# NHS ELECTRONIC STAFF RECORD

# ESR-NHS0078 - HR BEST PRACTICE

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| Author: | Nicole Stacey |
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| | |
|---|---|
| Name | Chris Moorley |
| Title | Senior Development Advisor |

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## 1.2. REVIEWERS

| Name | Position |
|---|---|
| James Haddon | Senior Development Advisor |
| Charlotte Hampton | Assistant Development Advisor |
| Chris Holroyd | Development Advisor |
| Matthew Lye | Assistant Development Advisor |
| Matthew Madya | BI Support Analyst |
| Pushpa Mistry | Assistant Development Advisor |
| Chris Moorley | Senior Development Advisor |
| Kieron Walsh | Senior Development Advisor |
| Tracey Wilcock | Senior Development Advisor |
| Sam Wright | Workforce Information Advisor |

## 1.3. DISTRIBUTION

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# 2. CONTENTS

# 3. INTRODUCTION

## 3.1. BACKGROUND

This document provides additional support on how to use ESR functionality to deliver maximum benefit and recommends the processes and reports to support this.

To support ESR best practice the timely population of high quality, accurate and validated data is essential. This ensures that managers across NHS Organisations have access to information to inform decision making, business processes and workforce planning.

Fundamental to this is the use of Self Service for Managers and Employees which ensures that information is entered as efficiently as possible reducing the reliance on paper based processes.

ESR can support information provision giving timely and accurate information, allowing analysis to identify trends. The system can also deliver training and identify gaps in workforce development needs.

This document is not intended as a full user guide. Full instructions on the processes documented are in the ESR User Manual which can be accessed via the ESR Hub. To access click here.

# 4. OVERVIEW

This guide references and describes the functional areas of ESR separately; however, as ESR is an integrated system there are elements of the functionality which need to be considered in relation to others.

All users of ESR should receive appropriate training and access to guidance materials.

Many of the data items and List of Values used within ESR are driven by national data standards which all NHS organisations must comply with. These values are detailed in the National Workforce Data Set (NWD) document. To access click here.

# 5. WORKSTRUCTURES

The workstructure details must reflect the way in which you wish to report on your organisation. Details should be determined through collaboration, particularly between HR and Finance, taking into account the needs of Payroll and the organisation's management tiers. Workstructure setup may also have implications for NHS CRS (Care Records Service) access, where organisations have activated the ESR interface to CIS (Care Identity Service).

## 5.1. LOCATIONS

### 5.1.1. Overview

The Location should be used to identify all physical sites and their addresses. This can be premises where training takes place; whether this is internal or external to the Employing Authority.

### 5.1.2. Key Points

Where Organisations are still distributing paper payslips this field can be used to assist with their delivery. If this is a requirement 'z' must be used as part of the naming convention to identify.

Location names must be prefaced with the 3-digit Employing Authority identifier, also known as the Virtual Private Database (VPD) code.

### 5.1.3. Further Details

Guidance on how to set up Locations can be found in the ESR User Manual. To access click here.

## 5.2. ORGANISATIONS

### 5.2.1. Overview

An Organisation is used to group staff together for reporting and security purposes via the hierarchy in which it resides. It also enables the financial Charitable Marker and Cost Codes to be attached to different groups of employees.

### 5.2.2. Key Points

Once a new Organisation is created it must immediately be attached to a parent Organisation within an existing Organisation hierarchy, otherwise it will not become visible to users after the overnight Security List Maintenance process has been run.
The hierarchy should reflect the structure of the Employing Authority in terms of its Directorates, Divisions, Clinical Management Teams, Wards, Departments, etc. as this will determine the output of any organisation-based reports.
Separate Organisation Types should be used to enable other functionality:

- For Bank positions; so that the Bank Administration module can locate them.
- For Widowers who are to receive NHS Pensions payments; to ensure they are not considered to be employees and therefore not included in headcount reporting as they will not be treated as employees. The value entered for the Organisation Type field should be 'Service'.
- More than one Organisation Classification (HR and Training Centre) can be attached to an Organisation.

The Add'l Org. Unit Details DDF of the Organisation is used to define the below:

- The 'Hosted Org' field can be used to identify organisations hosted for an external body. In order to separately identify each Hosted Organisation it is also necessary to utilise the 'Location' and/or 'Site' details. Hosted records can then be counted separately from the Host's total which might otherwise appear inflated. This is particularly important for Data Warehouse Users to understand correct organisational workforce metrics.

- ODS codes are allocated by NHS England and provide a unique identification record for any organisational entity at almost any level, be that an NHS Trust, or one of its hospitals.

- The Code must be assigned at the top-level 'Trust' organisation to cascade down through the organisational hierarchy. This is mandatory when the interface between ESR and the Care Identity Service system is enabled (England Only).

- Enabling the Auto User Creation will ensure that the appropriate ESR Employee Self Service User Account is automatically set up for new starters, or applicants whose status is set to "Offer Accepted. The appropriate option can be chosen from the list of values.

- The Automatic Internet Access setting removes the need for users to log into ESR using an N3HSCN connection and makes a request to 'Manage Internet Access' via the internet. This works in conjunction with the Auto User Creation process so will not take into consideration user accounts created manually.

- Auto IAT Initiation and Approval ensures that IAT requests can be managed by the requesting Employing Authority (Initiator) reducing timeouts and enabling any pre-IAT datasets to be transferred at the pre hire stage at the point of approval. The process also eliminates the need to switch between the IAT Initiator and Approver URP's when performing an internal IAT.

- Send Change of Contract and Working Terms Notification is fundamental to ensuring SSHR users receive the notification which can replace the need for "paper" contract updates.

### 5.2.3. Further Details

Guidance on how to set up Organisations can be found in the ESR User Manual on the ESR Hub. To access click here.

## 5.3. COST CENTRES

### 5.3.1. Overview

A Cost Centre should be set for each Organisation to ensure that all employees placed into a Position associated with the Organisation will "inherit" the default cost centre. A cost centre should not normally be added to an assignment record unless the costs for a particular assignment need to be proportioned across two or more cost centres.

### 5.3.2. Key Points

New cost centres are set up through the XXX Local HRMS Systems and User Administration URP

Refer to Local Procedures to identify correct coding procedure.

### 5.3.3. Further Details

Guidance on how to allocate a Cost Centre to an Organisation can be found in the ESR User Manual. To access click here.

## 5.4. POSITIONS

### 5.4.1. Overview

It is essential that the correct ESR Position is selected when reassigning staff or appointing a new member of staff. All Organisations should have local procedures for requests for new positions or amendments. This will ensure data integrity and accurate reporting.

### 5.4.2. Key Points

With the exception of Doctors in Training multiple employees in the same department with the same job e.g. Grade, Band, Occupation Code and Cost Centre should be allocated to the same Position.

Each Doctor in Training should be allocated their own position so that their Deanery Post Number (DPN) can be recorded against individual positions. This enables organisations to utilise the Doctor in Training Interface.

Where organisations have activated the ESR interface to NHS CRS applications the allocation of ESR Positions to employees may also provide access to NHS CRS applications. Organisations should be aware of this when selecting positions.

Staff Group, Job Role and Occupation Code need to be allocated to every Position.

Once Staff Group/Job Role values have been saved against a Position they cannot be altered locally. If a change is necessary, either because of a mistake or a change to the national value set, this can only be achieved by raising an SR asking to make use of the Mass Update of Job Role functionality which the NHS Central Team will provide assistance with.

Entering a total FTE to be used as a funded/budgeted value for the position will enable establishment control by providing reporting details of the Funded versus the Actual FTE values. Organisations should ensure that they have a robust process to ensure that any changes in establishment are communicated between Finance and HR/Workforce Departments to facilitate regular update of funded/budgeted establishment in ESR.

The position can be used to set competency requirements in order to monitor compliance, so this may need to be taken into account when defining and assigning positions.

Additional position requirements such as Disclosure and Barring Service (DBS) and Professional Registration requirements must also be entered. A position can also be identified as ‘Eligible for OH processing’ and ‘Exposure Prone Procedure’ for Occupational Health purposes. Entering this data enables immunisations and checks data to be transferred securely as part of the Inter Authority Transfer (IAT) process and also enables gap reporting by comparing the position requirements against the attributes held by the assigned individuals.

Positions and assignments can be flagged to identify if they are occupied by employees defined as Frontline Healthcare Workers. This will provide the NHS with the visibility and tools to make accurate payments to providers relating to vaccinations. This reduces the need for manual data collections and reporting burdens on organisations.

Where the position is defined as Frontline but an individual within the position does not meet the criteria for Frontline due to different responsibilities organisations can override the position setting at assignment level.

Where employees are based in a workplace that is different from their employing organisation this can be recorded in The Workplace Org Code field. This satisfies not only the Data Warehouse requirement to be able to report on a person’s actual Workplace Organisation as distinct from their Employing Organisation but also NHS England reporting requirements, and the Model Hospital activity unit costs and for calculating NHS Resolution premiums.

### 5.4.3. Further Details

Guidance on how to set up Positions can be found in the ESR User Manual. To access click here.

For further information on access to NHS CRS applications contact your organisations Registration Authority Manager or Information Governance Lead.

The Occupation Code Manual can be found on the NHS England website. To access click here.

Guidance on the allocation of Staff Groups, Job Roles and Areas of Work can be found on the NHS England Website. To access click here.

# 6. RECRUITMENT

### 6.1.1. Overview

The ESR recruitment module enables organisations to undertake the full recruitment cycle from the raising of a requisition through to the acceptance of an offer.

The use of third party electronic recruitment systems within the NHS streamlines recruiting practices. To facilitate the transfer of information between ESR and a third party system it is recommended that Organisations utilise the e-recruitment Interface.

This bi-directional interface enables vacancy and application data to be transferred between third party systems and ESR. At the end of the recruitment process key information on applicants can be transferred to ESR from the e-recruitment system. For the successful applicant this information can be used to populate a new ESR employee record.

### 6.1.2. Key Points

Ensure that the Recruitment and HR URP's are allocated.

Allocate the 'Employment Checklist Role' so that the role holder can be notified when medical clearance in the ESR Occupational Health module has been granted.

In English organisations Smartcards for applicants with a status of offer accepted can be produced using the ESR interface to CIS. This is useful where significant numbers of new starters are joining the organisation at the same time, for example Doctors in Training.

Please note:
ESR needs to know which employees are RA sponsors in order to send messages across the interface to CIS. A Supplementary Role of 'NHS CRS Sponsor' needs to be allocated to all such employees. It will only be possible to allocate this to employees who are NHS CRS Authenticated (i.e. already have a UUID on their record and are identity checked to e-GIF level 3).

Complete the recruitment process correctly by ensuring that vacancies are closed at the end of the recruitment cycle and unsuccessful applicants have the status of their unsuccessful applications set to 'Terminate Application'. This is to ensure that they become an ex-applicant and are included in the monthly national applicant purge process 13 months later.

### 6.1.3. Further Details

Guidance on how to utilise the Recruitment Module can be found in the ESR User Manual. To access click here.

## 6.2. NHS MANDATORY EMPLOYMENT CHECKS

### 6.2.1. Overview

Pre-Employment Checks seek to verify that an applicant meets the preconditions of the position they are applying for. The NHS is required to carry out the six checks outlined in the NHS Employers Employment Check Standards (April 2023) for all staff, volunteers and contractors providing NHS services.

The six checks that must be undertaken are:

- Verification of Identity
- Right to Work Checks
- Professional Registration and Qualifications
- Employment History and References
- Criminal Record and Barring Checks
- Work Health Assessments - Occupational Health Information

The checks should be completed as part of the recruitment process once a conditional offer of employment has been made.  They are usually carried out by the HR Department.  Checking of identity for all new joiners provides evidence to meet the national e-GIF (e-Government Interoperability Framework) Level 3 standards required for identity checking.

### 6.2.2. Key Points

As many of the employment checks are designated as Pre-Employment, they will have been undertaken in the recruitment process when making the applicant a conditional offer of employment. However, some checks also need to be completed on new hires. It is recommended that identification; qualification and registrations details are also checked as part of the hire process.  Checking of identity for all new joiners is a key requirement within the safer recruitment practices recommended by NHS Employers, as well as providing the evidence to meet the national e-GIF Level 3 standards required for identity checking.  e-Gif sets out the government's technical policies and specifications for achieving interoperability between information systems across the public sector.

The types of documents checked can be recorded in ESR on the Verification of ID forms which are accessed via the NHS Employer Mandatory Employment Checks form. These must be completed as part of the recruitment and or appointment process. (Refer to Local Procedures and compliance with Minimum Data Standards).

### 6.2.3. Further Details

More detailed information about each of the six mandatory checks is available on the NHS Employers Website. To access click here.

Guidance on recording Employment Checks can be found in the ESR User Manual. To access click here.

## 6.3. Fit and Proper Persons Regulation

### 6.3.1. Overview

The Fit and Proper Person Regulation (FPPR) came into force for all NHS trusts in November 2014. The regulation requires that organisations seek assurance that all executive and non-executive directors (or those in equivalent roles) are suitable and fit to undertake the responsibilities of their role.  The Fit and Proper Test Framework is effective from the 30th September 2023 and aids board members to build a portfolio to support and provide assurance that they are fit and proper, while demonstrably unfit board members will be prevented from moving between NHS organisations.

### 6.3.2. Key Points

ESR enables the recording of various Fit and Proper Person Tests listed below:

- Social Media Date Checked
- Social Media Policy Met
- Employment Tribunal Judgement Checked
- Disqualified Charity Trustee Checked
- FPP Chair Sign-off
- FPP Clearance Exceptions

In addition, organisations can record that they have completed an exit reference for all Directors via the ‘Exit Reference Completed’ field available within the Termination DFF.

### 6.3.3. Further Details

Guidance on recording Fit and Proper person information can be found in the ESR User Manual. To access click here.  More information regarding Fit and Proper Persons Test can be found in NHS England Fit and Proper Person Test Framework for Board Members published by NHS England.  To access the document click here.

## 6.4. DOCTORS IN TRAINING INTERFACE

### 6.4.1. Overview

Doctors often move between NHS organisations during their foundation and specialty training. This requires each organisation to hold HR, payroll and training and competency information for them.

Organisations are encouraged to use the Streamlined ESR and Doctors in Training Interface to eradicate duplicate data entry and ensure that up to date information is recorded and shared with the Deanery computer systems.

The interface design allows transfer of data where training posts are managed by an external Deanery.

The outbound interface provides the deanery system information for all positions in ESR that include a Deanery Post Number (DPN). This allows the Deanery organisation to reconcile their post information against ESR. This supports the transfer of information to the appropriate employer (within ESR) following the recruitment process or prior to rotation changes.

The process will also support the host and lead employer arrangement where a medical trainee occupies a position geographically situated within one organisation, but is employed by another. This information transfer is facilitated by the 'host' and 'lead' employer indicators included in the Position Description form (Workstructures element of ESR)

### 6.4.2. Key Points

Ensure that the Deanery Post Number against the position, which can be found under "Extra Position Info > Medical and Dental Post Details"', has been populated as this is used as an identifier for matching. Duplicate DPNs will be identified on the Medical and Dental tab of the BI Position Dashboard, which will highlight any Medical and Dental Training positions not set up correctly.

Ensure that the appropriate medical recruiter has the Medical Staffing Officer Role allocated to them so that they can receive ESR workflow notifications.

### 6.4.3. Further Details

For further details please refer to the ESR-NHS0111 The Streamlined ESR and Doctors in Training Interface Guide which can be found on the ESR Hub.  To access click here.

The ESR Notifications Guide lists the Notifications sent to Medical Staffing Role Holder.

## 6.5. PROFESSIONAL REGISTRATION

### 6.5.1. Overview

If an employee requires Professional Registration in order for them to practice ESR can be used to record and manage this information.

All employees that have a Registration/Membership Body(s) registration 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.

### 6.5.2. Key Points

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

- General Chiropractic Council
- General Dental Council
- General Medical Council
- General Optical Council
- Health and Care Professions Council
- Nursing and Midwifery Council

- Royal Pharmaceutical Society of Great Britain

Expiry Notifications are sent 4 months and one month before registration is due to lapse or at short notice where there has been an update to the employee's registration details which results in the new expiry date being less than 30 days from the current date.

Data relating to Registration details is transferred automatically via interface from the following Professional Bodies:

- General Dental Council
- General Medical Council
- Health and Care Professions Council
- Nursing and Midwifery Council

### 6.5.3. Further Details

Guidance on recording Registration information can be found in the ESR User Manual. To access click here.

For more information on expiry notifications please see ESR – NHS0060 The ESR Workflow Notifications Guide int the Document Library on the ESR HUB.

## 6.6. INTER AUTHORITY TRANSFER

### 6.6.1. Overview

The Inter-Authority Transfer (IAT) process is a critical and beneficial component of ESR. Best practice would expect a new employee to be informed that the transfer of previous NHS employment data is a part of the recruitment process. Where organisations are not using a 3rd Party e-Recruitment system that automatically transfers the applicants consent for the transfer of this information it is recommended that notification of this is included in organisational details on the third party recruitment and in New Starter documentation.

IAT is an automated process that removes the manual procedures associated with paper based NHS Staff Transfer Forms, and reduces the data entry needed following the appointment of staff from another NHS organisation. The pre hire IAT focuses on the request and receipt of information to assist with the on boarding of the applicant such as:

- Transfer National competencies – Receive the current competencies an individual holds to review and transfer prior to their start date.
- Transferrable Occupational Health data – reduces the number of immunisation and vaccination checks and unnecessary vaccination procedures.
- Transfer of information regarding Cash Floor Protection.
- Transfer of NHS Service History.

The pre hire IAT can be initiated when the applicant status reaches:

- Offer Accepted
- Preferred Applicant
- Offered Post Unconditionally
- Offered Post Conditionally

Once the applicant is hired the employee's Portable Data Set (PDS) can be transferred. This includes:

Personal data
Primary Address data
Registrations and membership details
Training and e-Learning
Sickness absence
Payroll information
Apprenticeship data

In addition, the IAT process also enables a standard reference request to be sent to a designated Reference Approver role holder.

The “Auto IAT Approval” can be set at Trust Level using the XXX Local Workstructures URP.

The process can also be further automated to enable the initiation of an IAT to take place automatically. when a new applicant record is created within ESR.

Organisations must opt into the process by setting the “Auto IAT initiation” setting, which can be accessed using in the Local Workstructures Administration URP, to Yes.

When an applicant record is added or updated, either manually by an e-Recruitment Interface and has the IAT Consent field on the Employment Checklist completed/updated, a process will be initiated which replaces the need to manually search for and find a matched record from within ESR based on the following requirements:

- The organisation creating/updating the application record has opted into Auto IAT Initiation
- The application status is one of the following:

    - Preferred Applicant
    - Offered Post Conditional
    - Offered Post Unconditional
    - Offer Accepted

- There is a 100% match to another record (using the existing IAT matching logic).  Doctors in Training may also be matched using Date of Birth and Professional Registration number only.
- The source trust where the PDS is being requested from has opted into Auto IAT Approval for this to be possible.
- All the relevant IAT role holders are in place - the source trust must have someone in the IAT Initiator role and the target trust must have someone in the IAT approver role. To send automatic reference requests there must also be someone in the Reference Receipt role in the source trust and someone in the Reference Approval role in the target trust.
- The IAT Consent segment on the Employment Checklist Details (shown below) EIT has been set to ‘Yes’ for the applicant record being created/ updated (with the exception of Doctors in Training)

Where all the above criteria are met then the IAT will be initiated automatically.

The IAT will always be requested from the most recent record:

- Current employee record with the most recent period of service
- Ex-employee record with the most recent period of service

Reference requests notifications will also be generated as part of the process.

The manual process will remain in place for records where a 100% match is not found.

## URPs Associated with the IAT Process

IATs can be initiated using the URPs listed below:

XXX IAT Initiator
XXX Recruitment & Applicant Enrolment Administration
XXX Recruitment & Applicant Enrolment Administration (with RA)
XXX Recruitment Data Entry
XXX HR Administration
XXX HR Administration (with RA)
XXX HR Data Entry
XXX HR Data Entry (with RA)

All organisations should also allocate the XXX IAT Approver URP to receive request notifications to release IAT Portable Data Sets where the originating organisation has opted out of the Auto IAT process.

## Recruitment and HR URPs

When the applicant is transferred from an organisations 3rd party recruitment system and the status is changed to one of those mentioned above and saved by a user with one of the Recruitment or HR URPs they will be given the option to perform an IAT.

HR Administrators are given the option to perform a PDS copy as soon as they have hired an applicant.

*Please note the HR Administrator must have the PDS Notification Role in order to perform the PDS copy.

### Self Service URPs

When hire is performed using the self service URPs the PDS Notification Role Holder will receive a notification which will prompt them to perform the PDS copy.

### Roles Associated with IAT

- IAT Initiator - Is alerted to the fact that a Portable Data Set (PDS) request for a member of staff needs to be actioned.
- IAT Approver - 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.
- Reference Approver - Is presented with a standard reference form pre-populated with a number of fields from ESR for review, validation and amendment. Where fields on the reference are not pre-populated they can be completed by the Reference Approver. The role is locally customisable to allow use at different levels within the Organisation.
- Reference Receipt - Receives the Reference Notification from the initiating organisation.
- Occupational Health - Occupational Health IAT dataset is available to Occupational Health users prior to hire to enable them to progress the applicant's medical clearance.
- Stat & Mand Competencies Ntf - The role holder receives a notification detailing the competencies an applicant holds. They must approve, reject or edit the competencies being transferred (by clicking the Update Competence Form link on the notification). If no action is taken the competencies are not transferred. The role is locally customisable to allow use at different levels within the Organisation.
- IAT Service History - The IAT NHS Service History notification provides a consolidated history of NHS service history based on the following conditions:
    - There is a 100% person match found.
    - The organisations are opted into Auto IAT process.
- Jr Doc & Trn Dentist Contract- Role holders receive a pre-IAT notification informing them of the values of certain elements held for the employee being transferred. The elements included are:
    - Cash Floor Protection NHS
    - Annual Leave Appointment NHS
- PDS Notification- Gives Users the option to perform the PDS Copy when hiring an applicant. The role is locally customisable to allow use at different levels within the Organisation.
- Where there is no role holder in the organisation the notification is returned to the IAT Initiator.

### 6.6.2. **Key Points**

Embed the IAT process into the recruitment procedure.

Start the IAT initiation process as early as possible e.g. whilst still in the Applicant stage. Bringing the candidate onto ESR from a third party e-Recruitment system at "Preferred Candidate" stage will enable all the appropriate checks and process to be initiated within ESR, including IAT.

Ensure that there are robust local procedures for responding to the incoming IAT requests where a 100% match cannot be made for the person.

Assign the appropriate personnel into the Reference Receipt and Reference Approver roles.
Ensure prospective employees are aware of the automated reference process in place.

An IAT can be run for an internal applicant ensuring the transfer of National and Local Competencies.
A reference can also be requested for an internal applicant.

### 6.6.3. Further Details

Further details can be found in the ESR User Manual. To access click here.

# 7. NEW HIRES

### 7.1.1. Overview

An important aspect of good HR practice is to ensure that the on boarding process for a new joiner is effective and efficient.

Ensuring that the right people are placed into the right position on time and with all the relevant checks and induction processes complete is essential to maintaining an effective workforce.

The ESR interface to CIS ensures that new starters are issued with Smartcards in a timely manner and provided with the correct access to NHS CRS applications on the first day of employment.

The new hire process completes the actions initiated in the recruitment phases.

The hire process can be broken down into a number of key tasks that need to be completed before the employee starts and also once they have joined the organisation.

### 7.1.2. Key Points

Where a new employee has gone through the recruitment process and has an applicant record in ESR then it is important that the successful applicant is hired from their application and not hired directly via the HR functionality. This creates a duplicate record for the person and will cause complications in other parts of ESR, such as Learning Management.

It is not considered best practice to hire applicants prior to their start date. If changes are made to the assignment before the applicant has commenced their employment it may potentially limit some transactions being made to the record.

Updates to the employment checklist and any contractual requirements agreed with the new employee should be completed as part of the new hire process.

It should also be remembered that the validation of data when entering a new starter is a key aspect of HR best practice. (Refer to Local Procedures and compliance with Minimum Data Standards)

#### Recording Benefits Entitlements

In order to help understand an applicant's previous service the IAT Portable Data set pre hire includes a section on Service History. This can be used to help verify any previous service an applicant has which may affect their benefits and entitlements.

The following fields on the additional person DFF should be completed to record the dates that any of the following statutory benefits were paid to the employee. This enables the new employer to establish any new dates that they need to enter into the ESR record for the employee to ensure that no overpayments are made, for example, should the employee be made redundant again at another NHS employer:

- **CSD 1 Week Date** – to identify Redundancy entitlements. This will set a marker from which the 104 week qualifying period for redundancy pay is calculated from. This needs to be identified and established by the employing Trust for all new starters to identify any who take unpaid time between employments.
- **Loss of Office Payment Date** - to show that payments (Redundancy, VSS, MARS) have been paid up to and including that date
- **Loss of Office Reckonable Service Date** - to act as a marker from which any future reckonable service for redundancy or loss of office payment is calculated from in conjunction with the CSD 1 week field above that would commence from the same date
- **NHS Pensioner** (Yes/No Flag) - to identify employees who have received/are in receipt of benefits from the NHS Pension Scheme. This helps to ensure that the employee is not made a member of the NHS Pension Scheme if they are not entitled to be
- **Date NHS Pension benefits paid to** – linked to the redundancy rules to ensure that reckonable service and continuous service are correctly established for any future redundancy calculations
- All fields except CSD 1 Week will be copied over as part of the IAT process.

- All fields will appear on the Inter Authority Transfer – Portable Data Set Request Authorisation Notification. The CSD 1 Week will be for information only and not copied over as part of the Portable Data Set.

Before a Manager can Hire an Applicant via the Self Service URPs certain conditions must apply.
In the Recruitment Professional forms:

- The Applicants status must be recorded as offer accepted. – this will also enable the Auto User account creation process to create a new joiners access to ESR if this has been set up (see section 5.2.2.)
- The Manager must be recorded as the Manager/Supervisor on the Applicants record.

- Where the new (or existing) employee is an apprentice the following details relating to the apprenticeship can be recorded on the assignment EIT:
    - Apprenticeship Level
    - Framework / Standard
    - Status
    - Start Date
    - Proposed End Date
    - Actual End Date
    - Main Training Provider
    - EPA Centre
    - Apprentice Type

### 7.1.3. Further Details

Guidance on how to complete the New Hire Process can be found the ESR User Manual. To access click here.

## 7.2. APPOINTING LOCUM OR FIXED TERM MEDICAL AND DENTAL STAFF

### 7.2.1. Overview

To ensure consistency in the way the Locum and Fixed Term Medical and Dental workforce are categorised and reported on in ESR, a Data Standard has been agreed by the National HR SIG and the Workforce Information Review Group (WIRG).

### 7.2.2. Key Points

**Criteria 1: Locum Medical and Dental Staff Ad-Hoc (Zero FTE)**

| | |
|---|---|
| Occupational Code | Pre-fix ‘1’: Hospital based Locum ***or***<br>Pre-fix ‘2’: Community and Public Health based Locum |
| Position Title | Pre-fix free text with ‘Locum Ad Hoc’ |
| Assignment Category | Locum |
| Contracted Hours/Session | = Zero |
| FTE (Contracted) | = Zero |
| Contract Duration | No End Date |
| Contract Reason | Not applicable |
| Contractual Status | ‘Worker’ |

**NOTE**: *Although, Ad Hoc, zero hour locums do not have contract end dates, these appointments should be reviewed every 12 months, as a minimum, to ensure they are still required by the Trust / Health Board*

**Criteria 2: Fixed Term Medical and Dental Staff (with Contracted FTE)**

| | |
|---|---|
| Occupational Code | Pre-fix ‘1’: Hospital based Locum ***or***<br>Pre-fix ‘2’: Community and Public Health based Locum |
| Position Title | Pre-fix free text with ‘Locum Fixed Term’ |
| Assignment Category | Fixed Term Temp |
| Contracted Hours/Session | > Zero |
| FTE (Contracted) | > Zero |

| | |
|---|---|
| Contract Duration | Fixed Term / Temp Contract End Date |
| Contract Reason | Select appropriate category from ESR List of Values ○ |
| Contractual Status | 'Employee' |

**Criteria 3: Fixed Term Medical and Dental Staff (Junior M&D and Fixed Term Appointments for Service)**

| | |
|---|---|
| Occupational Code | No Pre-fix required – use standard Occupation Code |
| Position Title | Pre-fix free text with:<br>'FTAS' (Fixed Term Appointment for Service) ○ or<br>'LAS' (Locum Appointment Service) ③ |
| Assignment Category | Fixed Term Temp |
| Contracted Hours/Session | > Zero |
| FTE (Contracted) | > Zero |
| Contract Duration | Fixed Term / Temp Contract End Date |
| Contract Reason | Select appropriate category from ESR List of Values ○ |
| Contractual Status | 'Employee' |

**NOTE:** LAT *(**Locum Appointment for Training**)* are fixed term attachments on the Deanery Training Scheme and are treated the same as other training attachments. They use the same ESR Position Number linked to Deanery Post Number as other Deanery appointed trainees to enable the interface between the Deanery system and ESR. As with all other Medical & Dental staff in training they hold a Fixed Term Contract. However, the fixed term reason will be 'Training Contract - LAT'

Employers can use Trust Grade doctors either 'Trust Grade Doctor - Career Grade level' or 'Trust Grade Doctor - Specialty Registrar' or 'Trust Grade Doctor – Foundation Level' to cover fixed term vacancies

LAS are managed in ESR as Fixed Term Appointments.

### 7.2.3. Further Details

Guidance on how to set up Positions can be found In the ESR User Manual. To access click here.

## 7.3. JOB PLANS - MEDICAL AND DENTAL

### 7.3.1. Overview

The Medical and Dental Job Planning functionality in ESR enables NHS organisations to record and report detailed information about agreed annual job plans.

### 7.3.2. Key Points

Job plans are available in ESR for:

- Consultants in England
- Consultants in Wales
- Speciality and Associate Specialist Doctors (SAS)

Information can be recorded in hours or sessions.

The information can be updated by the following URPs:

XXX HR Administration (incl. with RA)
XXX HR Data Entry (incl. with RA)
XXX Manager Self Service (all variants)
XXX Administrator Self Service (all variants)
XXX Supervisor Self Service (all variants)

The information is read only for the following URPs
XXX Employee Self Service (all variants)
HR Best Practice

XXX HR Management

### 7.3.3. Further Details

Guidance on how to complete the Medical and Dental Job Plans can be found in the ESR User Manual. To access click here.

## 7.4. JOB PLANS - OTHER STAFF GROUPS

### 7.4.1. Overview

Job Plans can also be recorded for employees in other staff groups.

### 7.4.2. Key Points

Job Plans are also available in ESR for:

- Scientific, Therapeutic and Technical (AHP)
- Scientific, Therapeutic and Technical (other)
- Nursing and Midwifery
- Healthcare Science

The information can be updated by the following URPs:

XXX HR Administration (incl. with RA)
XXX HR Data Entry (incl. with RA)
XXX Manager Self Service (all variants)
XXX Administrator Self Service (all variants)
XXX Supervisor Self Service (all variants)

The information is read only for the following URPs
XXX Employee Self Service (all variants)
XXX HR Management

### 7.4.3. Further Details

Guidance on how to complete the Job Plans for employees in other staff groups can be found in the ESR User Manual. To access click here.

## 7.5. NHS PENSIONS AND HMRC CONSIDERATIONS FOR A NEW JOINER

### 7.5.1. Overview

ESR has different field validation rules to those used by NHS Pensions and HMRC systems for New Joiners. Consequently, it is necessary to carry out additional checks on the person information to ensure data quality and accuracy.

### 7.5.2. Key Points

Users should be aware that for each new assignment created, there is a potential of creating a new Pension record. Therefore, the following data items require particular attention:

Last Name (Surname)
First Name (Forename)
Known as
Title Name, First Name or Middle Name fields. If missing, refer to the HR department.
National Insurance Number
If you do not know the correct NINO, leave the field blank on ESR. Do not 'make up' a NINO or use a default NINO.
Date of Birth
Date of Birth Verification – this data item is reported to NHS Pensions to enable pension benefits to be paid when they are due.
Date Commenced
Pension NHS Element - This element is used to provide NHS Pensions with appropriate data concerning the employee's scheme membership and can affect benefit entitlement. It is essential that the following

fields are reviewed:Capacity Code (and Deduction Banding) – ESR sets to a default of Nurse (Capacity Code G) and 9.8% - This will need to be reviewed and amended as appropriate
Override Pen Start Date – only complete if employee has overlapping NHS Pension service with a previous NHS Employer. This can be transferred in from the IAT process.
Opt Out – This should be left as 'No' unless a valid opt-out (SD502) form has been received.
Opt Out Reason – Where the Opt Out field has been set to 'Yes' this field is mandated.
Opt Out Date – This should never be completed.
MHO Status – Relates to Mental Health Officer Status. The default is None but should be changed where appropriate.
Employment Type – This is linked to the Capacity Code and certain validation rules apply.

It is essential that HR and Payroll liaise on the completion of this element.

SD Number – The SD Number is held on the Person form in ESR and is updated by the pension inbound interface.

Added Years – IAT Process – The IAT process will provide details of employees who paid Added Years with their previous employer. Please ensure your Trust uses the IAT facility to transfer this information.

Standard Hours – NHS Pensions will reject any record with standard hours / sessions of zero unless the Assignment is Bank or Locum.

The ESR to NHS Pensions New Joiner interface is forwarded at the end of each pay period and pensionable assignments paid for the first time in that period will be included. Normally the New joiners Interface files are processed within a few days of the end of the pay period and the inbound interface will populate ESR with the SD Number, Employment ID and Scheme Identifier.

NHS Pensions require that any assignment of type "Locum" must have values set on their pension element as follows:

• Capacity Code of 3
• Employment Type of either 2 or 3

Any other entry is regarded as an error by NHS Pensions.

Users within Wales are reminded to apply the Wales National Definition for 'Locum'.

Please note: Entries for any record that do not meet the above validation requirement will cause the NHS Payroll Run to fail and will be highlighted on the Payroll run with the following error message

*APP-XXH-50019: Employee is not eligible to receive this element. ACTIONS: 1) Select another element, 2) Modify selected criteria or 3) Create a valid condition.*

Payment of Ad hoc Salary
There is a growing practice for Employing Authorities to agree a payment in advance and treat this as an ad hoc payment. Account should be taken of the Standard hours / Sessions for the Grade and the number of hours/ sessions required as part of that contract. This detail is essential for information to be passed onto NHS Pensions. Simply agreeing a one off fee of £500 will lead to the pension record being rejected.

This type of situation is among the top five errors in respect of the new joiners interface.

### 7.5.3. Further Details
Details of how to complete this element can be found in the Pensions section of the ESR User Manual and the ESR-NHS0197 ESR – NHS Pensions Interface Guide on the ESR Hub.

## 7.6. Multiple Assignments

### 7.6.1. Overview
When completing the hire process for an internal applicant a choice will be offered to either add a secondary assignment or replace the existing assignment. Where an employee is taking additional jobs always ensure that the new position is added as a secondary assignment.

### 7.6.2. Key Points

There are implications for the employee's tax and national insurance contributions which must be considered when adding a secondary assignment. Local determination will be required to decide whether NI only aggregation applies or Tax and NI aggregation. Whilst both are supported by ESR it is not recommended to fully aggregate (Tax & NI) across pay frequencies. This needs to be set at the at the point of the addition of a new assignment as once a payroll process has been run it is not possible to change the flags until the beginning of the next tax year.

### 7.6.3. Further Details

Further details on how to add Secondary Assignments can be found in the ESR User Manual. To access click here.

## 7.7. SUPPLEMENTARY ROLES

### 7.7.1. Overview

A supplementary role is attached to an employee to indicate roles that they perform in addition to their normal duties. Some examples of Supplementary Roles are:

- Clinical Supervisor
- Educational Supervisor
- Fire Officer
- First Aider
- Interpreter
- Assessor
- Caldicott Guardian

### 7.7.2. Key Points

Supplementary Roles are added to an employee record using the HR Admin URP and a subset of the data items can be added by Managers, Administrators and Employees using the Self Service URPs.

To identify where an employee is receiving development support, such as clinical or educational supervision, and who they are receiving it from a link can be recorded between the employee and an employee with a supplementary role of a Supervisor, Mentor or Assessor type.

Employees who have Supplementary Roles recorded on their record can be Auto Enrolled onto any Learning that is relevant to the Role they hold.

### 7.7.3. Further Details

For further details on how to allocate Supplementary Roles refer to the ESR User Manual. To access click here.

## 7.8. VOLUNTEERS

### 7.8.1. Overview

Consideration needs to be given as to whether information relating to Volunteers should be entered onto ESR. If they are entered then the Person Type 'Volunteer' should be recorded
The advantages of entering Volunteers onto ESR are:

- The details of the Six Mandatory Employment Checks can be recorded and maintained
- DBS details can be recorded and reported on
- They can be given access to Employee Self Service
- If the Volunteer requires Professional Membership Registration to carry out their role this can be recorded and maintained via ESR.

### 7.8.2. Key Points

If volunteers are hired, and attached to a payroll regardless of whether payment is made, they will be treated as employees in respect of HMRC and NHS Pensions and could lead to incorrect treatment of the record. If any payments; such as expenses are to be made to them, a new assignment record should be created to avoid issues with HMRC and NHS Pensions.

If volunteers need access to ESR to complete appropriate learning they will need to have an External Learner record set up and be given access to the External Learner URP. This will enable them to book face to face learning through ESR and complete any e-Learning.

# 8. ANNUAL LEAVE

### 8.1.1. Overview

Annual leave can be recorded using either Professional Forms or Self Service functionality in ESR.

### 8.1.2. Key Points

An accrual plan holds information about the annual leave entitlement based on national rules per year of service. The details are held on the corresponding Generic Rate Retrieval Table. This table is viewable on the Payroll Administration URP.

An accrual plan must be attached to each assignment for the employee and this has to be done prior to annual leave being entered. Up to a maximum of five accrual plans are available, this includes localised versions. Local Accrual Plans can be set up in the Generic Rate Retrieval Table using your Local Scheme from the Payroll Super Administration URP.

ESR will display the entitlement together with the start and end dates used in the calculation of the entitlement on the Accruals form. This is available in core and Self Service. It will also display the Net and Gross entitlement and, whether or not the value includes Bank Holidays (hours based plans) or Statutory Days (days based plans).

Where organisations allow their employees to accrue annual leave for the part months in which they start and leave the Organisation a Trust Level Setting is available to enable this. The Setting is available in Local Workstructures Administration.

### 8.1.3. Further Details

Further details can be found in ESR – NHS0199 Annual Leave Guidance which can be found in the Document Library on the ESR Hub.

# 9. CHANGES TO RECORDS

### 9.1.1. Overview

The assignment contains a number of different items which can be amended which relate to an employee's terms and conditions, such as a change in hours, promotion, an acting up period, or a change of locations within the organisation.

Assignment changes often have a financial implication, such as an increase in establishment where hours are increased or decreased. Changes to assignment status also grant or revokes access to NHS CRS applications. Before updating these details to ESR, it is important that locally agreed processes are followed to agree the change.

The BI Change Event Log can be used to monitor that such changes are made appropriately. This details changes to the employee's record, the dates applicable and the user who made the changes within a certain period. The Assignment Changes Dashboard includes a Promotions Summary and Promotions Detail Dashboard which details a range of employee and assignment data items for 'Promotions' that have occurred during a given period.

### 9.1.2. Key Points

It is crucial with the implementation of interfaces from ESR to third party systems such as Rostering, Time and Attendance and Care Records Service that changes to assignment statuses are made in a timely manner.

A key aspect of ESR is to ensure that employee data is up to date and accurate. There are a number of fields which will require amending under specific circumstances. The Assignment Status field in particular requires careful consideration when other changes are being made. For example when an employee goes on secondment or Maternity leave, the Assignment Status needs to be updated.

When any change is applied to the assignment form, you will be prompted to enter a reason for that change. A number of the change reasons are tracked to support the NHS Assignment Changes Dashboard reports.

Organisations have the option to send notifications to employees when there are one or more contractual 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 date 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 with the same effective date, within the process run dates, 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.

### 9.1.3. Further Details

Details on how to use each option are explained within the User Manual. Ensure that the correct option is applied for the scenario you are processing. To access the ESR User Manual click here.

# 10. TERMINATIONS

### 10.1.1. Overview

Termination information should be entered into ESR as soon as an employee notifies their manager of their intention to leave.

This ensures:

- Overpayments do not occur due to late entry of leaving date
- Access to NHS CRS applications is revoked from the date of leaving
- Processes can be automatically triggered at an early stage such as an Exit Questionnaire being sent and notification of items recorded in the Property Register etc.

### 10.1.2. Key Points

The treatment of annual leave at termination will vary depending on whether it is classed as pensionable service or not. The termination date should be the actual termination date and should not be extended for annual leave. Instead, the extended date should be recorded by using the Override Pen End Date field in the Pension NHS Element, this will enable correct reporting to NHS Pensions.

Where an employee is moving to another NHS organisation, it will also ensure that the date will be submitted via the IAT process and will enable the system to add the correct date to the Override Pen Start Date field on the employee's record in the new organisation, preventing overlapping service errors.

For further guidance on the correct treatment of annual leave on termination, please refer to NHS Pensions website: https://www.nhsbsa.nhs.uk/nhs-pensions

Payroll Departments need to be informed of any under or overtaken annual leave so that final pay can be adjusted accordingly.

Absence records for the employee should be checked before the termination is progressed and any future absences should be end dated as future absence without an end date may cause the termination transaction to fail.

The Final Process Date for the termination defaults to the end of the calendar month in which the leaving date falls. Common practice is to change this to 2-3 months later to allow for outstanding timesheets and expenses to be paid after the employee has left. Once the date is reached the terminated assignment will be given a status of 'End' which closes down the record and no further payments can be made. This status should also be used when terminating a non-primary assignment.

When terminating bank staff, the termination date should be set at the date last worked/paid or the day after the record was set up if no work has been done. This will ensure the correct date is reported to NHS Pensions and prevent errors on the pension record.

In line with best practice, it is advisable to regularly review assignments that have not worked or been paid for 12 months or more and terminate where required.

Employers will need to ensure that appropriate arrangements are put in place locally to ensure that other departments, such as IT, are notified of staff who are leaving. The Termination Notification Role can be allocated and holder of this role will be sent a notification with a list of leavers 14 days before their leaving date.

To comply with National Workforce data validation and quality standards, when a record is being terminated the person's leaving details must be entered. This includes the Leaving Reason and Destination on Leaving. If the Destination on Leaving is 'NHS', then the 'NHS Organisation' the employee is moving to will also need to be entered. Movements across the NHS can then be monitored and the analysis of this information can be used for Workforce Planning at local, Regional and national level. The information is also required by the Pensions interface.

Employees have the option to end their employment via Employee Self Service. This action requires manager approval and should complement the normal discussions which take place when an employee indicates their intention to leave.

### 10.1.3. **Further Details**

Further details on how to complete the termination process can be found in the ESR User Manual. To access click here.

# 11. REVERSE TERMINATIONS

### 11.1.1. Overview

If a termination date is entered in error or the employee no longer wishes to leave the organisation the termination can be reversed as long as the reversal is actioned prior to the termination date.

### 11.1.2. Key Points

A Termination should not be reversed if:

- If there has been a break in service
- A P45 has been issued to the employee

### 11.1.3. Further Details

Further details on how to reverse the termination process can be found in the ESR User Manual. To access click here.

# 12. REHIRES

### 12.1.1. Overview

The Rehire functionality within ESR enables the rehiring of ex-employees to the same Employee number saving the need to re-input data relating to the employee.  It allows the employees full employment history to be retained reducing the need for further input.

### 12.1.2. Key Points

There is a significant level of misunderstanding regarding the rehire facility, however, where used properly, the rehire facility works effectively and, critically, will provide correct records to HMRC and NHS Pensions.

### 12.1.3. Further Details

For full guidance on this topic please refer to the ESR-NHS0331 ESR Guide To Rehiring Employees on the ESR Hub.  To access click here.

# 13. EXIT QUESTIONNAIRES

### 13.1.1. Overview

The exit interview provides the opportunity to obtain honest feedback from the employee who is leaving your employment.  The information provided in the questionnaires can be used to inform retention strategy.

### 13.1.2. Key Points

The Exit Questionnaire Required field is available at Trust Level which enables Trusts to specify whether or not an Exit Questionnaire notification should be initiated to a terminated employee.  The Organisation Add'l Org Unit details defaults to 'No'.  To initiate an Exit Questionnaire notification to terminated employees this should be changed to 'Yes'.

The Exit Questionnaire notification required can also be initiated at assignment level.  The 'Exit Questionnaire Required' field of the assignment descriptive flexfield should be updated with the value of 'Yes' prior to the termination being entered.

### 13.1.3. Further Details

Further Information can be found in the ESR User Manual.  To access click here.

# 14. SELF SERVICE

### 14.1.1. Overview

Self Service within ESR enables employees and managers to have access to ESR at a time of their choosing, either at work via the HSCN access route or through any device that can access the internet.

Employees can view and update personal information and also view details about pay and rewards and where employees have not updated or verified their Personal or Equality and Diversity information for more than 12 months a notification is triggered to prompt them to do this, which can help improve ESR data quality.

The ESR Portal provides a range of Portlets displaying key information for employees such as Payslips, Absence information, Compliance and access to e-Learning.

Managers have access to additional functionality and controls. For example, approving employee requests and maintaining assignment and personal information.

The ESR Portal provides a range of portlets showing key workforce information, managers can see at a glance with helpful dashboards where actions need to be taken to manage their team and maintain compliance around a range of workforce indicators including Absence and Compliance. Managers can also view a range of ESR Business Intelligence dashboards giving them key information about their employees. This is in addition to being able to view and update employee information (with the exception of protected characteristics).

Interactions between employees, managers and professional users are managed by workflows which generate notifications to inform the appropriate user when action is required. These can be viewed and actioned directly from a user's e-mail account.

Organisations can maintain control of information that can be updated and the relevant approvals required by choosing from a suite of employee and supervisory level User Responsibility Profiles (URPs) which can be assigned to employees and supervisors. They can also target key messages to all employees or selected target groups using the Announcement Portlet.

### 14.1.2. Key Points

Empowerment of managers to:

- Perform actions relating to employees
- Enable authorised users to make changes on their behalf using proxy access.
- View, report and manage key areas such as absence and turnover.
- View key performance indicators for absence, compliance and appraisals on the Manager Dashboard with direct links to these areas and the ESR BI reports directly from the Portlets.
- View upcoming events for employees, for example appraisal dates, annual leave and expiry dates for professional registrations from a dedicated Portlet.
- Colour co-ordinated absence calendar to identify absence patterns and view all staff absences.
- Further role based approvals for pay affecting changes provide additional governance.

Empowerment of employees to:

- Access key functionality via a range of dedicated Portlets from the My ESR Dashboard.
- View and amend personal information including: Home address; Bank details; Emergency contacts and protected characteristics
- View and print PDF copies of payslips and P60s
- View Total Reward Statements.
- View and enrol onto learning opportunities and take responsibility for ensuring up to date compliance.
- Play e-Learning
- Participate in appraisals and personal development plans including NMC Revalidation if appropriate.

- Apply for and manage leave, using the Absence Portlet and calendar.
- Access key career information through the Talent Profile, with the ability to produce printable PDF versions.

Data is entered once at the closest point to its source thereby ensuring:

- Accuracy, quality and timeliness of information available.
- Reduction in checking and administrative overheads.
- Eliminating the duplication of input and therefore reducing time and effort.
- Reduction or removal of paper based forms by having data entered at point of source.
- Flow of information is streamlined, made consistent and delivery is instant (no reliance on internal mail systems or couriers to send forms to central departments for input).
- Improved, quicker decision-making ability due to information being immediately available to managers.
- Devolved data entry frees time and reduces queries in central functions such as Payroll, HR, Training and Recruitment, allowing a reduction in resource requirements and freeing up time from administrative duties to allow other more pro-active work to be undertaken.

### 14.1.3. Further Details

Further information is provided in ESR- NHS0297 Self Service Best Practice Guide in the Document Library on the ESR Hub.

# 15. ESR PORTAL

The ESR Portal is the gateway into ESR for all managers, employees and professional users. The Portal facilitates navigation to a range of Portlets, directly from one page, which simplifies the way ESR is accessed. In addition the Portal will allow for significant local configuration giving each organisation the ability to create a sense of ownership at a local level.

The Announcement Portlet allows approved users to define local messages which can be targeted at specific URPs or Staff Group/Job Roles. This ensures that key information is delivered directly to the employee landing page.

## 15.1. HR DASHBOARD

### 15.1.1. Overview

The HR Dashboard presents the following Portlets.

- Actual Vs Establishment FTE BI report
- Starters & Leavers Summary BI Report
- Leavers by Reason BI Report
- Payroll Exceptions Portlet
- Pay Progression Portlet

### 15.1.2. Key Points

Clicking on the charts in the portlet will launch the applicable report in ESR BI allowing you to analyse the figures in more detail.

Payroll Exceptions functionality highlights exceptions requiring investigation or resolution. The Payroll Exceptions portlet enables HR users to manage any payroll exceptions that may have been allocated to them.

The Pay Progression portlet will display the number of assignments with pay affecting increments due in the next 1, 2 and 3 months.

### 15.1.3. Further Details

Further details can be found on the ESR HUB. Click here to access.

## 15.2. RECRUITMENT DASHBOARD

### 15.2.1. Overview

The Recruitment Dashboard presents the following Portlets:

- Applicant Summary
- Applicant Management
- Open Vacancies

### 15.2.2. Key Points

The information provided gives a count of applicants at a given status and the number of days spent at this status as well as the number of open vacancies per staff group.

Clicking the chart in the portlets will launch the applicable report in ESR BI to allow you to analyse the figures in more detail,

### 15.2.3. Further Details

Further details can be found on the ESR HUB. Click here to access.

## 15.3. Applicant Dashboard

### 15.3.1. Overview

The Applicant Dashboard presents the following Portlets:

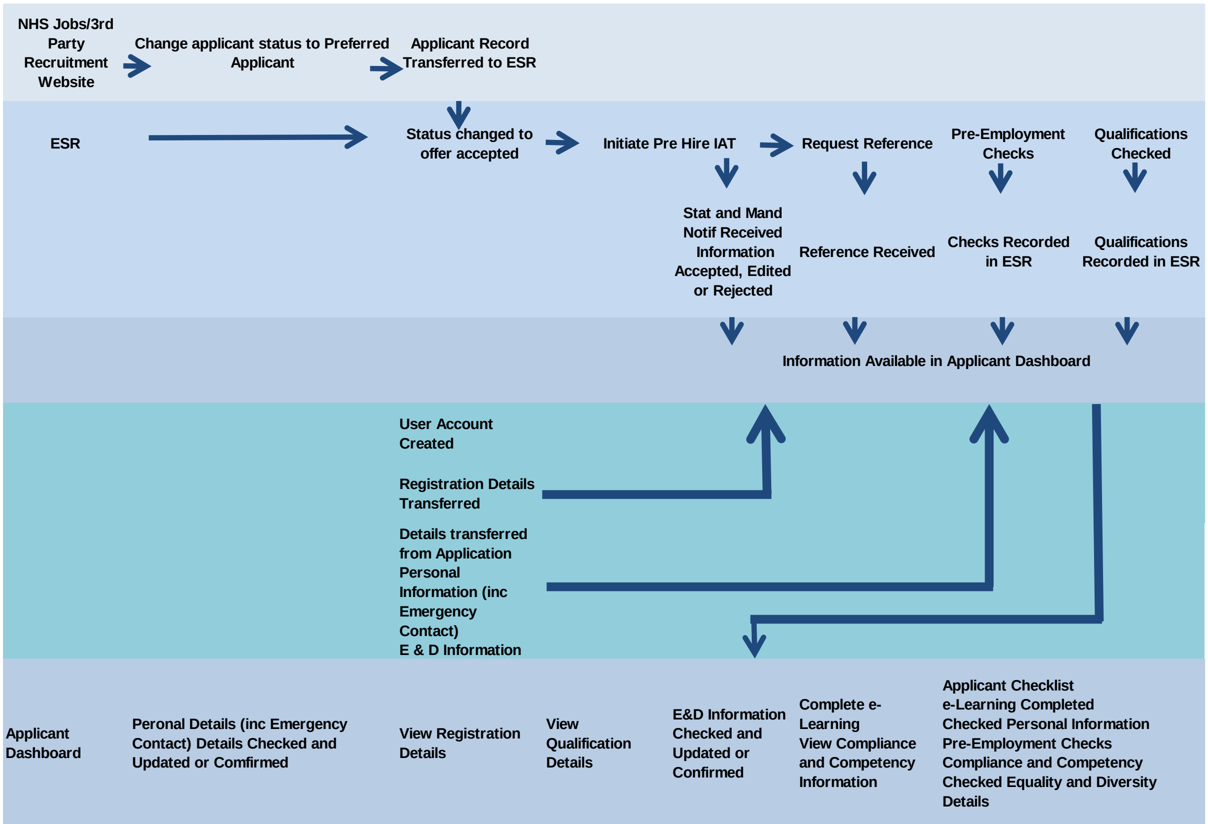
- Announcements
- My Applicant Checklist
- My Applicant Details
- My Compliance
- My e-Learning
- Further Information/Help
- My Equality and Diversity
- My Bank Account Details

The portlets displayed and the order in which they are displayed is controlled locally.

### 15.3.2. Key Points

The Applicant Dashboard is available to Applicants on ESR and provides access to a range of functionality for the purposes of confirming the accuracy of data and updating as appropriate. The dashboard also enables an Applicant to complete learning prior to becoming an Employee.

The diagram below shows the flow of applicant information, following the initiation of the IAT into the Applicant Dashboard and the actions the applicant can perform in the Dashboard.




### 15.3.3. Further Details

Further details can be found on the ESR HUB. Click here to access.

# 16. CONFLICT OF INTEREST

### 16.1.1. Overview

The declaration of any conflict of interest details can be recorded and Organisations are able to report on and share this information.

A link to the new Conflict of Interest Declaration page is available on the My ESR and Manager dashboards.

An employee can add declarations or where they have no interests to declare a checkbox is available for selection.

Declarations made by employees are available to Managers and Supervisors to review and to enter any mitigating actions that have been taken.

### 16.1.2. Key Points

An optional notification is available to prompt 'Decision Makers' within their organisation to make declarations.

By default certain groups of employees will automatically be considered 'Decision Makers'. These have been defined nationally as employees with a primary assignment that has a certain grade or a certain Job. The defined grades (8d and above) are XN11, XN12, XR11 and XR12. An agreed list of Job roles for senior managers such as Chief Operating Officer and Executive and Non Executive Directors will also be included.

Organisations can allocate the 'Conflict of Interest Reviewer' Role to users who will then receive a monthly summary of the Conflict of Interest Declarations made or updated in their organisation in the previous month.

The Notifications are automatically sent out at the start of each calendar month for the previous calendar month.

Organisations can decide whether they require this functionality. Where no user is assigned to this role within an organisation then no monthly summary notifications will be sent for that organisation. The notification has a count at the top of all 'Nothing to Declare' declarations and then a table of all other declarations with summary details.

A Conflict of Interest report is available in ESRBI within the NHS Staff in Post Dashboard. By default the report returns all employees. However a prompt is available to restrict the analysis to show only those employees with Conflict of Interest recorded in ESR.

### 16.1.3. Further Details

Further details for can be found in the ESR User Manual. For Employees click here to access. For Managers and Supervisors click here to access.

# 17. FLEXIBLE WORKING

### 17.1.1. Overview

Section 33 of the NHS terms and conditions of service handbook provides employees with a contractual right to request flexible working from the day they commence employment along with the right to make as many requests as they wish with no limit on the number of applications they make and regardless of the reasons for their request.  ESR enables employees to initiate flexible working discussions with their manager.

### 17.1.2. Key Points

A form is available to employees via Employee Self Service which enables them to initiate a discussion regarding working flexibly. Their manager receives notification which informs them of the employees request which they can acknowledge.  Following discussions ESR can be updated with the outcomes of the discussions.

### 17.1.3. Further Details

Further details for can be found in the ESR User Manual.  For Employees click here to access.  For Managers and Supervisors click here to access.

# 18. PAYROLL EXCEPTIONS

### 18.1.1. Overview

The Payroll Exceptions Functionality is an online tool which enables the resolution of payroll anomalies in a timely manner and contains exceptions relating to Payroll, HR and Pensions.

The Pre Payroll HR Exceptions are listed below:

- NI number for the person does not exist in HR Record
- RTI Employee Name Missing or incomplete
- RTI Address Lines has invalid characters
- RTI Address Postcode has invalid characters or is missing
- RTI Employee Name has invalid characters
- Date of Birth Verification not completed
- RTI Address Information is in complete
- Passport check failed due to invalid characters
- Consultants have worked more than normal working hours
- NI number with no suffix
- Check Contract Type, Pay Scale or Grade, must not be null
- Grade has been changed, please check

### 18.1.2. Key Points

The tool reports national exceptions that meet pre-set rules and conditions.  There is also the facility to disable rules that do not apply in certain organisations.

The functionality can be pre-set so that the exceptions are automatically allocated to the person who needs to action them.

### 18.1.3. Further Details

Further details can be found in the ESR User manual.  Click here to access.

# 19. TOTAL REWARD STATEMENTS

### 19.1.1. Overview

Total Reward Statements (TRS) support local reward strategies and are a platform to provide members of the NHS Pension Scheme with an Annual Benefit Statement (ABS).

The Statements are provided annually to most NHS employees and are accessible via ESR Employee Self Service.

### 19.1.2. Key Points

Employment details: This is the information held on ESR and includes basic salary, overtime, allowances and participation in Salary Sacrifice schemes etc. This information is extracted from ESR following the end of the financial year and will remain static until the next annual update.

Local benefits and branding: This is an opportunity for ESR employers to provide contact details for TRS queries and include details about any local benefits offered to employees including non-financial benefits. ESR Employers should ensure that local benefits and branding information is regularly maintained via the ESR *'TRS Employer Access'* URP. This will update the statement when next viewed.

NHS Pension benefit information: Employees who are in the NHS Pension Scheme will receive details about their pension benefits. The pension information within the statement will be taken from NHS Pensions systems.

### 19.1.3. Further Details

Further details can be found on the NHS BSA website. Click here to access.

# 20. BUSINESS INTELLIGENCE

### 20.1.1. Overview

ESR BI Reports enable processes to be monitored and provide managers with focused and accurate statistics. ESR reports offer detailed business insight for managers to monitor their teams while directors and senior managers get an effective overview of the entire organisation.

### 20.1.2. Key Points

There are a number of HR and Recruitment ESR BI Dashboards available:

- Absence Analysis Dashboard
- Absence Dashboard
- Appraisal Reviews Dashboard
- Appraisals and PMP Dashboard
- Assignment Changes Dashboard
- Data Quality Dashboard
- Employment Checklist Dashboard
- Management Overview Dashboard
- Position Analysis Dashboard
- Professional Registration Dashboard
- Qualifications Dashboard
- Recruitment Dashboard
- Staff Movements Dashboard
- Staff Movements Monitoring Dashboard
- Staff in Post Dashboard
- Workforce Information Verifier Dashboard
- Workforce Profile Dashboard

ESR BI has the ability to report on non-ESR data alongside ESR data, to allow organisations to combine their data and pinpoint issues and efficiencies across the service.

### 20.1.3. Further Details

Refer to the ESR BI User manual.  To access click here.

# 21. DATA QUALITY

### 21.1.1. Overview

A key aspect of ESR is its ability to record and report on a wide range of Workforce Information. However, to be of use the data quality within ESR must be to a high standard.

Good data quality allows accurate reporting at a local, regional and national level which assists in key decision making across the NHS.

Data quality is also important at a local operational management level. It's vital that the information held by organisations in relation to their employees is accurate and up-to-date.

Poor data quality can impact upon every aspect of the workforce from vacancy management to leaver analyses, from employee details to aggregate staff reports, from pay to pension.

ESR utilises a variety of methods to promote consistent and valid data entry:

- Drop-down lists of values are used where appropriate rather than typed entries.
- Many data items and lists of values (e.g. Job Roles, Sickness Absence Reasons and Occupation Codes) comply with NHS-wide Standards such as the National Workforce Dataset.
- Input masks ensure that entries comply with the required number and type of characters (e.g. Professional Registration PIN).
- Context-sensitive warning messages and prompts that guide the user to enter valid data.
- Entry of some data items is mandatory; however, this is kept to a minimum to avoid situations where the user would be unable to proceed.

### 21.1.2. Key Points

## BI Reporting

A number of resources and reports are available to assist users with data quality.

**NHS Data Quality Dashboard –** This dashboard replicates NHS England's 'WoVEn' validations as well as providing a number of further data quality tests on absence, assignments, employees, equality and diversity, professional registrations, positions and staff movements.

**NHS Employment Checklist Dashboard –** This dashboard enables users to monitor essential checks on employees such as DBS details, Professional Registrations, Qualifications, Visa, Illegal Working and Medical information.

**NHS Professional Registration Dashboard -** This dashboard is designed to provide the user with intelligence around the compliance of staff with the requirements of their position. It can be used to highlight individuals that are in a position which requires a professional registration but don't have one recorded.

**NHS Workforce Information Verifier Dashboard –** This Dashboard has been developed to help identify possible discrepancies between Occupation Code, Staff Group/Job Role and Pay Band that may exist within Assignments and their associated Positions held in ESR.

## NMC, GMC,HCPC and Unique ID Data Quality Reports

As well as the standard dashboards available through BI, further data quality reports are sent directly to designated contacts at each organisation on a monthly basis.

**NMC Report Summary**

The NMC Report provides a comparison summary of ESR and NMC records broken down into three categories:

ESR and NMC Registration items Matched Successfully – No Action Required
ESR and NMC Registration items Matched Partially – Non-Urgent Action Required
No Match – Urgent Action Required

The report also highlights individuals on Nursing Occupation Codes without a valid NMC registration, encouraging organisations to either add a valid registration or amend the position details of the employee. Two types of duplications on ESR are also listed:

(i) Person has multiple registration records with the same NMC number
(ii) Same person has multiple NMC numbers

Additionally a breakdown of nursing positions with invalid NMC Sub-Parts is provided.

**GMC Corrections Report**

The GMC Report highlights four potential errors in relation to GMC details held on ESR:

A GMC Registration number in ESR does not exist in the GMC Register.
Multiple GMC registration numbers in ESR found for a single Employee (Number).
ESR GMC Registration details for an Employee differ (or are missing on ESR) from those stored on the GMC Register.
A Workflow decision notification for an Employee has been outstanding for more than 30 days.

**HCPC Report Summary**

The HCPC Report provides a comparison summary of ESR and HCPC data. The following potential errors are highlighted:

ESR registration number not found - Urgent Action Required
ESR registration number has an invalid format – Urgent Action Required
Mismatch on first and last name – Urgent Action Required
Mismatch on first name or last name – Non-Urgent Action Required
ESR registration number recognised but not exact – Non-Urgent Action Required
A Workflow decision notification for an Employee has been outstanding for more than 30 days – Non-Urgent Action Required
Registration number is duplicated for the same person – Non-Urgent Action Required

**Unique ID Data Report**

The Unique ID Report highlights employee records which are similar to other employee records and may have mismatching data which needs amending to enable or prevent matching. The records are typically held at different organisations, but they can be at the same organisation.

Users are asked to check the data at source and provide a response as to the action they have taken from a drop-down list of options. The amended report needs to be returned to the ESR Datateam. The latest report supersedes all earlier versions.

*Please note that GMC and Unique ID reports are only sent if errors exist for the month.
If you have any queries in relation to these reports or would like to change the designated contact at your organisation please contact esr.datateam@nhs.net.

## WoVEn

The Workforce Validation Engine (WoVEn) process was developed in collaboration with NHS England. The process validates data taken directly from ESR and highlights potential data quality issues at organisation level. Each organisation is then presented with potential issues on a monthly basis and ranked against all ESR-using NHS organisations in England and Wales.

NHS England guidance explains the purpose and importance of the WoVEn reporting process:

"The data validation reports focus on key data items, rather than compliancy data items; by assuring this information is up to date in ESR, this will greatly assist with planning recruitment and retention of staff and Equality and Diversity monitoring. Data from ESR can be used nationally to drive efficiency and productivity improvements across the NHS so it is essential that data in ESR is up-to-date and correct. NHS England uses ESR data and typically, those data items covered in the National Workforce Dataset (NWD) Standards and Occupation Codes to determine workforce numbers and their change over time. ESR data now feeds a monthly publication, which enables the data to be used to answer Parliamentary Questions and Freedom of Information requests, the data feeds the NHS Litigation Authority (LA) CNST premiums, workforce planning and target monitoring and also the QIPP benchmarking tools. All of these secondary uses can lead to reputation damage for organisations and individuals and even financial costs due to poor quality data."

### NWD & Occupation Code Manual

The National Workforce Data set (NWD) and the NHS occupation codes are owned by NHS England and together they specify the data standards for NHS workforce information.

The use of standard code-sets such as the NWD enable consistent analysis of the whole NHS workforce, including the tracking of emerging as well as long-standing groups over time.

Relevant changes to NWD are incorporated into ESR to enable organisations to remain compliant with NWD.

### 21.1.3. Further Details

Further information on BI dashboards can be found here.

Further information on WoVEn can be found here.

Further information on NWD and the Occupation Code Manual can be found here.

# 22. GDPR

### 22.1.1. Overview

In order to support the requirements of the ESR General Data Protection Regulations (GDPR) the GDPR Officer responsibility is available.

### 22.1.2. Key Points

This responsibility is available for users to run the processes associated with GDPR only and it is a local decision within each organisation who should be given access to this responsibility.

The following requests are available within the XXX GDPR responsibility:

- NHS GDPR Data Portability Extract

The NHS GDPR Data Portability Extract process will produce an extract containing an agreed list of current personal details held in ESR for a given individual.

- NHS GDPR Subject Access Request Report

The NHS GDPR Subject Access Request process will produce a report containing an agreed list of personal details held in ESR for a given individual. This includes all current and historic versions of date tracked records and records that have been end dated but are still held against the person in ESR.

If the extract file is saved locally it is the responsibility of the GDPR user to abide by their organisation's regulations for the storage and transfer of sensitive files.

### 22.1.3. Further Details

Further Information can be found in the ESR User Manual. To access click here.