specialty Registrar		24 April 2019
Dheah	Leong Leat	7550297	15336197	Specialty Registrar	07 September 2018	

Update to Medical Rotations – Applicant Withdrawn

This notification will be sent to the MSO when one of the medics identified in the 'Medical Rotation Notification' above subsequently withdraws from that position.

The notification will provide details about the medic concerned so that the MSO can take the necessary action to remove or amend the applicant.

Title:	Medical Training - Applicant(s) Withdrawn (No specialty supplied)
Trust ID:	123
Date of Notification:	02 Feb 2016

Body of Notification: The following medical and dental trainee(s) have been withdrawn from their placement. See details below and take the necessary steps to withdraw their applicant record.

Withdrawn Medical and Dental Trainee					
Last Name	**First Name**	**GMC supplied by LETB**	**Employee/Applicant Number**	**Employee Status**	**Withdrawal Reason**
Smith	Frederick	9999999	Number Unavailable - Person has been removed from the position and does not have a GMC record in this VPD, so unable to identify Applicant/Employee Number		3: Other

Position Details				
ESR Position ID	999999999	**TPN**	AAA/ABCCC/001/YYY/001	
Managing LETB	AAA	**Position Title**	Specialty Trainee Registrar	
Occ Code		**Job**	Specialty Trainee Registrar	
Head/Lead Status	Host Employer	**Organisation**	123 CHI Child Health Acute Medical	
Lead Trust	123	**Location**	General Hospital	

Withdrawn Medical and Dental Trainee					
Last Name	**First Name**	**GMC supplied by LETB**	**Employee/Applicant Number**	**Employee Status**	**Withdrawal Reason**
Turner	Ruth	3333333	6666666 Person has been removed from the position in ESR	Employee	3: Other

Position Details				
ESR Position ID	888888888	**TPN**	AAA/AABDDD/004/A1/001	
Managing LETB	AAA	**Position Title**	Foundation Doctor - Year 1	
Occ Code	004	**Job**	Foundation Doctor - Year 1	
Head/Lead Status	Host Employer	**Organisation**	123 MED Foundation Programme	
Lead Trust	123	**Location**	General Hospital	

Update to Medical Rotations – Replacement Application

This notification will be sent to the MSO when a replacement to the withdrawn applicant above is appointed. It will provide details about the medic to be appointed and the MSO can proceed to hire the applicant as per the usual recruitment process.

The DIT System is responsible for sending these notifications when required.

Title:	Medical Training - Replacement Applicants(s) (General Practice)			
Trust ID:	999			
Date of Notification:	26 Apr 2016			
Body of Notification: The following medical and dental trainee(s) have been appointed into the following position and replaces the applicant identified in the Medical Rotations Notification previously sent. See details below and take the necessary steps to hire this replacement trainee.				
Replacement Medical and Dental Trainee				
Last Name	First Name	GMC Number	Current Placement	Projected Hire Date
Turner	Dave	3456246	999	05 September 2016
Position Details				
ESR Position ID	Not supplied		TPN	YYY/ZZZ12/999/XYZ/005
Managing LETB	ABC		Position Title	Not supplied
Occ Code			Job	
Head/Lead Status			Organisation	
Lead Trust			Location	

Title:	Medical Training - Replacement Applicants(s) (Rehabilitation Medicine)			
Trust ID:	999			
Date of Notification:	26 Apr 2016			
Body of Notification: The following medical and dental trainee(s) have been appointed into the following position and replaces the applicant identified in the Medical Rotations Notification previously sent. See details below and take the necessary steps to hire this replacement trainee.				
Replacement Medical and Dental Trainee				
Last Name	First Name	GMC Number	Current Placement	Projected Hire Date
Brown	Julie	4567890	333	20 August 2016
Position Details				
ESR Position ID	Not supplied		TPN	YYY/ZZZZZ/099/XYZ/333
Managing LETB	ABC		Position Title	Not supplied
Occ Code			Job	
Head/Lead Status			Organisation	
Lead Trust			Location	
Replacement Medical and Dental Trainee				
Last Name	First Name	GMC Number	Current Placement	Projected Hire Date
Smith	Roy	1234567	999	01 June 2016
Position Details				
ESR Position ID	Not supplied		TPN	YYY/ZZZZZ/099/XYZ/333
Managing LETB	ABC		Position Title	Not supplied
Occ Code			Job	
Head/Lead Status			Organisation	
Lead Trust			Location	

New Starter Reminder – Medical and Dental Trainees Notification
This notification is sent to the MSO Role reminding them that an applicant record has been created and may still need action. This notification will be initiated by the NHS Interface Hub, by using the projected start date field. This notification should be limited to only include those in the medical and dental staff group attached to a position where a DPN has been recorded.

It will be sent 5 working days before the projected hire date detailed in the applicant record.

Title:	Deanery - Jnr. Doctor Starter(s) (999)
Trust ID:	999
Date of Notification:	01/03/2016

Body of Notification: The following medical and dental trainees are due to commence their new placement within the next 5 days. You should ensure that the necessary steps have been taken to hire them into their new positions on the hire date. Please note: If the trainee already occupies a post within your organisation, please remember to action their current employee assignment accordingly. If you are the host trust for the trainee, please ensure that you hire the applicant as an **honorary** employee.

Position Number	Last Name	First Name	GMC Number	Projected Hire Date
32557334	Heathcliffe	Simon	1234567	02/03/2016

Title:	Deanery - Jnr. Doctor Starter(s) (123)
Trust ID:	999
Date of Notification:	01/03/2016

Body of Notification: The following medical and dental trainees are due to commence their new placement within the next 5 days. You should ensure that the necessary steps have been taken to hire them into their new positions on the hire date. Please note: If the trainee already occupies a post within your organisation, please remember to action their current employee assignment accordingly. If you are the host trust for the trainee, please ensure that you hire the applicant as an **honorary** employee.

Position Number	Last Name	First Name	GMC Number	Projected Hire Date
24623526	Bennett	Graham	2345678	02/03/2016

Title:	Deanery - Jnr. Doctor Starter(s) (AA)
Trust ID:	999
Date of Notification:	01/03/2016

Body of Notification: The following medical and dental trainees are due to commence their new placement within the next 5 days. You should ensure that the necessary steps have been taken to hire them into their new positions on the hire date. Please note: If the trainee already occupies a post within your organisation, please remember to action their current employee assignment accordingly. If you are the host trust for the trainee, please ensure that you hire the applicant as an **honorary** employee.

Position Number	Last Name	First Name	GMC Number	Projected Hire Date
98249571	Bebbington	Neil	3456789	02/03/2016
87686554	Shaw	Matilda	9837294	02/03/2016
34984763	Wood	Richard	1239874	02/03/2016
49578393	Evens	Sally	3336661	02/03/2016

Title:	Deanery - Jnr. Doctor Starter(s) (ABCD\)
Trust ID:	999
Date of Notification:	01/03/2016

Body of Notification: The following medical and dental trainees are due to commence their new placement within the next 5 days. You should ensure that the necessary steps have been taken to hire them into their new positions on the hire date. Please note: If the trainee already occupies a post within your organisation, please remember to action their current employee assignment accordingly. If you are the host trust for the trainee, please ensure that you hire the applicant as an **honorary** employee.

Position Number	Last Name	First Name	GMC Number	Projected Hire Date
24623456	Edmunds	Piers	4567890	02/03/2016

New Training Position created within DIT System
A notification is sent to the MSO Role Holder highlighting that a new position record has been created within the DIT system. This notification will be initiated by the receipt of a type 5 notification – New Training Position created within DIT system, where a new post is created and associated with the VPD.

Title:	Medical Training - New Training Post Created by LETB (General Practice)
Trust ID:	999
Date of Notification:	26 Apr 2016

Body of Notification: The following position(s) have been created by LETB with effect from . Please contact the LETB directly to establish full details, so that this post can be setup within ESR.

Training Post Number	LETB/Deanery	Site/Location
YYY/C99999/999/EEEEE/003	ABC LETB	Medical Centre
YYY/C99999/999/EEEEE/005	ABC LETB	Health Centre

Title:	Medical Training - New Training Post Created by LETB (Rehabilitation Medicine)
Trust ID:	999
Date of Notification:	26 Apr 2016

Body of Notification: The following position(s) have been created by LETB with effect from . Please contact the LETB directly to establish full details, so that this post can be setup within ESR.

Training Post Number	LETB/Deanery	Site/Location
YYY/FFFFF/999/DDD/002	ABC LETB	Generic Hospital

Duplicate and/or Erroneous Positions

This notification will be made available to the Medical Staffing officer via ESR. It will highlight duplicate and/or erroneous positions that have been created in ESR. These are instances where positions are created with different position numbers and associated with the same DPN. Duplicate positions can be actioned as appropriate on ESR by the MSO i.e. by selecting the resultant position ID and setting an effective end date or by deleting the position. (The former is the recommended action). Erroneous DPNs or Position titles need to be corrected. Brief guidance on the error will be provided in the notification.

This notification requires action.

Where the position has been created erroneously or is redundant, the user is required to end date and/or correct the position.

Duplicate and / or Erroneous Doctor in Training Positions in ESR

The following **duplicate** Positions have been observed in ESR. This means that there are multiple positions associated with a single Training / Deanery Post Number. Those which are not required should be End Dated.
Erroneous positions are those where the DPN and/or position title contains erroneous characters or is not in the expected format.
Please review and correct the positions listed below as appropriate.

Duplicate Positions

Deanery Post Number	Position Number	Position Title
EOE/RGT00/003/SPR/001	5498763	Specialty Registrar
EOE/RGT00/003/SPR/001	5498765	Specialty Registrar
EOE/RGT00/084/SPR/001	5498785	Specialty Registrar (Core Trainee)
EOE/RGT00/084/SPR/001	5498790	Specialty Registrar (Core Trainee)
EOE/RGT00/074/SPR/001	5476834	Specialty Registrar (Core Trainee)
EOE/RGT00/074/SPR/001	5477894	Specialty Registrar (Core Trainee)

Erroneous Positions

DNM/SUPERNUMERARY Minimum of 4 parts required	8346736	3846736|D-Specialty Registrar (Sup)|080|Clinical Radiology
MAN/TOBECONFIRMED Minimum of 4 parts required	8383632	9583632|D-Specialty Registrar (ST3+)|091|Neurology
EOEXRCX00/052/FY7/701 First part must have 3 characters	8374633	23746333|D-Specialty Registrar (Sup)|080|Clinical Radiology

5.18.2.   Medical Staffing Officer Role (GMC)

The Professional Bodies interface sends files to ESR to update the Professional Registration details of General Medical Council members.

This interface can update details on the Registrations and Memberships Extra Information Type only.

An automatic update can only occur where the professional registration number matches an active employee AND the Date of Birth of the employee AND first OR last name of the employee match the details in the file from the professional body.

Automatic Update Notification
Where automatic updates have occurred a notification will be sent to the role holder of the 'Medical Staffing Officer' role detailing the changes made.

The notifications are colour coded in Red, Amber or Green depending on whether any registration status issues exist.

Notifications to MSO

Worklist

View [Open Notifications ▾] [Go]

Select Notifications: [Open] [Reassign] [Close]   ◁ Previous 1-25

Select All | Select None

Select	From	Type	Subject	Sent	
☐		XX Professional Bodies Interface	Professional Bodies - Successful Updates GREEN	16-Oct-2017	
☐		XX Professional Bodies Interface	Professional Bodies - Successful Updates AMBER	14-Oct-2017	
☐		XX Professional Bodies Interface	Professional Bodies - Successful Updates RED	14-Oct-2017	
☐		XX Professional Bodies Interface	Professional Bodies - Decision Required	14-Oct-2017	

Red Notification

Professional Bodies - Successful Updates RED

ℹ Information
This notification does not require a response.

To   Leese, Vivian
Sent   15-Sep-2017 05:14:04
ID   389886495

Professional Body Interface

The following people have had their professional registration details records updated by the General Medical Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	Registration Status	Speciality 1	Sub Speciality 1	Speciality 2	Sub Speciality 2	Speciality 3	Sub Speciality 3	Speciality 4	Sub Speciality 4	Spe 5
26512345	1234577	Bradley,Derek	504 Surgery	ESR Hospital	123456	05-DEC-2017	05-DEC-2001		Registered no Licence	Urology								

Amber Notification

Professional Bodies - Successful Updates AMBER

ℹ Information
This notification does not require a response.

To   Leese, Vivian
Sent   15-Sep-2017 05:14:04
ID   389886495

Professional Body Interface

The following people have had their professional registration details records updated by the General Medical Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	Registration Status	Speciality 1	Sub Speciality 1	Speciality 2	Sub Speciality 2	Speciality 3	Sub Speciality 3	Speciality 4	Sub Speciality 4	Spe 5
26512345	1234577	Bradley,Derek	504 Surgery	ESR Hospital	123456	05-DEC-2017	05-DEC-2001		Registered with Licence	Urology								

Green Notification

Decision Notifications

Where an employee with a matching professional registration number is found, but the Date of Birth and/or name is not an exact match, then a 'Decision' notification will be sent to the role holder requesting a decision as to whether the update is appropriate for the employee. If this update is approved then the update will be applied to the employee's registration record. If the update is rejected then the update will not be applied.

Note:
Three scenarios have been observed around the Given name in GMC.
Scenario 1: Where the given name in GMC is a single word or single name.
Scenario 2: Where the given name in GMC consists of a first name and middle name
Scenario 3: Where the given name in GMC is a genuine first name but comprises of two or more names separated by a space(s) Eg. Sarah Jane.

Pre-processing on ESR attempts to account for all three scenarios and will only generate a Decision (mismatch) Notification if the 'Given Name' in the GMC register does not match with the 'First Name' held in ESR.

Notifications: Newly activated and Full Registrations

Medical Staffing Teams currently repeatedly refer to the GMC website for each newly qualified doctor to ascertain if he/ she has an active registration or if they have achieved a full registration status for the following reasons:

- In order for a newly qualified doctor to commence the foundation medical training programme, it is necessary that their GMC registration status be **activated**.
- In order to embark on the second year of foundation medical training programme, newly qualified doctors need to have a **full registration status**.

This functionality utilises the existing GMC interface but compare the current day's GMC file with the previous day's GMC file to determine those that have been newly activated and those that have achieved full registration.

Description of Notification

Notification: Activation of Registration
This notification will list the newly qualified doctors whose registration has been activated by the GMC and whose registration status equals 'Provisionally Registered with License' as shown below:

Newly Qualified Doctor: Activation of registration

GMC registrations for the following individuals have been newly activated

Employee number	Surname	First Name	Professional Registration number	GMC Registration status	Provisional Registration date	Full registration date	Conditions	Undertakings	FTP
145667	Igor	Man	44B5678T	Provisionally Registered with License	01.July.2018		No	No	No
123887	Adams	James	66A5432C	Provisionally Registered with License	02 July 2018		No	No	No

Notification: Full Registration

This notification will list the doctors who have secured a full registration with the GMC i.e. where the registration status has changed from 'Provisionally registered with License' to 'Registered with License' as shown below:

Newly Qualified Doctor: Achieved full registration

The following newly qualified doctors have achieved full registration status

Employee number	Surname	First Name	Professional Registration number	GMC Registration status	Provisional Registration date	Full registration date	Conditions	Undertakings	FTP
155334	Statham	Derek	66A5432C	Registered with License	01.July.2017	01.July.2018	No	No	No
122334	Robertson	Julia	57B3256X	Registered with License	02 July 2017	03.July.2018	No	No	No

The notifications will be generated as and when the above occur.

5.19.   Pharmacy Professional Registration Role
5.19.1.   Pharmacy Professional Registration Role (GPhC) - Successful Update and Decision Notification

The Professional Bodies interface sends files to ESR to update the Professional Registration details of General Pharmaceutical Council members.

This interface can update details on the Registrations and Memberships Extra Information Type only.

An automatic update can only occur where the professional registration number matches an active employee AND the first name and last name of the employee also match the details obtained from the GPhC Public register.

Automatic Update Notification

Where automatic updates have occurred, a notification will be sent to the role holder of the 'Pharmacy Prof Registration' role detailing the changes made.

The notifications are colour coded in Red, Amber or Green depending on whether any registration status issues exist.

Notifications to GPhC Registration Role

Red Notification

Amber Notification

Professional Bodies - Successful Updates AMBER

To   CCNTwoFourFive, Notif-GPhC
Sent   31-Jan-2021 09:41:25
ID   858574542

Professional Body Interface

The following people have had their professional registration details records updated by the General Pharmaceutical Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	Pharmaceutical Profession	Status	Supplementary Prescriber	Independent Prescriber	Postal Town	Superintendent	Fitness to Practice Info
21000082		CCNTwoFourFive,EmpB	349 Organisation 631525	349 FU Fndnk Aitfyijtm	5000005	30-DEC-2021	02-JAN-2021	29-NOV-2021	Pharmacist	Registered	Yes	Yes	Warwick	Ulrika	Yes

Return to Worklist
☐ Display next notification after my response

Green Notification

Professional Bodies - Successful Updates GREEN

To   CCNTwoFourFive, Notif-GPhC
Sent   31-Jan-2021 09:41:26
ID   858574543

Professional Body Interface

The following people have had their professional registration details records updated by the General Pharmaceutical Council.
Please review these changes and report any issues to the appropriate Professional Body.

Employee Number	Applicant Number	Last Name, First Name	Organisation	Location	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	Pharmaceutical Profession	Status	Supplementary Prescriber	Independent Prescriber	Postal Town	Superintendent	Fitness to Practice Info
21000083		CCNTwoFourFive,EmpC	349 Organisation 631525	349 FU Fndnk Aitfyijtm	5000007	30-DEC-2021	02-JAN-2021	29-NOV-2021	Pharmacist	Registered	Yes	Yes	Warwick	Ulrika	Yes

Return to Worklist
☐ Display next notification after my response

Decision Notifications

Where an employee with a matching professional registration number is found, but the name is not an exact match for what is detailed on the GPHC register, then a 'Decision' notification will be sent to the role holder requesting a decision as to whether the update is appropriate for the employee. If this update is approved, then the update will be applied to the employee's registration record. If the update is rejected, then the update will not be applied.

Worklist >
Professional Bodies - Decision Required

To   CCNTwoFourFive, Notif-GPhC
Sent   31-Jan-2021 09:33:46
ID   858574536

Professional Body Interface

This record was sent by the General Pharmaceutical Council. The person listed has the same Professional Registration Number as the update record but the name or date of birth does not match.

ESR Person Details

Last Name, First Name	Date of Birth	Professional Registration Number	Employee Number	Applicant Number	Organisation	Location
CCNTwoFourFive,EmpA	01-JAN-1978	2000002	21000062		349 Organisation 631525	349 FU Fndnk Aitfyijtm

Interface Update Record

Last Name, First Name	Date of Birth	Professional Registration Number	Expiry Date	First Registered Date	Revalidation/NMC CPD Prep. Exp Date	Pharmaceutical Profession	Status	Supplementary Prescriber	Independent Prescriber	Postal Town	Superintendent	Fitness to Practice Info
CCNTwoFourFive-Man,EmpA-Des	01-JAN-1978	2000002	30-DEC-2021	02-JAN-2021	29-NOV-2021	Pharmacy Technician	Registered	No	No	Warwick	Ulrika	No

Can you review these details and decide whether this update is appropriate for this person. If it is not appropriate then there may be a data issue with the professional registration number held in ESR for this person. This should be reviewed with the Professional Body.

Action History

Num	Action Date	Action	From	To	Details
1	31-JAN-2021 09:33:46	Submit	TSPENCER	CCNTwoFourFive, Notif-GPhC	

Return to Worklist
☐ Display next notification after my response

5.19.2.   Pharmacy Professional Registration Role (GPhC) - GPhC registration number errors

A Workflow notification will be generated to individuals assigned to the GPhC registration role on a weekly* basis which lists errors/ issues identified on GPhC registration numbers. The notification will list registration numbers that have been found to have an invalid format, are inaccurate or have been assigned incorrectly. An example of the notification has been shown below:

*Note: The frequency of notifications is monitored and may decrease based on the volume of errors/ anomalies and feedback from GPhC registration role holders.

Notification: Invalid, erroneous or incorrectly assigned registration numbers.

The following GPhC registrant numbers have been found to have an invalid format, or assigned to incorrect individual(s)* or not to be found on the GPhC register. As such the GPhC Professional Body Interface will not update the registration information for the following records.

Please review and correct after confirming with the GPhC public register.

*Other registrants found with the same registration number.

ESR employee Number	Surname	First Name	GPhC Professional registration	Type	Reason
8736325	Roberts	Julia	2134567	Name differs from GPhC Register	Other registrants found with same registration number in ESR
3846736	Crusoe	Robinson	G512346	Invalid format	Contains one or more invalid characters

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Role holders must review the notifications received and correct the registration information following confirmation with the GPhC register.

5.20. Occupational Health Admin

Occupational Health data capture is possible using ESR using a role called "Occupational Health Admin", to enable staff assigned this to receive notifications when the Occupational Health Inter-Authority Transfer (IAT) dataset arrives.

The IAT process facilitates the portability of Occupational Health vaccinations/tests data at applicant stage. OH Departments will be notified of this transfer via a notification that will be restricted to the Occupational Health Admin role.

Where Health Assessment Data exists in the source VPD (in the highlighted section below) it can be copied across to the applicant record by clicking on the Copy OH Assessment Data button. This does not affect the existing data items that are held on this notification as these are already transferred and copied across once the notification is sent.

Pre-IAT FYI Notification for Richard Perkins

OK | Copy OH Assessment Data | Reassign

To **XXHR_IAT_ADHOC_OH_APPROVER8**
Sent **17-Jan-2019 10:23:57**
ID **348749**
An IAT request has been approved for Richard Perkins from 503 ESR Hospitals NHS Trust.

Basic Person

Applicant Number: 18794
Employee Number:
Date Of Birth: 01-MAR-1975
NI Number: NS304050C

As part of the occupational health pre-employment checking process, the following occupational health data has been transferred and copied across for this person.

No Tuberculosis immunisation information on record.

No Hepatitis B Injection information on record.

No Hepatitis B information on record.

No Hepatitis C information on record.

No Varicella immunisation information on record.

No Typhoid immunisation information on record.

NHS OH Latex Details

Latex Allergy/RAST Confirm Dat			Type 1	Type 1V
01-FEB-2017			No	No

No Body Fluid Inoculation Incident information on record.

NHS OH Hep A Injections

Injection 1 Date	Injection 1 Class	Injection 2 Date	Injection 2 Class
01-FEB-2014	0 - Full Date		

No Influenza vaccination information on record.

NHS OH DTP Details

DTP Immunisation	DTP Immunisation Class	Diphtheria Immunisation	Diphtheria Immunisation Class	Tetanus Immunisation	Tetanus Immunisation Class	Polio Immunisation	Polio Immunisation Class	Number of DTP Injections
01-FEB-2017	0 - Full Date	01-FEB-2017	0 - Full Date	01-FEB-2017	0 - Full Date	01-FEB-2017	0 - Full Date	

NHS Occupational Health Assessment Details

The following data items can be copied from the previous employer. To add these items please click the Copy OH Assessment Data button.

OH Record Date	Assessment Type	OH Status	OH Conditions	EPP Clearance?	OH Clearance Unit	Medical Clearance Date	EPP / OH Review Date
01-FEB-2017	Health Assessment - Recruitment	Cleared		Yes		01-FEB-2017	01-FEB-2017

All available OH data has been copied across for this person.

5.21. Applicant Details

Applicants can update information in the My Applicant Details portlet which would usually be sent for approval to their supervisor. For example, changes to name and work email address.

Rather than this information being directly updated in ESR, a notification is sent to the Applicant Details role holder informing them of the requested changes, they will then have the option to update this information in ESR if required.

5.22. Employee Competence Profiles Across Organisations

Employee competence profiles are synchronised when a national competence is added or updated, and where an employee has multiple employments across different organisations.

To qualify as an additional employment the person must have a person record separate from the one where the competence change was recorded.

- This person record must have either an active assignment record or an active application record at status Offer Accepted.
- Person matching will be done using a combination of NHS Unique Identifier OR NI Number and Date of Birth.
- The process to generate notifications will run on a nightly basis

To assist organisations in identifying where competences have been awarded, a segment 'Awarding Organisation' has been added to the Add'l Competence Element Det's DFF.
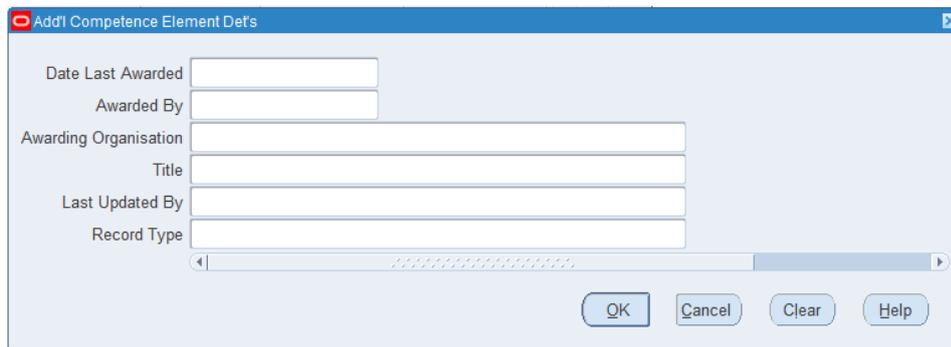
Where one or more additional employments are found for a person then a new notification will be sent to the Multi-Employer Comp Update role holder at each additional employer. For the notification to be sent, at least one person must be assigned to the role

The role holder can then:

- Accept all competence updates

- Reject all competence updates

- Accept/Reject on an individual basis using the Competence Update form

Competence Profile Update Notification for CCNSyncCompOne, CCNSyncCompTestOne, Mr.

Approve (All)   Reject (All)   Reassign

To   XXHR_XXMNCEMP_188_320031947_18534050
Sent   03-Jul-2019 08:57:38
ID   616063041

CCNSyncCompTestOne CCNSyncCompOne has had an update to their competence profile in 225 - 225 Organisation 44622.

Last Name   : CCNSyncCompOne
First Name   : CCNSyncCompTestOne
Title   : Mr.
Employee Number : 27836301
Applicant Number :
Position Number   : 30466412
Role   : Manager
Staff Group   : Healthcare Scientists
Organisation   : 188 Organisation 118396

Competence Updates from Additional Employment

Competence Name	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title
NHS|CSTF|Blood component transfusion: Blood sampling - No Specified Renewal|	0 - Not Assessed	01-JAN-2019				225 Organisation 44622	
NHS|CSTF|Leadership in transforming dementia care - Tier 3 - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019			225 Organisation 44622	
NHS|NOS|Forensic Mental Health FMH10|	1 - Attained	01-JAN-2019	30-JUN-2019	03-JUL-2019	User	225 Organisation 44622	
NHS|REVAL|Revalidation - 5 Years|	1 - Attained	01-JAN-2019	31-DEC-2023			225 Organisation 44622	

Competence Requirements for this person

Competence Name	Low	High	Essential	Date From	Date To
NHS|CSTF|Fire Safety - 1 Year|			Yes	01-JUL-2018	
NHS|CSTF|Information Governance and Data Security - 1 Year|	0 - Not Assessed	0 - Not Assessed	Yes	01-JUL-2018	

Current Competence Details for this person

Competence Name	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title	Last Updated By
NHS|CSTF|Fire Safety - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019	02-JUL-2019	User	225 Organisation 44622	225	188MERCU|CCNSyncCompFifty, Mr. CCNSyncCompTestFifty

Action History

Num	Action Date	Action	From	To	Details
1	03-JUL-2019 08:57:39	Submit	SNARAYAN	XXHR_XXMNCEMP_188_320031947_18534050	

References

📄 Competence Update Form

Submit   Cancel

Competence Updates from Additional Employment

	Competence Name ▲	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title
☑	NHS|CSTF|Blood component transfusion: Blood sampling - No Specified Renewal|	0 - Not Assessed	01-JAN-2019				225 Organisation 44622	
☑	NHS|CSTF|Leadership in transforming dementia care - Tier 3 - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019			225 Organisation 44622	
☐	NHS|NOS|Forensic Mental Health FMH10|	1 - Attained	01-JAN-2019	30-JUN-2019	03-JUL-2019	User	225 Organisation 44622	
☐	NHS|REVAL|Revalidation - 5 Years|	1 - Attained	01-JAN-2019	31-DEC-2023			225 Organisation 44622	

Competence Requirements

Competence Name ▲	Low	High	Essential	Date From	Date To
188|LOCAL|Accredited Checking Pharmacy Technician (ACPT)|			Yes	01-JUL-2018	
188|LOCAL|Advanced Life Support (Adult) 4 Years|			No	01-JUL-2018	
NHS|CSTF|Fire Safety - 1 Year|			Yes	01-JUL-2018	
NHS|CSTF|Information Governance and Data Security - 1 Year|	0 - Not Assessed	0 - Not Assessed	Yes	01-JUL-2018	

Current Competency Details

Competence Name ▲	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title	Last Updated By
NHS|CSTF|Fire Safety - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019	02-JUL-2019	User	225 Organisation 44622	225	188MERCU|CCNSyncCompFifty, Mr. CCNSyncCompTestFifty

Once actioned (either directly from the notification or from the form), the notification will close for all other role holders in the additional employer organisation.

A confirmation notification will then be sent back to the source employee outlining the action taken for each competence listed in the notification.

ⓘ Information
This notification does not require a response.

Multiple Employer Competence Update

OK   Reassign   Request Information

To   CCNSyncCompOne, CCNSyncCompTestOne
Sent   03-Jul-2019 11:20:37
ID   616063076

The recent changes to your competence profile, outlined below, were sent to 188 188 Organisation 87747

The following actions have been taken for your competence profile at this organisation.

Competence Name	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title	Action Taken
NHS|NOS|Forensic Mental Health FMH10|	1 - Attained	01-JAN-2019	30-JUN-2019	03-JUL-2019	User	225 Organisation 44622		Rejected, update not applied
NHS|CSTF|Leadership in transforming dementia care - Tier 3 - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019			225 Organisation 44622		Rejected, update not applied
NHS|CSTF|Blood component transfusion: Blood sampling - No Specified Renewal|	0 - Not Assessed	01-JAN-2019				225 Organisation 44622		Accepted, update applied
NHS|REVAL|Revalidation - 5 Years|	1 - Attained	01-JAN-2019	31-DEC-2023			225 Organisation 44622		Accepted, update applied

The following Action Status values can be returned to the employee

Action Taken	Meaning
Failed, no role holder defined at additional employer.	Notification could not be sent to additional employer. No updates have been applied.
Accepted, no update required	Additional Employer accepted this change but the record at their organisation already existed and had the same or higher level and the same or later end date. No updates have been applied.
Accepted, update applied	Additional Employer accepted this change and the record at their organisation has been updated to match the record sent.
Rejected, update not applied	Additional Employer rejected the change. No updates have been applied.

5.23. Internet Access Approval

Allocation of this role allows the holder to approve requests from employees for remote access to Employee Self Service and Employee Self Service (Limited Access) via https://my.esr.nhs.uk where they have made a decision not to enable 'Automatic Internet Access'

The approval of remote access requests from employees can also be granted by the manager using the self-service hierarchy; this is the default mechanism for routing approvals where the supervisor hierarchy has been entered.

Organisations must have at least one user in the Internet Access Approval Role where the supervisor hierarchy is not in place.

Employee requests Internet Access by clicking on Manage Internet Access from the Portal

A password is only required for Smartcard users.

Manager can then choose to approve or reject the request.

Request is approved and a notification sent to the initiator, including a link to https://my.esr.nhs.uk

Worklist >

Logged In As 504PSANDWELL05

Re: Request For Internet Access to ESR

ℹ Information
This notification does not require a response.

OK

To **Sandwell, Paula**
Sent **07-Apr-2017 15:03:58**
ID **324028**

Your request for internet access to ESR has been approved. You may now access your account from outside of your organisation by visiting the following link: http://esrlrnappa

Please ensure you enter the username and password you chose when requesting internet access to ESR.

If you forget your internet access password or wish to reset it at any time, please login to ESR and **select 'Request Internet Access'** to maintain your internet access account details.

OK

Return to Worklist
☐ Display next notification after my response

If the organisation so wishes, they can choose to automatically approve all requests for remote access by selecting one of the options held against the Auto User Creation field. Full details of how to do this can be found in the ESR User Manual

Where a user resets their Internet Access password

≡ NHS My Access   Logout Portal

Reset Password

* Old Password ●●●●●●
* New Password ●●●●●●
* Retype Password ●●●●●●

Submit Cancel

Logout
Switch to Mobile

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They will receive the following notification.

Internet Password Reset

ℹ Information
This notification does not require a response.

OK Reassign Request Information

From **SYSADMIN**
To **Joshi, Neela**
Sent **20-Jul-2017 12:56:57**
ID **351336963**
The password for Internet access to your ESR account was reset at 20-JUL-2017 12:56:57 . If you did not make this change then please advise your system administrator.

OK Reassign Request Information

Return to Worklist
☑ Display next notification after my response

5.24. Maternity Return Date Notification

The Maternity Return notification identifies those employees that are due to return to work from maternity leave at 61 days and 21 days from system date (i.e. the process run date). The maternity return date is the employee's absence Projected End Date. If the Projected End Date is not found then the maternity record's Actual End Date is used. Additionally a Short Notice Notification will list all employee assignments where there has been an update to the return date which results in the new return date being less than 30 days from the current date as at the time of the update

The four separate roles allow users to receive notifications for specific staff groups as required (these roles have the same definitions and logic as those used for the expiry roles). Where users were associated with the original 'HR Maternity Return Ntf' role they will now be associated with the 'Maternity Rtn Ntf - All' role.

The four maternity return notifications:

- Maternity Rtn Ntf - All
- Maternity Rtn Ntf - N&M
- Maternity Rtn Ntf - M&D
- Maternity Rtn Ntf – General

The Maternity Projected End Date (or Actual End Date) field must be completed for the notification to be triggered.

Notifications are received

Example 21 Day Notification

Maternity Return Date Notification - 21 Days

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To **Leese, Vivian**
Sent **20-Jul-2017 10:40:07**
ID **347401**
The following employees are returning to work within 21 days having been on maternity leave.

Staff Group	Organisation	Last Name	First Name	Title	Assignment Number	Position Number	Position Description	Occupation Code	Location	Grade Description	Primary Flag	Absence End Date	Intends To Return	Maternity Return Date
Nursing and Midwifery Registered	504 Ward 10	Joshi	Neela	Mrs.	20095060	84608	Staff Nurse Band 6	N6A	ESR Hospital	NHS|XR06|Review Body Band 6	Y	10-AUG-2017	Y	

The relevant managers have also been notified.

[OK] [Reassign] [Request Information]

☐ Display next notification after my response

5.25.   New Starter Notification

The recipients of this notification are notified of the relevant new starters that are due to join the organisation within a 14 day period. New starters are identified as applicants with a projected hire date 14 days after the current date, or employees with a latest hire date 14 days from the current date. In addition a notification will also be triggered to holders of the new starter notification role on the actual day of hire or on the day the new starter was added to ESR, if the start date is in the past.

The New Starter Notification works in two different ways.

1)   A new starter notification is sent to all system users who have been identified in the Maintain Roles area of the system administration URPs.

5.26.   NHS CRS RA Agent

There are three roles related to dealing with messaging from UIM.

- NHS CRS Add Applicant Error
- NHS CRS Add Employee Error
- NHS CRS RA Agents

Following the activation of the ESR interface to UIM it is possible that errors relating to interface functionality may be reported by ESR. These errors can be broadly categorised into business errors and technical errors and these role holders will receive a variety of messages from UIM.

Business Errors

Business errors are typically identified as those that are reported by ESR and action can be taken by users to rectify the problem. Business errors are reported to ESR users via workflow notifications or via the RA workbench and largely made up of:

a) **Data errors** caused by the format of data held in ESR not matching the validation required by UIM to function correctly The vast majority of these errors will contain a clear 'plain English' description (i.e. not technical) providing instructions of the actions required to resolve the error.

b) **Requests being rejected by an RA Agent in UIM**. The RA Agent will typically provide the reason for the message being rejected which will be displayed in the ESR workflow notification.

Technical Errors

Technical errors are typically those generated where a communication or technical error has occurred within the infrastructure. These could be generated by network failures, server failures (such as a database being unavailable) and messages not meeting the formatting standards imposed by each respective system. As ESR and UIM are both national NHS CRS compliant systems communicating through the Health and Social Care Network (HSCN), local technical issues, such as local connection with HSCN, will need to be identified and resolved by local IT service desks.

5.26.1.   NHS Bank Inactivation Concurrent Process

The NHS CRS RA Agent Role Holder also receives a list of assignments where the Assignment Status has been updated to 'Inactive Not Worked' by the NHS Bank Inactivation Concurrent Process.

5.27. NHS CRS Add Applicant Errors and NHS Add Employee Errors

There are two workflow notification roles available in ESR which ensure ESR users are notified of any errors returned from UIM in relation to "Create NHS CRS Person" and "Re-open NHS CRS Person" requests:

The role **'NHS CRS Add Employee Errors'** will receive workflows related to **Employees** and External Shared Service Staff;

The role **'NHS CRS Add Applicant Errors'** will receive workflows related to **Applicants**.

If a request to 'Create NHS CRS Person' or 'Re-open NHS CRS Person' is rejected by UIM the NHS CRS authentication status will be set to 'Rejected' on the RA Workbench and a workflow notification sent to ESR users assigned the above roles (as illustrated below).

CRS Business Error

To   **T01-45 NHS CRS Add Employee Errors**
Sent   **15-Jun-2011 09:23:09**
ID   **83149**

The "Create NHS CRS Person" request has failed for the following person:

CRTwoOneFiveFourSeven, Mr. Employee (Employee Number: 20000402)

Error details

CRS Error Level	5
CRS Error Date	15-JUN-2011
CRS Reporting Application	AddReopenUser
CRS Reporting Application Version	1.11
CRS Reporting Application ID	40001
CRS Error Context	Calling CRS
CRS Error Code	ESRUIM-00003 A business exception has been reported by UIM
CRS Error Message	0024 Required value - 'nhsPassportNumber' or 'nhsNiNumber' (or both) must be supplied

Return to Worklist
☐ Display next notification after my response

5.28.   Nursing Prof Registration
5.28.1.   Registration Updates

The Professional Bodies Interface includes updated files from the Nursing and Midwifery Council (NMC) and information sent to holders of the 'Nursing Professional Registration Role'. At least one user in each organisation must be assigned to this role for details of updates to be communicated.

Where NMC registration requirements are recorded against the ESR position, these will be used to determine the colour of an update notification. If the person and post requirements match perfectly, then the update will be applied as a 'green' notification. However, even if these items match, where the person update contains FTP Issues, Conditions or Cautions, Disposals[Note] or Multiple FTP Sanctions, then the update will be applied as an amber notification. If there is a mismatch against the person and post requirements, the update will be processed as a 'red' notification.

Note: NMC refers to Warning Issued, Warning Issued Under Review, Undertakings Agreed, Undertakings

Agreed Under Review as disposals. These disposals are a result of revisions made to the Fitness To

Practise process under Section 60 changes to the Nursing & Midwifery Order of 2001 (28 July 2017).The

ITP and SOM indicators have been removed as part of an earlier legislation of the section 60 order

introduced in 31 March 2017.

If there are no post registration requirements then the updates use a set of rules to determine the Red Amber Green (RAG) status detailed below, and take into account the Cautions/Conditions and Disposals/ Multiple FTP Sanction fields

Red Status – The nurse/midwife may or may not have fitness to practise considerations but is not eligible to practise in one or more of their Registration Sub Parts. Users should refer to the NMC website for further information.

Amber Status – The nurse/midwife has fitness to practise considerations on one or more Registration Sub Parts but is still eligible to practise. The Notification will also be amber where the nurse has Conditions or Cautions or Disposals associated with their overall NMC Registration. Users should refer to the NMC Website for information regarding the registration status.

Green Status – The nurse/midwife has no fitness to practise considerations and is eligible to practise in all of their registration parts

Where a match is found in ESR for the NMC Registration Number, DOB and first or last name then the automatic update will be applied. Where a match cannot be found on this basis, then a Decision Notification will be sent to the user(s) in the Role. This is not colour coded. This notification is for a single record only and requires the user to review the change and either Accept it or Reject it. If the change is accepted then the employee record is updated as described in the notification.

Example of the Decision Notification.

5.28.2.   Revalidation Expiry

These will be sent at minus 12 months; minus 6 months; minus 4 months and a short notice notification and will be triggered from the Revalidation Date on the person's professional registration record.

Example notifications:

4 Months

Worklist >

NMC Revalidation Expiry Reminder - 4 Months

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To   CR35054, Test03
Sent 31-Jan-2017 12:44:40
ID   310681646

The following employees are due to renew their NMC Revalidation in 4 Months

Last Name	First Name	Title	NMC PIN	Revalidation Date	Organisation	Assignment Number	Position Number	Position Description	Location
Roxby	Aenas	Mrs.	74C7182G	31-MAY-2017	444 Organisation 768320	91597148	12078744	Position 7780689	444 Location 242320
Ali-Maulidi	Lehana	Miss	96S6924W	31-MAY-2017	444 Organisation 771608	92761545	15364251	Position 7977963	444 Location 242320
CR35054	Test02		12A1234A	31-MAY-2017	444 Organisation 567650	26348997	19261408	Position 7982150	444 Location 241965
Bradt	Adilyn	Mrs.	50T9962C	31-MAY-2017	444 Organisation 239521	90819385	1906983	Position 7908290	444 Location 242244
Orugun	Remica	Ms.	37D8427P	31-MAY-2017	444 Organisation 326287	90820772	4734170	Position 7828357	444 Location 241965
Rowe-Murray	Ikeade	Mrs.	84B2741N	31-MAY-2017	444 Organisation 326514	91592847	2744415	Position 1903109	444 Location 241884
Kumara	Sianna	Mrs.	47Y6847D	31-MAY-2017	444 Organisation 326733	90820330	2745983	Position 7827713	444 Location 242265
Cardnell	Anatalia	Mrs.	41S3928I	31-MAY-2017	444 Organisation 326752	98814182-2	2745917	Position 7843440	444 Location 241965
LONGALONG	LibinMohamed	Miss	29W5776M	31-MAY-2017	444 Organisation 326761	12170463-2	2746354	Position 7936528	444 Location 641964
Darfield	Siandra	Mrs.	91G1911N	31-MAY-2017	444 Organisation 472156	90819668	6743565	Position 7800802	444 Location 641964
Singal	Dayanthi	Mrs.	56V8723T	31-MAY-2017	444 Organisation 472156	90817402	5928848	Position 7828569	444 Location 641964
Lopes Mucciaccia	Tanuj Kumar	Mr.	48F2891C	31-MAY-2017	444 Organisation 800637	99599964	13916927	Position 7830450	444 Location 241965
Katsimigkou	Amanullah	Mr.	38Y2958N	31-MAY-2017	444 Organisation 824692	98282735-2	19506628	Position 8132825	444 Location 297223
Lynskey-Phillips	Searet	Ms.	77L4636O	31-MAY-2017	444 Organisation 824692	15177240	19506628	Position 8132825	444 Location 241885
WAKELY	Amanullah	Mr.	85S2014M	31-MAY-2017	444 Organisation 827257	91592141	15217143	Position 7339076	444 Location 241941

The NMC states that they must make their application for revalidation by the due date which is the 1st of the month in which the revalidation expires.

The individual employees and relevant managers have also been notified.

[OK] [Reassign] [Request Information]

Short Notice

Worklist >

NMC Revalidation Expiry Reminder - Short Notice

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To   CR35054, Test03
Sent 31-Jan-2017 12:44:42
ID   310681660

The NMC Revalidation Date for the following employees is now due for renewal in less than 4 months.

This short notice notification is being sent for one of the following reasons:

1. They have recently commenced employment with the organisation and their NMC Revalidation Date is less than 4 months from their latest hire date.
2. Their NMC Revalidation Date has been updated and is due for renewal in less than 4 months.

Last Name	First Name	Title	NMC PIN	Organisation	Assignment Number	Position Number	Position Description	Location	Current Revalidation Date	Previous Revalidation Date
cr34985	Test36		12A3456B	444 Organisation 567650	26348991	19261408	Position 7982150	444 Location 241965	28-MAY-2017	27-MAY-2017

The NMC states that they must make their application for revalidation by the due date which is the 1st of the month in which the revalidation expires.

The individual employees and relevant managers have also been notified.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

5.29.   Occ Health Absence Referral

A notification will be sent to the Occ Health Absence Referral Role which is triggered on completion of the Occupational Health Referral Date which is held in the Additional Absence Details DFF

This is an example of the Notification sent to Occ Health Absence Referral role holders at absence start date +28 days where no absence end date is recorded. There are additional notifications sent to the employee's supervisor, and these are covered in the Absence Trigger Points section of this document.

5.30.   Payroll Super Admin

Holders of the Payroll Super Admin role will receive multiple notifications based on different business event triggers. Notifications for Time and Attendance and Pensions interface files that have been received are incorporated in to this role. A generic email notification may also be produced if required.

Rostering and electronic expenses systems produce interfaces of data to be loaded into ESR, a workflow notification will be produced to notify when the file is available.

Where errors cause data records to remain unprocessed from the NHS Pensions Interface, a notification will be generated automatically for the associated Employing Authority. Each notification will be sent to the relevant payroll users. Only one notification will be sent per Employing Authority per file per notification type.

Where errors cause data records to remain unprocessed from the NHS Pensions Interface, a notification will be generated automatically for the associated Employing Authority. Each notification will be sent to the relevant payroll users. Only one notification will be sent per Employing Authority per file per notification type.

In order to enable notifications, each Employing Authority must enter the appropriate EA Code against all payrolls. If this is not done all notifications will be sent to a default email address.

The workflow notification will be sent to the members of the 'Payroll Super Admin' role and will expire after 30 days. The email notification will be sent to an external email address associated to the user defined by the *NHS_WORKFLOW_EMAILS* lookup.

Notification Rules

If there are no persons registered in the workflow role 'Payroll Super Admin' and there is no external email address defined by the *NHS_WORKFLOW_EMAILS* lookup, then the notification will be sent to a predefined system wide default email address managed by the NHS Central Team.

Notifications will be sent according to the rules detailed in the table below.

Person(s) in Workflow Group*	External Email Address Set**	Send Notification To
No	No	*Default Email Address*
No	Yes	*External Email Address*
Yes	No	Workflow
Yes	Yes	Workflow & External Email Address

*Yes if one or more persons are registered in the workflow role 'Payroll Super Admin'
**Yes if *External Email Address* is not null

5.30.1.   Online Payroll Exceptions Management Notifications

Workflow notifications will be produced when any of the processes to generate the exceptions for the Online Payroll Exceptions Management facility are run.

Workflow notifications are produced for various users and may result in some users receiving multiple notifications. All exceptions are classified by Type (PER, PAY or PEN) based upon the URL access required to resolve them. The following notifications are sent:

i.   A notification will be issued to the Exceptions Manager informing him/her that there are exceptions to be reviewed

ii.   A second notification will be issued to all team members informing them that there are exceptions in the generic Team queue for their team to handle (teams are identified as PER, PAY or PEN based upon the URP's the user has). A user can be in more than one team if they have multiple Payroll, HR and Pension URP's.

iii.   A third notification will be issued to a specific user id where the exception process has allocated any exceptions to their individual queue directly. In this case the user will not receive the generic notification sent to the Team

5.31.   (Person) Diary Reminder

This facility allows notes and actions to be recorded against person and assignment records in the professional forms, with the ability to enter due dates, review dates and dates of completion.

Events will be notified to the Person Reminder or Assignment Reminder roles based on the Item Type selected for the Diary Reminder entry as follows:

- Personal (Person Reminder)
- Absence (Assignment Reminder)
- Assignment (Assignment Reminder)
- Payroll (Assignment Reminder)

An overnight summary notification will be produced for the appropriate role listing all events where either of the following is true:

- Review Date is today
- Date Due is 30 days from today

An example of the notification is shown here:

Worklist >

Diary Reminder for 18-JUL-2017

ⓘ Information
This notification does not require a response.

OK   Reassign   Request Information

To   504 Diary Reminder 18071714151
Sent 01-Jul-2017 14:15:01
ID   347290

This is a Diary Reminder summary for 01-JUL-2017

Last Name	First Name	Title	Employee Number	Applicant Number	Assignment Number	Item	Status	Date Due	Date Done	Review Date	Notes
Joshi	Neela	Mrs.	20095060			Assignment	Pending	17-JUL-2017		01-JUL-2017	Check element entries to ensure that correct non-recurring payments have been stopped

OK   Reassign   Request Information

Return to Worklist
☐ Display next notification after my response

5.32. Property Register

During the SSHR termination process if the employee being terminated has any property assigned to them (i.e. in the property register) this will be displayed to the person performing this function. Additionally the following people will also be notified that there is property assigned to the person being terminated:

1. The manager to receive a notification one week (7 Days) before the termination date/last working day and again on the actual termination date/last working day.

2. Holders of the "Property Register" role will receive a "Leavers with Property" notification one week before the employees leave. The notification will contain details of the employee e.g. where they work, email address etc. and also their manager, and their email address as well as details of the property they have. The FYI notification will remain open in each role holders worklist until closed i.e. not as first responder wins

An example of the notification is shown here:

5.33. Recruitment – Non Deanery App

The Deanery Recruitment Interface enables an organisation to send applications to ESR from non-Deanery applicants for the purpose of creating an applicant record in ESR.

A non-Deanery applicant record will be identified as one where the Deanery Post Number data item is null.

Where these applicants are created a notification will be sent to the role holder with details relating to both successful and/or failed records.

This notification is similar to the Deanery Interface notifications sent to the Medical Staffing Officer Role.

Notification Details - FAIL

Title: Non Deanery Applicant Notification

To: <name of the role holder>
Sent: <date>
ID: < relevant ID number>

Body of notification:

The Notification requires user action.

The following non Deanery applications have failed to load as part of the Deanery Recruitment Interface. Please check the details entered onto the recruitment system used for these applications are complete to enable the data to be resent or enter the details manually.

- *Vacancy Ref Number*
- *Position Number*
- *Applicant Name*
- *Message Type <ERROR>*
- *Message <error details>*

Notification Details – SUCCESSFUL

The following new non Deanery applications were successfully created by the Deanery Recruitment Interface.

- *Vacancy Ref Number*
- *Position Number*
- *Applicant Name*
- *Applicant Number*
- *Message Type < >*
- *Message <   >*

5.34.   SSHR Payroll Approvals

The URP Manager Self Service (Payroll Approvals Required) allows for a further approval or acceptance of a change of information to be required. This URP gives a manager the same screens as available to the no payroll approvals required URP, but, when changes are made to certain assignment related information a notification is sent to those people assigned to the XXX SSHR Payroll Approvals Role (where XXX is the VPD).

Information which requires "Approval" before it is accepted into the solution is as follows:

- Assignment Information Include Changes to:
  o Organisation
  o Position
- Grade
- Hours Changes
- End Employment

All other changes available on this URP will be made straight to the ESR database on submitting the change.

Setting up approval roles

Using Locals HRMS Systems and User Administration URP's navigate to the Maintain Roles menu option and select the XXX SSHR payroll Approvals Role and enter all the users who should receive this notification.

The people entered here will receive notifications from managers with the Approvals Required Self Service URP for them to Approve, Reject or return.

Manager Self Service with Approvals
On selecting this URP the manager will see the following screen:

The procedures which will require approval are highlighted in the menu structure as **(Approval Required)**

The following example shows the change of hours being processed. The notifications process is much the same for all the different assignment related changes.

On selecting the Hours (Approvals Required) menu option and selecting the appropriate person from the hierarchy the following screen is displayed:

The appropriate effective date is set or the manager can select the change to effective as soon as final approval is made. It is recommended that the user enters the correct date to apply the change from; this will ensure the assignment change is effective from that date.

The Manager can then enter the new hours to be worked.

Hours (Approval Required): Work Schedule

[Cancel] [Back] [Next]

Effective Date 19-Oct-2017

Employee Name	**Wright, Ms. Dierdre**
Employee Number	**20055635**
Job	**Additional Clinical Services|Health Care Support Worker**

Organisation	**504 Ward 7**
Organization Email Address	
Supervisor	**Jimenes, Miss Monica**

Work Hours: 22.5
Frequency: Week ▼
Normal Start Time: [ ]
Use 24-hour clock, e.g. 09:00
Normal End Time: [ ]

[Cancel] [Back] [Next]

On clicking next the review form is displayed. This can then be submitted for approval:

Hours (Approval Required): Review

Effective Date 19-Oct-2017

[Cancel] [Printable Page] [Back] [Submit]

Employee Name	**Wright, Ms. Dierdre**
Employee Number	**20055635**
Job	**Additional Clinical Services|Health Care Support Worker**

Organisation	**504 Ward 7**
Organization Email Address	
Supervisor	**Jimenes, Miss Monica**

Review your changes and, if needed, attach supporting documents.
🔵 Indicates Changed Items.

Work Schedule

	Current	Proposed
Work Hours	37.5	22.5 🔵
Frequency	Week	Week
Absence Accrual Start Date	01-Apr-2004	01-Apr-2004
Maximum Part Time	No	No
Start Date in Grade	02-Oct-2002	02-Oct-2002
No. of Increments	1	1

Additional Information

Attachments

To help approvers understand the request, you can attach supporting documents, images, or links to this action.

None [Add]

Approvers

Details	Approver	Status	Delete
❯ Show	SSHR Payroll Approvals		🗑

❯ Add Adhoc Approver

Comments to Approver

Agreed change of hours

Once submitted the manager is notified that the changes have gone for approval:

📋 Confirmation

Your changes have been submitted for approval.

[Home]

The users identified in the maintain roles form under XXX SSHR Payroll Approvals receive the following Notification:

Worklist

View [Open Notifications ▼] [Go]

Select Notifications: [Open] [Reassign] [Close]

Select All | Select None

Select	From	Type	Subject	Sent ▼
☐	SSHR Payroll Approvals	HR	NHS Change Hours Process for Wright, Dierdre (proposed by Jimenes, Monica)	19-Oct-2017

The approver can then opt to Approve, Reject, or Request Further Information about the notification. Alternatively if there is a problem then the role holder can Return for Correction. The manager who initiated the change will receive a notification informing them of the action taken.

NHS Change Hours Process for Wright, Dierdre (proposed by Jimenes, Monica)

ℹ **Information**
SSHR Payroll Approvals has delegated the notification with comment:

[Approve] [Reject] [Reassign] [Request Information]

From **SSHR Payroll Approvals**
To **SSHR Payroll Approvals 650**
Sent **19-Oct-2017 13:27:58**
ID **347595**

Attachments

Summary

Effective Date 19-Oct-2017

Employee Name	**Wright, Ms. Dierdre**	Organisation	**504 Ward 7**
Employee Number	**20055635**	Organization Email Address	
Job	**Additional Clinical Services|Health Care Support Worker**	Supervisor	**Jimenes, Miss Monica**

🔵 Indicates Changed Items.

Work Schedule

	Current	Proposed
Work Hours	37.5	22.5 🔵
Frequency	Week	Week
Absence Accrual Start Date	01-Apr-2004	01-Apr-2004
Maximum Part Time	No	No
Start Date in Grade	02-Oct-2002	02-Oct-2002
No. of Increments	1	1

Action History

Num	Action Date	Action	From	To	Details
1	19-Oct-2017 13:27:56	Submit	Jimenes, Monica	SSHR Payroll Approvals	Agreed change of hours
2	19-Oct-2017 13:27:58	Delegate	SSHR Payroll Approvals	SSHR Payroll Approvals 650	

Related Applications

📄 Return For Correction

5.35. STC Learning Administrator

Requesting enrolment in a shared class will initiate a workflow as follows:

If initiated from an employee the notification will go to the employee's manager for approval. The manager can then either reject or approve the request. If rejected a notification goes back to the employee. If approved a notification will go back to the employee. A notification will also be sent to the manager and employee informing them that the request has been sent to the course administrator for final approval.

A separate notification will go to the Learning Administrator role holder in the Shared Training Provider.

The status of the learner on the course will be Requested but the Learning Administrator can now change this status to Confirmed, Waitlisted etc. as appropriate. Each change to the status will result in a notification being sent to both the learner and their manager to inform them of the change of status.

If initiated from Manager Self Service then the manager approval is not required. The notification will go straight to the Learning Administrator in the Shared Training Provider. The employee will also be notified that the request has been sent. From this point on it will behave the same as if it was initiated by the employee themselves.

On completion of the course any national competencies associated with the class will be updated on the learner's record in their home organisation and notifications will be sent to the employee and their manager.

Similarly training history will be updated in the users home organisation and notifications sent to the employee and their manager.

5.36.   Supervisor Hierarchy Notification

Users with this role will receive a notification each time that a Supervisor's assignment in their Employment Authority (EA) is changed to one of the following statuses:

- Acting Up
- Career Break
- Inactive Not Worked
- Internal Secondment
- Maternity & Adoption
- Out on External Secondment – Paid

- Out on External Secondment – Unpaid
- Suspend Assignment
- Suspend No Pay
- Suspend With Pay
- Terminate Process Assignment
- Terminate Assignment

Notification received by role holder.

Worklist

View [Open Notifications ▼] [Go]

Select Notifications: [Open] [Reassign] [Close]

Select All | Select None

Select	Subject	Sent	Due - Fn Level	From	Type
☐	Status of Supervisor Assignment 20055532 for Ms. Dierdre Wright11 has been Changed to Suspend With Pay on 10-MAY-2017	10-May-2017			XX Supervisor Role

☑ TIP Vacation Rules - Redirect or auto-respond to notifications.
☑ TIP Worklist Access - Specify which users can view and act upon your notifications.

The notification lists details of all assignments that report directly into the Supervisor's assignment being changed.

Worklist >

Status of Supervisor Assignment 20055532 for Ms. Dierdre Wright11 has been Changed to Suspend With Pay on 10-MAY-2017

ⓘ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

To Leese11, Vivian
Sent 10-May-2017 16:08:15
ID 347439

The following assignments directly report into the above supervisor assignment:

Employee Number	Assignment Number	Title	First Name	Last Name	Organisation	Position
20055404	20055404	Mrs.	Christine	Neville11	504 Ward 9	Staff Nurse Band 5

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Where an employee is listed as an Additional Supervisor for an assignment then the assignments affected will be listed in the highlighted section.

Status of Supervisor Assignment 20101343 for Mr. Derek Bradley has been Changed to Terminate Process Assignment on 18-OCT-2017

ℹ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

To **Leese21, Vivian**
Sent **18-Oct-2017 15:08:06**
ID **347512**

The following assignments directly report into the above supervisor assignment:

Employee Number	Assignment Number	Title	First Name	Last Name	Organisation	Position

The above supervisor assignment was listed as an additional supervisor for the following assignments:

Employee Number	Assignment Number	Title	First Name	Last Name	Organisation	Position
20055614	20055614	Mrs.	Christine	Neville	504 Ward 9	Staff Nurse Band 5

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

5.37.   Termination Notification

The recipients of this notification are notified of the relevant terminations that are due in their organisation within a 14 day period. Terminations are identified as employees with either a Projected or Actual Termination Date within 14 days of the current date.

Terminate(Wright05, Ms. Dierdre)

Length of Service

	This Service		Total Service	
	Years	Months	Years	Months
	14	6	14	6

Date Start 02-OCT-2002
Leaving Reason Voluntary Resignation - Better Reward Pack

Termination Dates

Notified 19-APR-2017   Projected [   ]   Actual 30-APR-2017
Last Standard Process 30-APR-2017   Final Process [   ]

Person Type and Assignment Status for Terminated Employee

Type Ex-Employee   Status Terminate Process

Termination Accepted By

Date [   ]   Name [   ]   Number [   ]   [28-]

[Terminate]   [Reverse Termination]

The Termination Notification works in 2 different ways.

1. A Termination notification is sent to all system users who have been identified in the Maintain Roles area of the system administration URP's.

The following screenshot demonstrates an example Termination Notification

Worklist

View [Open Notifications ▼] [Go]

Select Notifications: [Open] [Reassign] [Close]

Select All | Select None

Select	Subject	Sent	Due - Fn Level	From	Type
☐	Termination Notification	19-Apr-2017	18-Jul-2017		XX Termination Notification Workflow

Worklist >
Termination Notification

[Delete Notification] [Reassign]

To 3286972
Sent 08-Jun-2020 14:39:25
Due 06-Sep-2020 14:39:25
ID 788438491

The following employees have a termination record within 14 days. You are required to look at the details of each individual, and perform the appropriate actions for each individual.

Organization	Position	Location	Job	Grade	Employee Number	Last Name	First Name	Title	Actual Termination Date	Projected Termination Date	Work Email Address	Supervisor Name	Supervisor Email Address
444 Organisation 503045	Position 7978014	61 QHT Uvzsrep Frvmjt	Additional Clinical Services|Assistant Psychologist	NHS|XR05|Review Body Band 5	28615989	NewAppOne	NewAppOne	Mr.	10-JUN-2020	09-JUN-2020	NewAppOne@nhs.net		
444 Organisation 827257	Position 7830695	61 NNK Yg Dqnxxclj Dmjbwyvd	Allied Health Professionals|Occupational Therapist	NHS|XN06|Non Review Body Band 6	28615989	NewAppOne	NewAppOne	Mr.	10-JUN-2020	09-JUN-2020	NewAppOne@nhs.net	Maternity, Mrs. Nina	lest01@nhs.net

5.38.   Reverse Termination Notification

This workflow notification will advise users assigned to the Termination Notification role (described previously) when a termination has been reversed. It will also notify any users assigned to the role selected and held in the Termination Notification against the Person EIT.

Having reversed a termination the Termination Notification Date Sent field, which is held on the Additional Periods of Service Details descriptive flexfield, should be removed, this can be done using XXX HR Administration:

N > Enter & Maintain > Others > End Employment

This is done as part of the standard reverse termination process and the user will have to re-query the record to ensure that this has happened.

Recipients of the notification are identified by role:

- Users assigned to the role of Termination Notification
- Users assigned to the Termination Notification roles identified within Termination Notification which is held as a Person EIT for the leaver

The following screenshot demonstrates an example Reverse Termination Notification:

6. SYSTEM GENERATED NOTIFICATIONS

These are notifications that are generated by ESR in response to data being entered into certain fields, and do not necessarily require a role holder. For example where the Exit Questionnaire Required field is set to Yes in the employee's additional assignment details form, they will receive a notification and the exit questionnaire form to complete. Other examples of this type of notification include:

6.1. Capability Review Notification

The Capability Review Notification is sent on a nightly basis when the relevant Workflow Background process runs as part of the Nightly Request Set.

It sends a notification to the Line Manager and HR Contact, who are entered on the 'Capability No UHR' EIT, 18 and 10 days before the Review Date.

6.2. Exit Questionnaire Notification

When an employee has either an assignment terminated or is made a leaver by terminating the person record using the End Employment forms, the Exit Questionnaire workflow notification can be initiated. If the Trust level setting, 'Exit Questionnaire Required', is set to 'Yes' then an exit questionnaire will be sent to all leavers unless overridden at assignment level.

This workflow notification will notify relevant employees who have a termination date entered against their record at person or assignment level that they are required to complete an Exit Questionnaire.

It will detail the position title, assignment number and organisation that the exit questionnaire applies to.

6.3. Learner Notifications

There are a number of notifications which are generated automatically when the user performs certain tasks, for example when a learner completes a learning path their status on that path is updated automatically and a system generated notification is sent to the user advising of this:

Completed Learning Path
Informs the learner of the Learning Path completed and the completion date.

Other examples of system generated notifications within OLM include:

Enrolment on a Class set to 'Self Enrol'

Rescheduled Classes

Worklist >

Class is rescheduled

ⓘ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From   SYSADMIN
To   Joshi, Neela
Sent   20-Jul-2017 14:45:09
ID   347433

The following class has been rescheduled. You are still enrolled in this class.

Course Name:	**504 Performance Management**
Delivery Mode:	**Instructor-Led**
Language:	**English**
Class Name:	**504 Performance Management - 22/07/2017**
Start Date:	**22-Jul-2017**
End Date:	**22-Jul-2017**
Start Time:	**10:00**
End Time:	**11:00**
Time Zone:	**GMT**
Enrollment Number:	**12152**
Cost:	**Pound Sterling**
Location:	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Waitlisted Enrolment

Worklist >

You have been placed on the Waiting List for a class.

ⓘ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From   Leese, Vivian
To   Joshi, Neela
Sent   18-Jul-2017 14:58:44
ID   347299

Leese, Vivian has approved your request for enrollment in the class below. You have been placed on the waiting list for this class. Important: this does not confirm your place on this class. You should not attend unless you receive a further notification confirming your enrollment.

Delegate:	**Joshi, Neela**
Class Name:	**504 Performance Management - 20/07/2017**
Enrollment Number:	**12133**
Start Date:	**20-JUL-2017**
Start Time:	**00:00**
End Date:	**20-JUL-2017**
Delivery Mode:	**Instructor-Led**
Location:	
Enrollment Status:	**Waitlisted**

Please keep a copy of this information for your reference.

The following classes for the same course currently have places available			
Class Name	**Date**	**Start time**	**End time**
504 Performance Management - 21/07/2017	21-JUL-2017	10:00	11:00
504 Performance Management - 22-07-2017	22-AUG-2017		

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Class Full/Waitlisting Deactivated

Worklist >

Class 504 Performance Management - 20/07/2017 is Full

ℹ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From Leese, Vivian
To Joshi, Neela
Sent 18-Jul-2017 15:13:56
ID 347308

You have attempted to enrol a learner on a class which is full. Please find an alternative class.

Delegate:	Joshi, Neela
Class Name:	504 Performance Management - 20/07/2017
Enrollment Number:	12136
Start Date:	20-JUL-2017
Start Time:	00:00
End Date:	20-JUL-2017
Delivery Mode:	Instructor-Led
Location:	
Enrollment Status:	Requested

Please keep a copy of this information for your reference.

The following classes for the same course currently have places available			
Class Name	**Date**	**Start time**	**End time**
504 Performance Management - 21/07/2017	21-JUL-2017	10:00	11:00
504 Performance Management - 22-07-2017	22-AUG-2017		

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Subscription on a Certification

Worklist >

You have successfully subscribed to the certification.

ℹ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From Joshi, Neela
To Joshi, Neela
Sent 18-Jul-2017 14:56:47
ID 347296

Your subscription into the certification 504 Infection Control with initial completion date 19-Jul-2017 has been confirmed. The certification contains the following components:

Certification Members

Member	Type
000 Infection Prevention and Control eAssessment - Level 1	Course

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Employee Learning Certification Reminder…

Worklist

View [Open Notifications ▼] [Go]

From	Subject	Sent ▼
SYSADMIN	A certification needs completion.	19-Jul-2017

A certification needs completion.

> ℹ **Information**
> This notification does not require a response.

[OK] [Reassign] [Request Information]

From **SYSADMIN**
To **Joshi, Neela**
Sent **19-Jul-2017 16:45:20**
ID **347377**

Certification Details

You must complete the certification 504 Infection Control, within 1 days by 20-JUL-2017. To achieve certification, you must complete all the following certification components:

Member	Type	Status
000 Infection Prevention and Control eAssessment - Level 1	Course	Planned

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Employee Learning Certification Available for Renewal…

Worklist

View [Open Notifications ▾] [Go]

From	Subject	Sent ▾
SYSADMIN	A certification is available for renewal.	19-Jul-2017

A certification is available for renewal.

> ℹ **Information**
> This notification does not require a response.

[OK] [Reassign] [Request Information]

From **SYSADMIN**
To **Joshi, Neela**
Sent **19-Jul-2017 16:45:20**
ID **347377**

Certification Details

You can now renew the certification 504 Infection Control, which (upon completion) will be valid for 1 days. To complete the certification, you may need to individually re-enroll in all the following certification components:

Member	Type	Status
000 Infection Prevention and Control eAssessment - Level 1	Course	Planned

[OK] [Reassign] [Request Information]

Return to Worklist

Learning Administrators can send notifications to delegates on a class. The delegate must have an active ESR user account, and their name associated with this to receive the notification.

The administrator can decide who the notification should be sent to, along with the subject and the message.

The selected delegates will then all receive the notification.

Catalog > Catalog Search > 504 Performance Management: Course > Offerings > Classes >

[Cancel]

Course Name **504 Performance Management**   Class Name **504 Performance Management - 21/07/2017**

Select Recipients   **Mail Addresses**

Enrollment Status [▾]

Select All | Select None

Select	Name	Enrollment Status
☐	Joshi, Mrs. Neela	Confirmed
☐	Nelson, Mr. Art	Confirmed
☐	Bradley, Mr. Derek	Confirmed

Notification Text

Subject: **Preparation for course**

Message:
Please ensure that you have read the provided material before the class.

[Send]

You can copy these mail IDs to your mail program if you want to contact learners by mail.

[Cancel]

7.   EMPLOYEE AND MANAGER NOTIFICATIONS

7.1. Pay Progression Notifications

A notification will be sent to employees, 4 months and 1 month before a pay affecting incremental date.

A notification will be sent to managers on a monthly basis, outlining direct reports who have a pay affecting increment within the next 90 days.

7.2. Absence Trigger Points

These notifications aim to improve the management of staff attendance for managers and administrators.

The triggers for these notifications are as follows:

1.   Notification to Supervisor at absence end date +7 days where no Return to Work date is recorded.

Worklist >
Return to Work Discussion Date Needs Completing For Neville, Mrs. Chrsitine

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To Leese, Vivian
Sent 21-Jul-2017 10:26:59
ID 347461

Please ensure you have conducted a Return to Work Discussion with Neville, Mrs. Chrsitine (20055290) and have recorded the Return to Work Discussion Date.

	Value
Absence Type	Sickness
Absence Category	Sickness
Absence Reason	S11 Back Problems
Sickness Reason Level 2	S11001 Back ache/pain
Start Date	25-JUN-2017
End Date	28-JUN-2017
Duration	4 Days
Comments	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

2. Notification to Supervisor at absence start date +8 days where no absence end date is recorded.

Worklist >
Absence End Date Has Not Been Entered for Joshi, Mrs. Neela

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To Leese, Vivian
Sent 21-Jul-2017 10:27:00
ID 347473

Joshi, Mrs. Neela (20095060) has been absent from work for 8 days. Please check to ensure they have not returned, if they have, please update the absence record, including the Return to Work Discussion Date.

	Value
Absence Type	Sickness
Absence Category	Sickness
Absence Reason	S11 Back Problems
Sickness Reason Level 2	S11001 Back ache/pain
Start Date	12-JUN-2017
End Date	
Duration	
Comments	

[OK] [Reassign] [Request Information]

Return to Worklist

They are not generated where the person type has been updated to Ex-Employee within 7 days of the absence end date being entered.

3. Notification to Supervisor at absence start date +28 days where no absence end date is recorded. (This will also go to the Occ Health Absence Referral role holders)

Role holder

Worklist >

Absence End Date Has Not Been Entered for Joshi, Mrs. Neela

ℹ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

To   504 Occ Health Referral 2107171027138
Sent   21-Jul-2017 10:27:00
ID   347480

Joshi, Mrs. Neela (20095060) has been absent from work for 28 days. Please ensure that a referral to Occupational Health has been considered.

Supervisor: Leese, Mrs. Vivian

	Value
Absence Type	Sickness
Absence Category	Sickness
Absence Reason	S11 Back Problems
Sickness Reason Level 2	S11001 Back ache/pain
Start Date	12-JUN-2017
End Date	
Duration	
Comments	

[OK] [Reassign] [Request Information]

Return to Worklist

4. Notification to Supervisor at absence start date +10 months where no absence end date is recorded.

Title: Absence End Date Has Not Been Entered for <Employee Name>

Summary: <Employee Name> (<employee number>) has been absent from work for 10 months please check to ensure the final sickness review has been arranged within the next 2 months and the date recorded.

Absence Details: Absence Status
Absence Type
Absence Category
Absence Reason (Level 1 and 2)
Start Date
End Date
Duration
Comments

7.3. Personal Details Changes

The following example of a personal information change highlights the different responses, Approve, Reject and Return for information, in detail and the subsequent actions required to continue the process. The other Self Service notifications shown all have the same responses available.

Personal Information

Changes made to the following data items in Employee Self Service are subject to line manager approval:

- Qualifications
- Change of Name
- Management of Registrations and Memberships
- Enrol on Learning (where the course is not set to Self-Enrol)
- Work Email Address

NOTE: Updates to Marital Status, Ethnic Origin and Country of Birth will be applied instantly providing they are not updated alongside a change that requires approval i.e. these changes are made in one single transaction.

If multiple fields are updated and some changes require approval and others do not, then although these fields: Marital Status, Ethnic Origin and Country of Birth will not be displayed on the approval notification they will still be subjected to approval. As a result if the notification is not actioned the updates that were made to these fields will also not be applied.

The Employee user sees a message on the page after submitting a relevant change informing them that the change has been forwarded to their manager for approval.

Blue circles highlight the changed items.

The Employee also receives a workflow notification indicating the destination of the approval workflow notification. This notification is updated if the destination changes, for example due to a timeout escalating the notification to the next manager.

Personal Details changes - Notifications Received by Manager

On submitting the above changes a Manager will receive a notification detailing the changes and is required to approve or reject the changes. They can also return the request for more information.

Manger Self Service Notifications Worklist

Worklist

View [Open Notifications ▼] [Go]

Select Notifications: [Open] [Reassign] [Close]

Select All | Select None

Select	Subject	Sent	Due - Fn Level	From	Type
☐	NHS Employee Personal Information Process for Sandwell11, Paula	11-May-2017	19-May-2017	Sandwell11, Paula	HR

☑ **TIP** Vacation Rules - Redirect or auto-respond to notifications.
☑ **TIP** Worklist Access - Specify which users can view and act upon your notifications.

Blue circles highlight the changed items, also where an email address is entered against the person information the name is highlighted as a hyperlink in the Action History section. Clicking in the name will automatically populate the 'To' address ready to send an email to that person

The Manager can then Approve, Reject, Reassign, Request Information or Return for Correction.

If a Manager Rejects the Changes the employee receives the following notification:

Leese11, Vivian rejected your Leave of Absence changes for Sandwell11, Paula

ℹ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From SYSADMIN
To Sandwell11, Paula
Sent 11-May-2017 09:04:28
ID 347446

Attachments

Employee Name Sandwell11, Mrs. Paula Angela
Employee Number 20094991

Absence Details

	Proposed
Absence Status	Confirmed
Absence Type	Training Development
Absence Category	Paid Leave
Absence Reason	External Training
Start Date	24-May-2017
End Date	26-May-2017
Days	3
Comments	Hi. Apologies for the short notice but an opportunity to attend an external training course has come up. Hope this is ok.

View Entitlement Balances
View Entitlement Balance

Supporting Documents

Title	Type	Description	Category	Last Updated By	Last Updated	Usage	Update	Delete
No results found.								

Action History

Sequence	Name	Action	Date	Notes
1	Sandwell11, Paula	Submit	11-May-2017 09:01:14	
2	Leese11, Vivian	Reject	11-May-2017 09:04:27	Hi Paula. Unfortunately Simon has already booked this week off and we need cover so I have had to reject this. If you are unable to rearrange please let me know and we can discuss further. Viv.

Related Action History

Num	Action Date	Action	From	To	Details
1	11-May-2017 09:04:28	Submit	SYSADMIN	Sandwell11, Paula	

[OK] [Reassign] [Request Information]

They can then resubmit the changes after discussing with the manager why the changes were rejected.

When the Manager approves the changes the employee receives a notification informing them that the changes have been approved and applied to the system:

Worklist >

NHS Education and Qualifications for Sandwell05, Paula

| | | Approve | Reject | Reassign | Request Information |

From	Sandwell05, Paula	Attachments
To	Leese05, Vivian	
Sent	19-Apr-2017 16:06:16	
ID	346542	

Summary

| Employee Name | Sandwell05, Mrs. Paula |
| Employee Number | 20094956 |

○ Indicates Changed Items.

Qualification

	Proposed
Type	Masters Degree
Title	Nursing
Study Start Date	01-Sep-2014
Actual Completion Date	07-Apr-2017
Status	Attained

School

	Proposed
School	University of Wolverhampton
Attendance Start Date	01-Sep-2014
Attendance End Date	07-Apr-2017
Full-Time	No

Comments

	Proposed
Comments	Hi I have added my Masters as agreed.

Action History

Num	Action Date	Action	From	To	Details
1	19-Apr-2017 16:06:17	Submit	Sandwell05, Paula	Leese05, Vivian	

The following notifications which are initiated by the employee and go for manager approval contain the FYI details.

Manage your Information
- Personal Information (Basic Details)
- Absence

Manage your Career
- External Learning
- Qualifications
- Registrations and Memberships
- Learning
- Competence Profile

7.4. Verification of Personal Information and Equality and Diversity Information

Employees will receive notifications prompting them to update or verify that their personal information or equality and diversity information if this has not been updated or verified within the last 12 months.

It will include a link to the relevant portlet to carry out this action.

7.5. Class Enrolment
Learning

The scenarios illustrated in this section show enrolment on a class, however the process and notifications received for subscription on a learning path are very similar.

Unless the Class is set to self-enrol, requests for training enrolment are subject to line manager approval. The Employee user sees a message on the page after submitting an enrolment request informing them that the request has been forwarded to their manager.

They also receive a workflow notification indicating the destination of the approval workflow notification.

This notification is updated if the destination changes, for example due to a timeout escalating the notification to the next manager.

The user can also unenroll from learning by reviewing their list of enrolments and clicking on the 'Unenroll' icon.

Where an employee unenrolls their manager is notified:

Worklist >

Joshi, Mrs. Neela has cancelled an enrollment

ⓘ Information
This notification does not require a response.

                                                    OK   **Reassign**   **Request Information**

From   **Joshi, Neela**
To   **Leese, Vivian**
Sent   **18-Jul-2017 15:15:52**
ID   **347310**

Joshi, Mrs. Neela has cancelled their enrollment in the following class.

    Class Name: **000 Infection Prevention and Control eAssessment - Level 1**
Course Name: **000 Infection Prevention and Control eAssessment - Level 1**
    Start Date: **05-Apr-2017**

                                                    OK   **Reassign**   **Request Information**

Return to Worklist
☐ Display next notification after my response

Once submitted the Manager will receive the following notification informing them that one of their employees has requested some learning:

Worklist >

XX NHS Enroll in Learning Approval for Leese03, Vivian

                              Approve   **Reject**   **Reassign**   **Request Information**

From   **Leese03, Vivian**
To   **Leese50, Vivian**
Sent   **18-Jul-2017 13:24:36**
ID   **347280**

Enrollment Details

	Proposed
Course Name	504 Performance Management
Class Name	504 Performance Management - 20/07/2017
Start Date	20-JUL-2017 00:00
End Date	20-JUL-2017 23:59
Time Zone	GMT
Delivery Mode	Instructor-Led
Language	English
Cost Center	|||NHS5021||| ----- 100 %
Special Instructions	
Enrollment Justification	
Additional Enrolment Info	
External Awarding Authority	
Course/Exam Fee % Trust Paid	
Course/Exam Finance Code	
Subsis/Accomm % Trust Paid	
Subsis/Accomm Finance Code	
Travel % Trust Paid	
Travel Finance Code	
Other % Trust Paid	
Other Finance Code	

As with the personal details changes the manager has the options to Approve, Reject or return for more information.

On approval the employee is notified that they are enrolled on the class:

You have successfully enrolled in the class.

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From Leese, Vivian
To Joshi, Neela
Sent 20-Jul-2017 14:40:17
ID 347431

You have successfully enrolled in the class below.

Class Name: **504 Performance Management - 22/07/2017**
Enrollment No: **12152**
Start Date: **22-Jul-2017**
Start Time: **10:00**
End Date: **22-Jul-2017**
End Time: **11:00**
Time Zone: **GMT**
Delivery Mode: **Instructor-Led**
Location:
Your Enrollment Status is: **Confirmed**

Please keep a copy of this information for your reference.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Where the Class has been setup to allow self-enrolment, for example with National e-Learning content, the user will receive confirmation of their enrolment.

| Learning | Course Catalog | Learning History |

Current Learning   Requested Learning   Forums and Chats

Search [Course ▼] [   ] ☐ Exact Phrase [Go] Advanced Search

Welcome, **Joshi, Mrs. Neela**!

📋 Confirmation
You have successfully enrolled in the class 000 Infection Prevention and Control eAssessment - Level 1.

⚠ Announcements | E-Learning Enrollments | Enrollments | Certifications | Learning Paths | External Learning |

The employee will also receive an automated notification advising that they have enrolled successfully

Worklist >
You have successfully enrolled in the class.

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From Joshi, Neela
To Joshi, Neela
Sent 20-Jul-2017 15:00:07
ID 347436

You have successfully enrolled in the class below.

Class Name: **000 Infection Prevention and Control eAssessment - Level 1**
Enrollment No: **12153**
Delivery Mode: **Online e-Learning**
Expiration Date:
Your Enrollment Status is: **Confirmed**

Please keep a copy of this information for your reference.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

7.6. Competency Profile Changes
Compliance and Competency

Changes made to the Competence Profile by the Employee are subject to approval.
They receive a workflow notification indicating the destination of the approval workflow notification.

Worklist >

Competency Profile has been forwarded to Leese, Vivian

> ℹ️ **Information**
> This notification does not require a response.

[OK] [Reassign] [Request Information]

From SYSADMIN
To Joshi, Neela
Sent 21-Jul-2017 10:45:11
ID 347488
Last Approver: Joshi, Neela
User Name: 504NJOSHI03
Comments:

Next Approver: Leese, Vivian
User Name: 504TRAIN21

This notification is for information only.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

After eight days, the workflow will be returned to the initiator, they will have the option to resubmit or cancel the request.

Worklist >

Competency Profile for Arabshahi, Kowaluk not approved.

[Delete] [Resubmit]

From SYSADMIN   Attachments
To ARABSHAHI, Kowaluk
Sent 24-Oct-2019 15:38:17
ID 80282

Your request for an update to your competency profile was sent for approval and no action has been taken. If you wish to resubmit your request, please click the Resubmit button. If you no longer require the below competences or will take alternative action to ensure your request is processed, please click the Delete button.

Full details of your request are displayed below.

Summary

New Competencies

Details	Name	Short Name	Proficiency Level	Status	Start Date	End Date
>	NHS|MAND|Fire Safety - 2 Year|			Achieved	24-Oct-2019	
>	NHS|MAND|Infection Control - Level 1 - 2 Year|			Achieved	24-Oct-2019	

Once submitted the Manager will receive the following notification informing them that one of their employees has requested an update to their competency profile:

Worklist

View [Open Notifications ▾] [Go]

Select Notifications: [Open] [Reassign] [Close]   ⊘ Previous [1-10 ▾] Next 10 ⊛

Select All | Select None

Select	Subject	Sent ▾	Due - Fn Level	From	Type
☐	Competency Profile for Joshi, Neela	21-Jul-2017	24-Jul-2017	Joshi, Neela	HR

Worklist >

Competency Profile for Joshi, Neela

[Approve] [Reject] [Reassign] [Request Information]

From Joshi, Neela   Attachments
To Leese, Vivian
Sent 21-Jul-2017 10:45:11
Due 24-Jul-2017 10:45:11
ID 347489

Summary

Employee Name Joshi, Mrs. Neela
Employee Number 20095060

New Competencies

Details	Name	Short Name	Proficiency Level	Status	Start Date	End Date
> Show	NHS|CSTF|Safeguarding Adults - Level 1 - 1 Year|		1-Assessed	Achieved	19-Jun-2017	

Action History

Num	Action Date	Action	From	To	Details
1	21-Jul-2017 10:45:11	Submit	Joshi, Neela	Leese, Vivian	

Related Applications

📄 Return For Correction

Response

Note [   ]

[Approve] [Reject] [Reassign] [Request Information]

As with the personal details changes the manager has the options to Approve, Reject or return for more information. On approval the employee is notified that their competency profile has been updated.

7.6.1. Competence Updates in another Organisation

Where an employee has multiple employments across organisations, they will receive a notification advising on whether a competence achieved has been accepted or rejected in one of those other organisations. The person record in the other organisation(s)must have either an active assignment record or an active application record at status Offer Accepted.

Worklist >

Information
This notification does not require a response.

Multiple Employer Competence Update

OK   Reassign   Request Information

To   **CCNSyncCompOne, CCNSyncCompTestOne**
Sent   **03-Jul-2019 11:20:37**
ID   **616063076**

The recent changes to your competence profile, outlined below, were sent to 188 188 Organisation 87747

The following actions have been taken for your competence profile at this organisation.

Competence Name	Proficiency Level	Valid From	Valid To	Date Last Awarded	Awarded By	Awarding Organisation	Title	Action Taken
NHS|NOS|Forensic Mental Health FMH10|	1 - Attained	01-JAN-2019	30-JUN-2019	03-JUL-2019	User	225 Organisation 44622		Rejected, update not applied
NHS|CSTF|Leadership in transforming dementia care - Tier 3 - 1 Year|	0 - Not Assessed	01-JAN-2019	31-DEC-2019			225 Organisation 44622		Rejected, update not applied
NHS|CSTF|Blood component transfusion: Blood sampling - No Specified Renewal|	0 - Not Assessed	01-JAN-2019				225 Organisation 44622		Accepted, update applied
NHS|REVAL|Revalidation - 5 Years|	1 - Attained	01-JAN-2019	31-DEC-2023			225 Organisation 44622		Accepted, update applied

7.7. Changes to Qualifications
Qualifications

Any changes or additions to the Qualification record are subject to approval. The Employee sees a message on the page after submitting a change informing them that the change has been submitted for approval.

They also receive a workflow notification indicating the destination of the approval workflow notification. This notification is updated if the destination changes, for example due to a timeout escalating the notification to the next manager.

Once submitted the Manager will receive the following notification informing them that one of their employees has requested an update to their Qualifications profile:

Worklist >

NHS Education and Qualifications for Jackson, Sam

Approve | Reject | Reassign | Request Information

From **Jackson, Sam**
To **Leese21, Vivian**
Sent **24-Oct-2018 15:42:17**
ID **349856**

🔵 Indicates Changed Items.

Qualification

	Proposed
Type	Bachelors Degree Hons
Title	Nursing
Actual Completion Date	31-Jul-2014
Status	Attained

School

	Proposed
School	University of Wolverhampton
Attendance Start Date	01-Oct-2011
Attendance End Date	31-Jul-2014
Full-Time	No

Action History

Num	Action Date	Action	From	To	Details
1	24-Oct-2018 15:42:17	Submit	Jackson, Sam	Leese21, Vivian	

As with the personal details changes the manager has the options to Approve, Reject Reassign, or Request Information, or it can be returned to the employee for correction.

On approval the employee is notified that their Qualification Profile has been updated:

Worklist >

NHS Education and Qualifications for Sandwell05, Paula has been approved.

ℹ **Information**
This notification does not require a response.

OK | Reassign | Request Information

From **SYSADMIN**
To **Sandwell05, Paula**   Attachments
Sent **19-Apr-2017 16:22:09**
ID **346579**

Summary

Employee Name **Sandwell05, Mrs. Paula**
Employee Number **20094956**

Qualification

	Proposed
Type	Masters Degree
Title	Nursing
Study Start Date	01-Sep-2014
Actual Completion Date	07-Apr-2017
Status	Attained

School

	Proposed
School	University of Wolverhampton
Attendance Start Date	01-Sep-2014
Attendance End Date	07-Apr-2017
Full-Time	No

Comments

	Proposed
Comments	Hi I have added my Masters as agreed.

7.8. Changes to Registrations and Memberships
Any changes to the Registration and Membership record are subject to line manager approval.

Registrations and Memberships: Extra Information   Cancel Back Submit

Employee Name   Leese, Mrs. Vivian
Employee Number 20055707

Click Update to make changes to 'Expiry Date', 'First Registered' & 'Revalidation Date' for an existing record. Please contact your HR Team for other changes or to create a new record. Click Submit to continue this action, click Back to return to the previous page, or click Cancel to cancel this action.

Registrations and Memberships

Select Object: Update | ⛶ ⟳

	Status	Registration/Membership Body	Professional Registration Number	Expiry Date	First Registered Date	Revalidation Date
⦿	Updated	Nursing and Midwifery Council	44W4562P	31-Dec-2018		

They also receive a workflow notification indicating the destination of the approval workflow notification.

This notification is updated if the destination changes, for example due to a timeout escalating the notification to the next manager:

Worklist >

Professional Registration and Memberships Process has been forwarded to Jackson, Sam

ℹ️ Information
This notification does not require a response.

OK   Reassign   Request Information

From SYSADMIN
To   Bradley, Derek
Sent 18-Oct-2017 15:13:14
ID   347514
Last Approver: Bradley, Derek
User Name: 504DBRADLEY01
Comments:

Next Approver: Jackson, Sam
User Name: 504SJACKSON21

This notification is for information only.

OK   Reassign   Request Information

Return to Worklist
☐ Display next notification after my response

Once submitted the Manager will receive the following notification informing them that one of their employees has requested an update to their Registrations and Memberships profile:

Worklist >

Professional Registration and Memberships Process for Bradley, Derek

[Approve] [Reject] [Reassign] [Request Information]

From	**Bradley, Derek**
To	**Jackson, Sam**
Sent	**18-Oct-2017 15:13:14**
Due	**21-Oct-2017 15:13:14**
ID	**347515**

Attachments

Summary

Employee Name **Bradley, Mr. Derek**
Employee Number **20101343**

○ Indicates Changed Items.

Extra Information Type

Registrations and Memberships

	Current	Proposed
Registration/Membership Body	General Medical Council	General Medical Council
Professional Registration Number	1234567	1234567
Expiry Date	01-Jun-2015	01-Jun-2018 ○
First Registered Date		01-Jun-2015 ○

Action History

Num	Action Date	Action	From	To	Details
1	18-Oct-2017 15:13:14	Submit	Bradley, Derek	Jackson, Sam	

Related Applications

📄 Return For Correction

Response

Note
[   ]

[Approve] [Reject] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

As with the personal details changes the manager has the options to Approve, Reject Reassign, or Request Information, or it can be returned to the employee for correction.

On approval the employee is notified that their Registrations and Memberships have been updated:

Professional Registration and Memberships Process for Bradley, Derek has been approved.

ℹ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From	**SYSADMIN**
To	**Bradley, Derek**
Sent	**18-Oct-2017 15:18:56**
ID	**347516**

Attachments

Summary

Employee Name **Bradley, Mr. Derek**
Employee Number **20101343**

Extra Information Type

Registrations and Memberships

	Proposed
Registration/Membership Body	General Medical Council
Professional Registration Number	1234567
Expiry Date	01-Jun-2018
First Registered Date	01-Jun-2015

Action History

Sequence	Name	Action	Date	Notes
1	Bradley, Derek	Submit	18-Oct-2017 15:10:06	
2	Jackson, Sam	Approve	18-Oct-2017 15:18:55	

Related Action History

Num	Action Date	Action	From	To	Details
1	18-Oct-2017 15:18:56	Submit	SYSADMIN	Bradley, Derek	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

7.9. Conflict of Interest Declarations

Supervisors will receive a monthly summary of conflict of interest declarations made or updated by employees in their hierarchy and for applicants where they are the named supervisor on the Application form.

7.10.   Decision Maker

Organisations can opt to send a notification to prompt employees within their organisation to declare potential conflicts of interest.

HR Administration and the Local HRMS Systems and User Administration URPs can run the NHS Decision Maker Notification Process to send notifications to employees considered to be 'Decision Maker'.

Decision makers are defined as employees with a primary assignment that has a certain grade or a certain Job.

- The defined grades are XN11, XN12, XR11 and XR12.
- The jobs are listed in full in the lookup NHS_DECISION_MAKER_JOBS, but in general are jobs considered to be Director or Consultant level.

To nominate any additional staff, outside of this criteria, it is possible to add the supplementary role of 'Decision Maker' to their person record..

Running this process will send the below notification to all staff designated as 'Decision Makers' (using the criteria outlined above) prompting them to make new declarations or review their existing ones.

NOTE: This process will have a minimum re-run time of 90 days. This means that any run within 90 days of the last run for an organisation will fail and no new notifications will be sent.

7.11. Employee End Employment

Employees are able to end their own employment or a non primary assignment.

This will be sent to their manager for approval. If an employee's direct supervisor or administrator has any Payroll Approval Required URP, if approved the request will then be sent to users in the SSHR Payroll Approvals role.

7.12. Flexible Working

The Flexible Working functionality allows employees to submit requests for flexible working with the ability for managers to respond and acknowledge requests made.

Once they have submitted a request then will receive confirmation that the request has been received by the manager.If a manager does not enter a flexible working decision date on the form within two months of receiving the application then they will receive a notification informing them of this.Withdrawal of **flexible** working request

Employee and Manager Notification of end of flexible working arrangement

7.13. Employee Leave Requests

The 'Leave of Absence' function is available from the Employee Self Service URP. The function allows employees to submit absences which will go to their manager for approval.

Once the employee has applied for leave they will receive a notification advising that the request has been submitted for approval.

Worklist

View [Open Notifications ▼] [Go]

From	Subject	Sent ▼
SYSADMIN	Leave of Absence has been forwarded to Leese, Vivian	20-Jul-2017

Leave of Absence has been forwarded to Leese, Vivian

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From **SYSADMIN**
To **Joshi, Neela**
Sent **20-Jul-2017 11:35:53**
ID **347428**
Last Approver: Joshi, Neela
User Name: 504NJOSHI03
Comments:

Next Approver: Leese, Vivian
User Name: 504TRAIN21

This notification is for information only.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

The Absence Summary screen enables the employee to review what leave has been applied for or taken.

Absence Summary: Summary

Employee Name **Joshi, Mrs. Neela**
Employee Number **20095060**

| Absence Summary | Entitlement Balances |

Search

Note that the search is case insensitive

Absence Type [▼]   Start Date [   ] 📅
Approval Status [▼]   (example: 20-Jul-2017)
                                      End Date [   ] 📅

[Go] [Clear]

[Create Absence] [Export Absences] [Individual Calendar]

| | | | | Duration | | | | | |
Start Date ▼	End Date	Absence Type	Absence Category	Days	Hours	Approval Status	Details	Update	Delete	Add to Outlook
24-Jul-2017	05-Aug-2017	Annual Leave Hours 1	Annual Leave		97.5	Pending Approval	🔳	✎	🗑	📤

The manager will receive a notification advising that the request for leave requires approval

Worklist >

Leave of Absence for Joshi, Neela

| Approve | Reject | Reassign | Request Information |

From   **Joshi, Neela**
To   **Leese, Vivian**
Sent   **20-Jul-2017 11:35:53**
ID   **347429**

Attachments   iCalendar

Employee Name   **Joshi, Mrs. Neela**
Employee Number   **20095060**

Absence Details

	Proposed
Absence Status	Confirmed
Absence Type	Annual Leave Hours 1
Absence Category	Annual Leave
Absence Reason	Annual Leave
Start Date	24-Jul-2017
End Date	05-Aug-2017
Hours	97.5

View Entitlement Balances

View Entitlement Balance

Supporting Documents

Title	Type	Description	Category	Last Updated By	Last Updated	Usage	Update	Delete
No results found.								

7.14.   Absence Timeout Notification

Absence notifications will time out after 28 days and be returned to the initiator if no action is taken by the approver.

The user must click the 'Apply' button within the notification so that the absence record no longer shows as 'Pending Approval' on the employee's 'Absence Summary' page. This also gives the initiator the opportunity to resubmit the request if required.

Worklist >

Your Leave request commencing 23-May-2018 has not been approved

| Apply | Reassign | More Information Request |

From   SYSADMIN
To   AA, ESS Absence
Sent   18-May-2018 15:27:36
ID   80085

Your absence request for the period 23-May-2018 09:00 to 25-May-2018 17:00 was sent to ESS Absence Approver AA for approval on 18-May-2018 and no action has been taken.

Absence Details

	Proposed
Absence Type	Annual Leave Hours 1
Absence Category	Annual Leave
Absence Reason	Annual Leave
Start Date	23-May-2018 09:00
End Date	25-May-2018 17:00
Start Time	09:00
End Time	17:00
Hours	23
Comments	

Please resubmit the request or take alternative action to ensure your request is processed.

Action History

Num	Action Date	Action	From	To	Details
1	18-MAY-2018 15:27:36	Submit	SYSADMIN	AA, ESS Absence	

7.15. Internal Hire functionality for Self Service

When a manager hires an internal applicant using Self Service a notification will be sent to the previous manager where the Replace Primary Assignment option is selected.

Hiring an internal candidate in Self Service HR

Manager New Hire Process Notification sent to previous manager

7.16.   Change of Supervisor

Where assignment records are updated to have a new supervisor then a notification will be produced to inform supervisors of all new staff assigned to them since the last time the process ran.

This process will run over night each night and will produce a summary notification to the supervisor listing all assignments that have been assigned to them. An example of the notification is shown below:

Worklist >

New Employee Assignments in your Hierarchy

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From   **SYSADMIN**
To   **Jackson, Sam**
Sent   **20-Oct-2017 10:42:43**
ID   **347623**

You have been identified as the supervisor for the employee(s) listed below. They should appear on your ESR staff list when you log into Manager/Supervisor Self Service. Please make any assignment changes as necessary.

If these staff do not report to you please assign them to the correct supervisor or contact your ESR System Administrator.

Supervising Assignment Number	Last Name	First Name	Title	Assignment Number	Position	Location	Previous Supervisor	Previous Supervisor Email
20055583	Jimenes	Monica	Miss	20095312	84608|Staff Nurse Band 6|N6A|Surgery|	504 ESR Hospital	Leese21, Mrs. Vivian	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Where an employee is listed as an active additional supervisor of an assignment and is terminated then a notification is sent to the main supervisor of the assignment.

Worklist >

Status of Supervisor Assignment 20101343 for Mr. Derek Bradley has been Changed to Terminate Process Assignment on 18-OCT-2017

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To   **Jackson, Sam**
Sent   **18-Oct-2017 15:08:07**
ID   **347513**

The above supervisor assignment was listed as an additional supervisor for the following assignments:

Employee Number	Assignment Number	Title	First Name	Last Name	Organisation	Position
20055614	20055614	Mrs.	Christine	Neville	504 Ward 9	Staff Nurse Band 5

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

7.17.   Revalidation Expiry

Where a professionally registered nurse or midwife's revalidation date is due in twelve, six or four months, a revalidation expiry notification is sent to the employee and their manager.

Example Notifications:

Employee - 4 Month

Manager - 4 Months

Short Notice notifications

A short notice notification will also be triggered and will list all employee assignments where either of the following scenarios apply:

- There has been an update to their revalidation date which results in the new revalidation date being less than 4 months from the current date as at the time of the update.
- A new employee with NMC Registration has commenced employment and their revalidation date is less than 4 months from their latest start date.

Example Notifications:

Employee Short Notice

[Type here]

NMC Revalidation Expiry Reminder - Short Notice

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To CR35054, Test02
Sent 13-Feb-2017 10:22:15
ID 310708371

Your NMC Revalidation is now due for renewal in less than 4 months.

This notification is being sent for one of the following reasons:

1. You have recently commenced employment with the organisation and your NMC Revalidation Date is less than 4 months from your latest hire date.
2. Your NMC revalidation Date has been updated from No Value to 31-MAY-2017.

NMC PIN: 12A1234A
Revalidation Expiry Date: 31-MAY-2017

The NMC states that you must make your application for revalidation by the due date which is the 1st of the month in which the revalidation expires.
You can begin uploading documentation as early as 90 days before your revalidation date.

Please ensure that you take the necessary steps to ensure that you are revalidated by this date including registering for the NMC Online Service.

Your Line Manager has been notified.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

Manager - Short Notice

NMC Revalidation Expiry Reminder - Short Notice

ⓘ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

To CR35054, Test01
Sent 13-Feb-2017 10:22:16
ID 310708375

The NMC Revalidation Date for the following employees is now due for renewal in less than 4 months.

This short notice notification is being sent for one of the following reasons:

1. They have recently commenced employment with the organisation and their NMC Revalidation Date is less than 4 months from their latest hire date.
2. Their NMC Revalidation Date has been updated and is due for renewal in less than 4 months.

Last Name	First Name	Title	NMC PIN	Organisation	Assignment Number	Position Number	Position Description	Location	Current Revalidation Date	Previous Revalidation Date
CR35054	Test02		12A1234A	444 Organisation 567650	26348997	19261408	Position 7982150	444 Location 241965	31-MAY-2017	

The NMC states that they must make their application for revalidation by the due date which is the 1st of the month in which the revalidation expires.

The individual employees have also been notified.

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

7.18.   Change of Contract and Working Terms

Organisations have the option to send notifications to employees when there are one or more changes to an assignment for the following data items:

- Position Title
- Grade
- Salary (pro rata)
- Contracted Hours

This is controlled via the DFF segment 'Send Change of Contract and Working Terms Notification' on the "Add'l Org. Unit Details DFF" in Local Workstructures.

A weekly process will run which will look at the status of the above data items at the end of the week and compare them with the values (stored from the previous week). Where any of the items are different then a notification will be generated to the applicable employee. If changes have been made to more than one data item for one assignment record between the process run dates then one notification will be generated showing all the changes made to that assignment.

If more than one change has been made to one data item that relate to the same effective date within the process run dates then one notification will be generated showing the latest change to that particular data item.

If a data item is changed and then subsequently changed back (i.e. the change is removed) within the process run dates then no notification will be generated.

If an employee has multiple assignments and changes are made to the specified data items for one or more of the assignment records then a notification will be sent to the employee for each assignment record.

When this is set to Yes the employee will receive an FYI notification with details of the changes.

NHS My ESR

Search | Home Navigator Favorites Settings | Logged In As **374AAPOSITION** Help Logout

Worklist >

ℹ Information
This notification does not require a response.

Change to Working Conditions

[OK] [Reassign]

To AA, Position
Sent 13-Feb-2018 09:51:02
ID 438126212

The following changes have been made to your ESR Record for assignment 27087311

Item	From Value	To Value	Effective Date	Changed By	DateTime Stamp
Grade	NHS|XN08|Non Review Body Band 8 - Range A	NHS|XR07|Review Body Band 7	31-MAR-18	AANGEL	12-02-2018 11:35:03
Position	20100193|Position 8159688|G2A|Information and Communication Technology	675423|Position 7251675|U4E|Cardiac Physiology	31-MAR-18	AANGEL	12-02-2018 11:35:03

Please note that this change is an amendment to your contract and working terms and conditions.

Return to Worklist
☐ Display next
notification after
my response

[OK] [Reassign]

8. ADMINISTRATOR SELF SERVICE

To enable delegation of the maintenance and updating of employees personal and assignment information within ESR the Administration Self Service URPs are available. The administrator must be entered in the supervisor hierarchy above the employees for which they will be responsible for maintaining, although they do not have to sit directly below a manager, as approvals are controlled by the 'Manager' tick-box located on the assignment form, Miscellaneous Tab.

This means that an administrator can act on behalf of managers both above and below them in the supervisor hierarchy, with approval going to the manager with the appropriate designated authority to approve the changes for those employee changes.

A simplified example of a hierarchy may look something like this:

Once the hierarchy has been created, the way in which actions made by the administrator are processed will need to be defined and, the required business processes further refined through the assiduous allocation of URPs to others within the hierarchy.

Using Enter and Maintain, navigate to the Administrators Personal Details Form. Click the Others Button and select Extra Information. Now select the Administrator Actions Approvals menu. From this menu the administrator's actions can be set to:

- go to the employees manager for approval
- go to the employees manager for information only
- no information is sent to the employees manager

The approvals are split between two groups:

Group A

- Administer Assignment Changes
- Administer Hours Changes
- End Employment
- Administer Hires

Group B:

- Administer Personal Information
- Administer Property Register
- Administer Supervisor Changes
- Administer Location Changes
- Administer Learning
- Administer External Learning
- Administer Absence
- Administer Competencies
- Administer Qualifications
- Administer Registrations and Membership
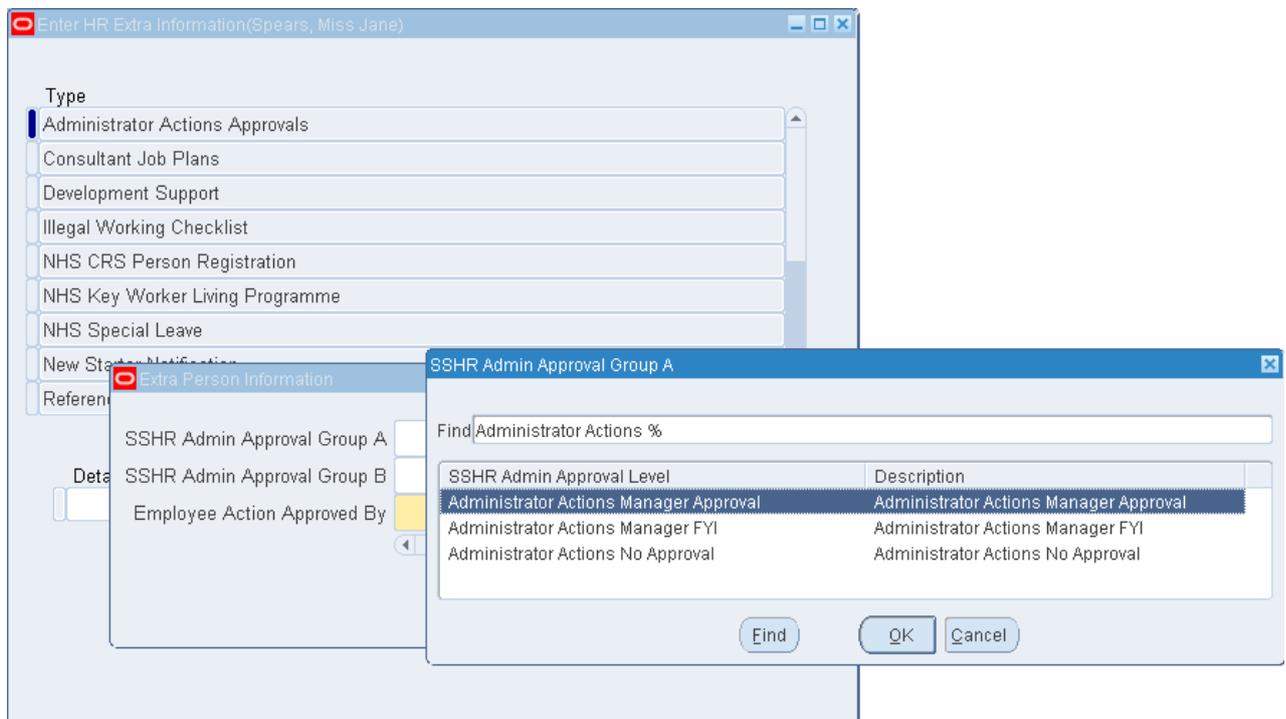
As mentioned earlier any actions submitted using Employee Self Service that require further approval can be routed to either the first level supervisor, or to the second level supervisor. Using the same example as before, a simple hierarchy might be defined as follows:

In this example any actions submitted by the team leader (using ESS) will go to the senior manager, if Second Level Supervisor is selected against the administrator or to the administrator if First Level Supervisor has been selected.
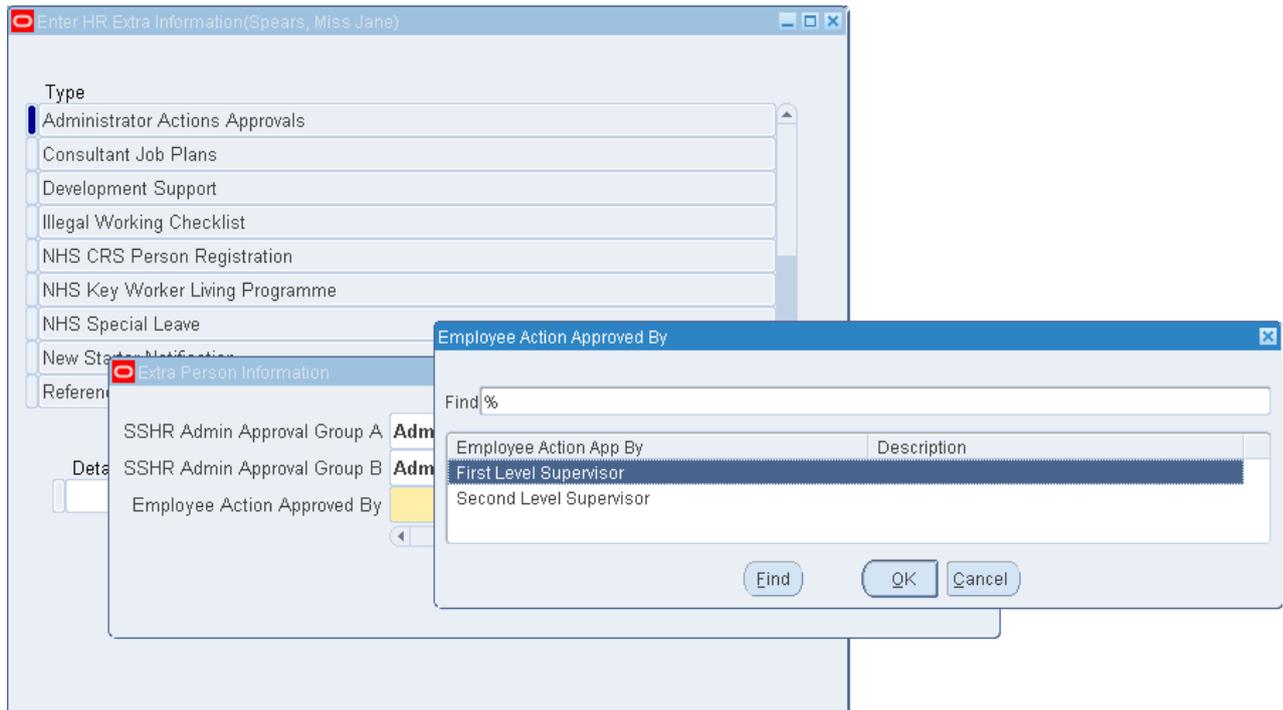
Administrator Self Service can be used with or without payroll approvals. If the administrator has the Administrator Self Service (Payroll Approvals Required) URP then regardless of which URPs their manager has the change request will be sent to the SSHR Payroll Approvals role holder(s) for any changes which are applicable i.e. those marked (Approval Required).

8.1. Administrator Notifications

The administrator will receive notifications back from the approving manager on any change that they make which requires approval.

In the following example the administrator initiates an hours change on behalf of the manager. The administrator, before submitting this can add a comment to the manager.

Administer Hours (Approval Required): Review

Effective Date 19-Oct-2017

Employee Name	**Neville, Mrs. Christine**
Employee Number	**20055614**
Job	**Nursing and Midwifery Registered|Staff Nurse**

Cancel | Printable Page | Back | Submit

Organisation	**504 Ward 9**
Organization Email Address	
Supervisor	**Wright, Ms. Dierdre**

Review your changes and, if needed, attach supporting documents.
○ Indicates Changed Items.

Work Schedule

	Current	Proposed
Work Hours	30	37.5 ○
Frequency	Week	Week
Assignment Category	Permanent	Permanent
Local Employment Contract	No	No
New Deal	No	No
Job Sharer	No	No
Night Worker	No	No
Incremental Date	01-Aug-2005	01-Aug-2005
Absence Accrual Start Date	01-Apr-2000	01-Apr-2000
Maximum Part Time	No	No
Start Date in Grade	01-Jan-2001	01-Jan-2001
No. of Increments	1	1
Accommodation Status	None	None

Additional Information

Attachments

To help approvers understand the request, you can attach supporting documents, images, or links to this action.

None Add

Approvers

Details	Approver	Status	Delete
› Show	Jackson, Sam		🗑
› Show	SSHR Payroll Approvals		🗑

› Add Adhoc Approver

Comments to Approver

As requested, I have changed Christine's hours

The confirmation shows that the changes have been submitted for approval

Confirmation

Your changes have been submitted for approval.

Home

Once submitted the administrator receives a notification informing them that the changes have gone for approval, and to whom they have gone for approval.

Worklist >

NHS Administrators Change Hours for Neville, Mrs. Christine (forwarded to Jackson, Sam)

ℹ Information
This notification does not require a response.

[OK] [Reassign] [Request Information]

From	**SYSADMIN**
To	**Wright, Dierdre**
Sent	**19-Oct-2017 11:02:59**
ID	**347571**
Last Approver	**Wright, Dierdre**
User Name	**504DWRIGHT21**
Comments	**As requested, I have changed Christine's hours**
Next Approver	**Jackson, Sam**
Approver User Name	**504SJACKSON21**

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

The manager will receive a notification informing them of the change and asking for their approval.

Worklist >

NHS Administrators Change Hours for Neville, Christine (proposed by Wright, Dierdre)

[Approve] [Reject] [Reassign] [Request Information]

From	**Wright, Dierdre**	Attachments
To	**Jackson, Sam**	
Sent	**19-Oct-2017 11:11:46**	
Due	**27-Oct-2017 11:11:46**	
ID	**347575**	

Summary

Effective Date 19-Oct-2017

Employee Name	**Neville, Mrs. Christine**	Organisation	**504 Ward 9**
Employee Number	**20055614**	Organization Email Address	
Job	**Nursing and Midwifery Registered|Staff Nurse**	Supervisor	**Wright, Ms. Dierdre**

🔵 Indicates Changed Items.

Work Schedule

	Current	Proposed
Work Hours	30	37.5 🔵
Frequency	Week	Week
Assignment Category	Permanent	Permanent
Local Employment Contract	No	No
New Deal	No	No
Job Sharer	No	No
Night Worker	No	No
Incremental Date	01-Aug-2005	01-Aug-2005
Absence Accrual Start Date	01-Apr-2000	01-Apr-2000
Maximum Part Time	No	No
Start Date in Grade	01-Jan-2001	01-Jan-2001
No. of Increments	1	1
Accommodation Status	None	None

Action History

Num	Action Date	Action	From	To	Details
1	19-Oct-2017 11:11:46	Submit	Wright, Dierdre	Jackson, Sam	As requested, I have changed Christine's hours

Once the manager actions this change a notification will be sent back to the administrator informing them that the change has been approved/rejected etc.

If further Payroll approvals are required then these are sent to be actioned following the initial approval of the Administrator's action.

Worklist >

NHS Administrators Change Hours for Neville, Mrs. Christine (forwarded to SSHR Payroll Approvals)

ℹ️ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From **SYSADMIN**
To **Wright, Dierdre**
Sent **19-Oct-2017 11:14:00**
ID **347576**
Last Approver **Jackson, Sam**
User Name **504SJACKSON21**
Comments
Next Approver **SSHR Payroll Approvals**
Approver User Name **PQH_ROLE:7**

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

The Action history shows the levels of approval already given before the person in the SSHR Payroll Approvals role gives their approval for the change

Action History

Num	Action Date	Action	From	To	Details
1	19-Oct-2017 11:11:46	Submit	Wright, Dierdre	Jackson, Sam	As requested, I have changed Christine's hours
2	19-Oct-2017 11:13:59	Approve	Jackson, Sam	Workflow System	
3	19-Oct-2017 11:14:01	Delegate	SSHR Payroll Approvals	SSHR Payroll Approvals 649	

Finally the Administrator is notified of the changes

Worklist >

NHS Administrators Change Hours for Neville, Mrs. Christine has been approved. These changes are effective from 19-OCT-2017.

ℹ️ **Information**
This notification does not require a response.

[OK] [Reassign] [Request Information]

From **SYSADMIN**
To **Wright, Dierdre**
Sent **19-Oct-2017 11:16:19**
ID **347578**
Final Approver **SSHR Payroll Approvals**
User Name **Leese21, Vivian**
Note From Last approver

Action History

Sequence	Name	Action	Date	Notes
1	Wright, Dierdre	Submit	19-Oct-2017 11:09:19	As requested, I have changed Christine's hours
2	Jackson, Sam	Approve	19-Oct-2017 11:13:59	
3	SSHR Payroll Approvals 649	Approve	19-Oct-2017 11:16:19	

[OK] [Reassign] [Request Information]

Return to Worklist
☐ Display next notification after my response

All other actions which will go for approval will have similar notifications.

8.2. Typical Transaction Examples

The following examples are designed to demonstrate typical transactions which would take place on a regular basis within a self-service hierarchy. Although it is not possible to replicate all the complexities that may exist within large organisations, the principles applied should be exactly the same, and scaled accordingly.

The information used in all the examples is as follows:

Staff Hierarchy:

Within self-service the structure would look like this:

For the purpose of the examples which follow the User Responsibility Profiles allocated are with 'Payroll Approvals Required' for the Senior Manager and the Administrator, the Very Senior Manager having 'No Payroll Approvals Required'.

The table of URPs allocated to all users in the hierarchy is shown below:

	ESS	ADM	SSS	MSS
Very Senior Manager	✓			✓
Senior Manager	✓			✓
Administrator	✓	✓		
Team Leader	✓		✓	
Employees	✓			

Key:
ESS   Employee Self Service
ADM   Administrator Self Service
SSS   Supervisor Self Service
MSS   Manager Self Service

The following table shows how each individual's record within the hierarchy was setup:

Employee Both Lawrence and Neville report to Joshi and are setup the same	
Employee Both Lawrence and Neville report to Joshi and are setup the same	
Lawrence also reports to an additional supervisor, Matthews	
Team Leader Joshi reports to Wright	

Administrator Wright is the administrator and reports to Jimenes	
ADM settings for Wright	
Senior Manager Jimenes reports to Jackson and has Manager box checked	
Very Senior Manager	

[Type here]

Change of Hours:

1. Administer change of hours for Mary Lawrence

2. No notifications received by Joshi (Team Leader) or Matthews (Additional Supervisor)

3. Jimenes (Senior Manager) has received notification for approval

Employees Updates to Work Email Address:

1. Mary Lawrence (Employee) submits a request using ESS to update her work email address
2.

Personal Information: Review   Cancel | Printable Page | Back | Submit

Employee Name **Lawrence, Mrs. Mary**
Employee Number **20055596**

Review your changes and, if needed, attach supporting documents.
Indicates Changed Items.

Basic Details

	Current	Proposed
Effective Date	28-Jan-2005	28-Jan-2005
Title	Mrs.	Mrs.
Full Name	Lawrence, Mrs. Mary	Lawrence, Mrs. Mary
First Name	Mary	Mary
Last Name	Lawrence	Lawrence
Employee Number	20055596	20055596
Marital Status	Widowed	Widowed
Work Email Address		m.lawrence@nhs.net
Ethnic Origin	0 White	
Country of Birth	Australia	Australia
Nationality	British	British
Gender	Female	Female

Additional Information

Attachments

To help approvers understand the request, you can attach supporting documents, images, or links to this action.

None Add

Approvers

Details	Approver	Status	Delete
>	Matthews, Pauline		🗑
>	Joshi, Neela		🗑

3. Neela Joshi (Team Leader) receives the notification for approval

Worklist >

NHS Employee Personal Information Process for Lawrence, Mary

| Approve | Reject | Reassign | Request Information |

From **Lawrence, Mary**
To **Parallel Approvers Group For 40130**
504MATTHEWS,504JOSHI20
Sent **22-Mar-2018 10:14:22**
Due **30-Mar-2018 10:14:22**
ID **349030**

Attachments

Summary

Employee Name **Lawrence, Mrs. Mary**
Employee Number **20055596**

○ Indicates Changed Items.

Basic Details

	Current	Proposed
Effective Date	28-Jan-2005	28-Jan-2005
Title	Mrs.	Mrs.
Full Name	Lawrence, Mrs. Mary	Lawrence, Mrs. Mary
First Name	Mary	Mary
Last Name	Lawrence	Lawrence
Employee Number	20055596	20055596
NI Number	WA504172A	WA504172A
Date of Birth	01-Jan-1960	01-Jan-1960
Work Email Address		m.lawrence@nhs.net ○
NHS OSP Scheme	NHS OSP SCHEME	NHS OSP SCHEME
NHS OMP Scheme	NHS OMP SCHEME	NHS OMP SCHEME
Legacy Employee Number	20000212	20000212
Pension SD Number	11111111	11111111
Proj New Starter NTF Sent Date	01-Jan-2001	01-Jan-2001
Latest Hire NTF Sent Date	08-Feb-2007	08-Feb-2007
Nationality	British	British
Gender	Female	Female

Pauline Matthews (Additional Supervisor) receives the notification for approval

Worklist >

NHS Employee Personal Information Process for Lawrence, Mary

| Approve | Reject | Reassign | Request Information |

From **Lawrence, Mary**
To **Parallel Approvers Group For 40130**
504MATTHEWS,504JOSHI20
Sent **22-Mar-2018 10:14:22**
Due **30-Mar-2018 10:14:22**
ID **349030**

Attachments

Summary

Employee Name **Lawrence, Mrs. Mary**
Employee Number **20055596**

○ Indicates Changed Items.

Basic Details

	Current	Proposed
Effective Date	28-Jan-2005	28-Jan-2005
Title	Mrs.	Mrs.
Full Name	Lawrence, Mrs. Mary	Lawrence, Mrs. Mary
First Name	Mary	Mary
Last Name	Lawrence	Lawrence
Employee Number	20055596	20055596
NI Number	WA504172A	WA504172A
Date of Birth	01-Jan-1960	01-Jan-1960
Work Email Address		m.lawrence@nhs.net ○
NHS OSP Scheme	NHS OSP SCHEME	NHS OSP SCHEME
NHS OMP Scheme	NHS OMP SCHEME	NHS OMP SCHEME
Legacy Employee Number	20000212	20000212
Pension SD Number	11111111	11111111
Proj New Starter NTF Sent Date	01-Jan-2001	01-Jan-2001
Latest Hire NTF Sent Date	08-Feb-2007	08-Feb-2007
Nationality	British	British
Gender	Female	Female

Approval of the notification by either supervisor will close the notification for the other supervisor.

NHS Workflow

Home Navigator Favorites Settings | Logged In As **504MATTHEWS** Help Logout

Worklist

View All Notifications Go

Select Notifications: Open Reassign Close

Subject ▲	Sent ▲	Due - Fn Level ▲	From ▲	Status ▲	Type ▲
NHS Employee Personal Information Process for Lawrence, Mary	22-Mar-2018	30-Mar-2018	Lawrence, Mary	Closed	HR

4. Neela Joshi (Team Leader) submits a request using ESS to update her work email address

Personal Information: Review

[Cancel] [Printable Page] [Back] [Submit]

Employee Name **Joshi, Mrs. Neela**
Employee Number **20095095**
Review your changes and, if needed, attach supporting documents.
○ Indicates Changed Items.

Basic Details

	Current	Proposed
Effective Date	01-Jun-2006	01-Jun-2006
Title	Mrs.	Mrs.
Full Name	Joshi, Mrs. Neela	Joshi, Mrs. Neela
First Name	Neela	Neela
Last Name	Joshi	Joshi
Employee Number	20095095	20095095
Marital Status	Married	Married
Work Email Address		n.joshi@nhs.net ○
Date of Birth Verified	01-Jun-2006	01-Jun-2006
CSD 3 Months	01-Jun-2006	01-Jun-2006
CSD 12 Months	01-Jun-2006	01-Jun-2006
NHS Entry Date	01-Jun-2006	01-Jun-2006
Ethnic Origin	H Asian or Asian British - Indian	H Asian or Asian British - Indian
Country of Birth	India	India
Nationality	British	British
Gender	Female	Female

Additional Information

Attachments

To help approvers understand the request, you can attach supporting documents, images, or links to this action.

None [Add]

Approvers

Details	Approver	Status	Delete
>	Jimenes, Monica		🗑

5. Monica Jimenes (Senior Manager) receives the notification for approval. This is because there are ADM settings (Second Level) against Wright, and so the request goes to Monica Jimenes not the administrator.

Worklist >

NHS Employee Personal Information Process for Joshi, Neela

[Approve] [Reject] [Reassign] [Request Information]

From **Joshi, Neela**
To **Jimenes, Monica**   Attachments
Sent **19-Oct-2017 13:14:40**
Due **27-Oct-2017 13:14:40**
ID **347593**

Summary

Employee Name **Joshi, Mrs. Neela**
Employee Number **20095095**
○ Indicates Changed Items.

Basic Details

	Current	Proposed
Effective Date	01-Jun-2006	01-Jun-2006
Title	Mrs.	Mrs.
Full Name	Joshi, Mrs. Neela	Joshi, Mrs. Neela
First Name	Neela	Neela
Last Name	Joshi	Joshi
Employee Number	20095095	20095095
NI Number	JC123484A	JC123484A
Date of Birth	01-Jan-1974	01-Jan-1974
Work Email Address		n.joshi@nhs.net ○
Date of Birth Verified	01-Jun-2006	01-Jun-2006
CSD 3 Months	01-Jun-2006	01-Jun-2006
CSD 12 Months	01-Jun-2006	01-Jun-2006
NHS Entry Date	01-Jun-2006	01-Jun-2006
NHS OSP Scheme	NHS OSP SCHEME	NHS OSP SCHEME
Nationality	British	British
Gender	Female	Female

Action History

Num	Action Date	Action	From	To	Details
1	19-Oct-2017 13:14:40	Submit	Joshi, Neela	Jimenes, Monica	