
THE ELECTRONIC STAFF RECORD PROGRAMME



NATIONAL HEALTH SERVICE

ESR NHS0335-STREAMLINED ESR OH BI-DIRECTIONAL INTERFACE GUIDE

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1. DOCUMENT CONTROL

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1.3. DISTRIBUTION

Copy No.	Name	Location
1	Library Master	Programme Library
2		

1.4. ABBREVIATIONS

Type	Abbreviation	Meaning
Acronym	OH	Occupational Health
Acronym	EPP	Exposure Prone Procedure
Acronym	URP	User Responsibility Profile
Acronym	ESR	Electronic Staff Record
Acronym	IAT	Inter Authority Process
Acronym	SR	Service Request in relation to the ESR Service Desk (Remedy) Service
Acronym	OHSC	Occupational Health Smart Card
Acronym	VPD	Virtual Private Database
Acronym	DiTs	Doctors in Training

2. CONTENTS

1. DOCUMENT CONTROL	2
1.1. CHANGE RECORD	2
1.2. REVIEWERS	2
1.3. DISTRIBUTION	3
1.4. ABBREVIATIONS	3
2. CONTENTS	4
3. INTRODUCTION	5
3.1. DOCUMENT PURPOSE	5
3.2. BACKGROUND	5
3.3. BENEFITS	6
3.4. THE FUNCTIONAL REQUIREMENT	6
4. OVERVIEW OF OH PROCESS	8
4.1. OCCUPATION HEALTH DATA FLOW	8
4.2. OCCUPATIONAL HEALTH SYSTEM INTERACTIONS	9
5. OCCUPATIONAL HEALTH FUNCTIONALITY IN ESR	11
5.1. HOW DOES THE OCCUPATIONAL HEALTH FUNCTIONALITY IN ESR WORK?	11
5.1.1. Recording OH Information in ESR	11
5.1.2. Accessing the OH Module in ESR	11
5.1.3. Viewing Person and Position Information	13
5.1.4. Viewing and Updating Occupational Health Information	14
5.1.5. Recording Immunisations and Checks	16
5.1.6. Position Changes within ESR Workstructures	19
5.1.7. Employment Checklists in HR	20
5.2. THE BI-DIRECTIONAL INTERFACE	23
5.3. OH DATA AND THE IAT PROCESS	24
5.4. NOTIFICATION ROLES	28
5.4.1. Occupational Health Administrator Role	28
5.4.2. GI: ETA – Occ Health EIT Role	28
5.4.3. GI: OHA – Occ Health Assessment Role	28
5.4.4. Employment Checklist Role	29
6. OH REPORTING	30
6.1. THE OH DASHBOARD	30
6.2. MASS UPDATES FOR IMMUNISATIONS AND VACCINATIONS	31
7. ESR IMPLEMENTATION GUIDANCE	32
7.1. ENSURING YOUR ORGANISATION IS READY	32
7.1.1. Setting up ESR roles and responsibilities	32
7.1.2. Occupational Health Admin Notification Role Allocation	32
7.2. VIEWING A WORKFLOW NOTIFICATION	34
7.3. CREATING A NEW POST	35
7.3.1. Position Changes within ESR Workstructures	35
7.3.2. Employment Checklists in HR	36
8. IMPLEMENTING AND OPERATING THE INTERFACE	37
8.1. LOG A SERVICE REQUEST (SR)	37
8.2. BI-DIRECTIONAL OH INTERFACE PROCESSING STATUS	37
8.2.1. Nominee Request	37
8.2.2. Processing Report	37
8.2.3. OH Status Check Report	38
8.2.4. Key Definitions and Action Required	39
8.2.5. Implementation Checklist	40

3. INTRODUCTION

3.1. DOCUMENT PURPOSE

This document is intended to provide an outline of the OH functionality within ESR, along with an overview of the bi-directional OH interface process and data flow with third-party Occupational Health Systems. The document is intended for Occupational Health Professionals and third-party LMS providers and other individuals (ESR Workstructures Administrators, IAT Initiators and HR), who are affected by the introduction of the functionality and bi-directional interface.

Related documents include the ESR-NHS0067 Occupational Health third-party Bi-Directional Interface.

3.2. BACKGROUND

The Department of Health introduced Occupational Health Smart Cards (OHSC) for doctors in training (DITs) in 2001 to strengthen and streamline pre-employment health checks, improve the working lives of doctors in training and support patient safety. They enabled a doctor's specific occupational health information such as immunisations and checks to transfer via the OHSC system to occupational health departments as a doctor in training rotates.

Following this, The Department of Health decided to integrate the OHSC system for managing doctors' occupational health clearance into the Electronic Staff Record (ESR) in 2009. As part of this initiative, the ESR Occupational Health module was developed, which accommodates the recording of immunisations and checks and occupational health clearance. This is not restricted to Doctors in training and can be used for all staff groups.

The pre-employment Inter Authority Transfer (IAT) process was developed as part of this initiative, to allow immunisations and checks (where captured within ESR), to transfer from one NHS employer to another. This gives portability to the information and unnecessary repetitions of inoculations or checks for NHS employees who move around the National Health Service.

Many organisations use a third-party Occupational Health system to manage their Occupational Health processes. These systems are advanced and more sophisticated than ESR and therefore a requirement has arisen of an interface to link ESR and these third-party OH systems. The Occupational Health Steering Group requested that the ESR Central Team provide a Bi-Directional Interface that will enable third-party Occupational Health systems to exchange data with ESR, specifically employee, OH Clearance and Immunisations and Assessments. By having a Bi-Directional Interface, data entered by OH Staff into their third-party system will be updated in ESR and data that is entered into ESR will be updated in the third-

party OH system. By having the interfaces available to run on a daily basis, the two systems will be closely aligned. This will also mean that OH data on ESR can become available to other employing organisations via the IAT when an individual changes employment.

3.3. BENEFITS

The benefits derived from the OH functionality and the OH bi-directional interface in ESR are extensive to NHS organisations.

In summary the benefits are as follows:

- **Availability:** Occupational health clearance data will be available to HR and Recruitment Teams prior to employment via the IAT process.
- **Quality improvements:** Starter, leaver and OH Clearance information will be transferred electronically, therefore reducing data entry and improving data quality. The Bi-Directional interface ensures that third-party OH systems and ESR remain closely aligned, adding to the data quality improvements.
- **Safety Improvements:** Portable data that is accurate, up to date and available, improves patient safety, streamlines the recruitment process, and improves the working lives of staff.
- **Efficiency:** The Bi-Directional interface allows organisations to use third-party OH systems that seamlessly interface with the ESR system, promoting the updating of both systems automatically and thereby reducing the admin burden on staff.
- **Streamlining - Enabling Staff Movement:** It aligns with the vision of the NHS Improvement and NHS England national programme to enable staff movement and create efficiencies, reduce repetition and improve the experiences of DiTs and other staff. The electronic transfer of immunisation information reduces the necessity to repeat immunisation/vaccination checks, improving the working lives of staff, streamlining the recruitment process and saving costs.
- **Consistency of Data:** The joining-up of third-party systems with ESR enables a move towards a consistent data set for the NHS workforce.

3.4. THE FUNCTIONAL REQUIREMENT

The functional requirement is to develop a technical solution which supports the transfer of person, position and occupational health information between OH systems and ESR throughout the period of the Employee Lifecycle for staff. This is both supported by, and lends support to, the IAT process.

The key requirements for this are as follows:

- To have the ability to confidentially record OH Clearance information for all staff groups in ESR.
- The ability to hold the OH data securely and ensure that only OH staff with clearance to view the data are able to do so.

- For OH Clearance Information to be made available to future employing organisations as part of pre-employment checks.
- For OH Clearance data to be transported from one organisation to the next without the need for manual entry via the Inter-Authority Transfer functionality.
- To integrate the OH Clearance within the existing ESR HR functionality.
- To produce reports on the OH Clearance status.
- To provide a truly bi-directional interface between ESR and third-party OH systems for clearance and immunisation data.
- To provide access to the ESR OH dashboard for organisations using the bi-directional interface.

4. OVERVIEW OF OH PROCESS

4.1. OCCUPATION HEALTH DATA FLOW

The OH data flow begins at the applicant stage and continues through to initial clearance and hiring/ rejecting of the individual (the latter is very rare and generally provisions/mitigations are put in place to address the concerns found during the clearance process). Subsequently, any updates to the OH data for individuals as they progress through their employment lifecycle are recorded in the relevant OH system. The diagram below shows the data flow of the OH process starting from an applicant, through to clearance.

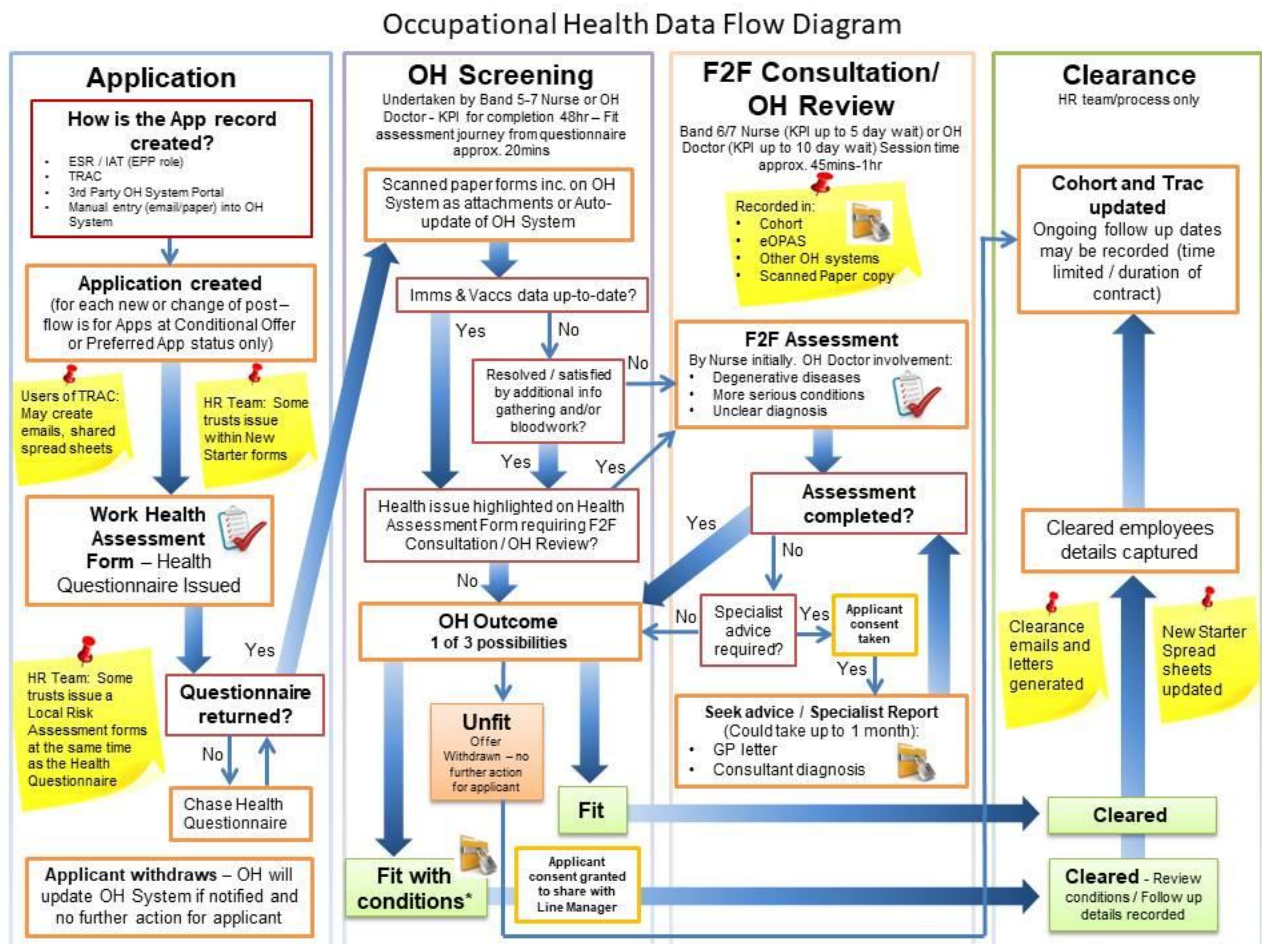


Figure 4.1-1: Data flow of OH process from applicant to clearance

Initial OH information is usually captured at the recruitment stage when an individual is an applicant at either the Conditional Offer or Preferred Applicant status. At this point, a health questionnaire is usually issued to the applicant and once returned, is recorded in the OH system as per local processes. The responses on the questionnaire along with the position attributes determine the next steps in the process.

The next stage is to check whether the applicant is up to date on their immunisations and vaccinations. Depending on the outcome, the applicant may either progress to the next stage of the OH clearance process or may require a face-to-face consultation/OH review.

The imms and vacs status is assessed along with other personal health needs and an outcome is reached of either fit, fit with conditions or unfit. Either of the 'fit' statuses result in the applicant reaching an 'OH cleared' status and this is reflected in the applicant record. Unfit applicants will have their offer withdrawn, although this is rare as often mitigating actions are put in place.

Alternatively, if the imms and vacs were not up to date or further assessments are deemed appropriate, a F2F consultation or OH review may be required for the applicant. This may involve a range of healthcare personnel, including nurses, doctors and specialists. Once the assessment has been completed as required, the applicant will progress to the OH outcome stage and be subject to the same three possibilities of fit, fit with conditions or unfit. The corresponding clearance decision will then be made.

At each stage, the OH system will be updated with the applicant's journey to capture the outcome of each step in the process and the subsequent decisions made. The goal is to reach the final OH outcome decision which provides the necessary clearance information. If at any point the OH status of the individual or the requirements for their position change, this will be updated in the OH system and the process will be followed as required.

4.2. OCCUPATIONAL HEALTH SYSTEM INTERACTIONS

The OH functionality in ESR will allow the recording of Occupational Health immunisations and vaccinations checks previously recorded by the OHSC. Inputs will also be received from the Green Book and Steering Committee and managed through the change management process to incorporate into ESR. It is necessary that third-party OH systems and ESR are in synch with the Core List. The NHS Health Network provides the core list of immunisations that should be reflected when capturing OH data and this is regularly reviewed for updates. The diagram below illustrates the different key stakeholder groups interacting with OH and ESR.

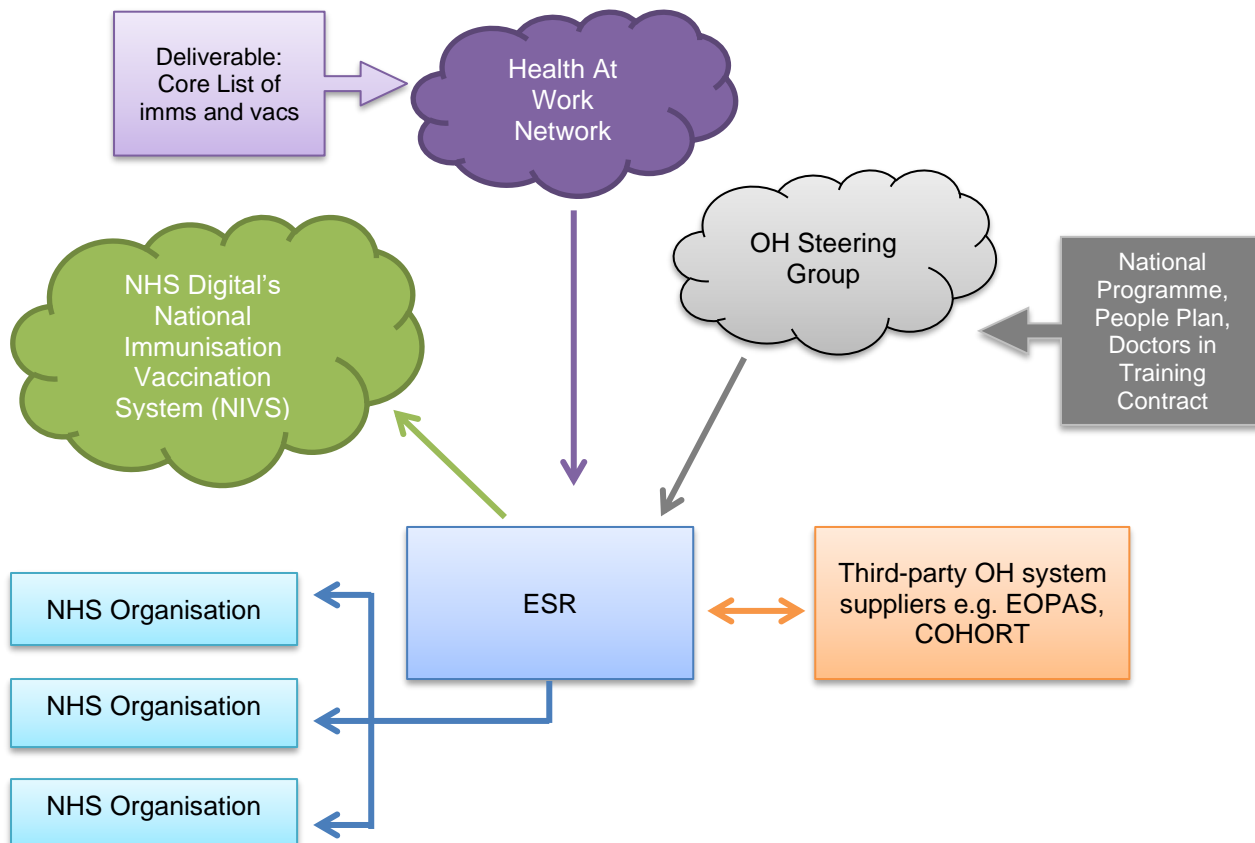


Figure 4.2-1: Schematic diagram of key stakeholder interactions with OH. Requirements gathered from the Health at Work Network and the OH Steering Group are via consultation, while the NIVS and OH third-party systems provide inputs via interfaces.

5. OCCUPATIONAL HEALTH FUNCTIONALITY IN ESR

5.1. HOW DOES THE OCCUPATIONAL HEALTH FUNCTIONALITY IN ESR WORK?

5.1.1. Recording OH Information in ESR

Occupational Health information can be recorded in ESR in different ways. The four main methods are described below in more detail.

- **Manual updates in ESR** – this method involves staff with the appropriate permissions to record OH information directly in ESR using the OH module.
- **Via the IAT process** – OH information that exists in ESR for an individual can be transferred as part of the IAT process. It is highly encouraged to run IATs for individuals as they move between NHS Organisations as this enables previously-captured data to flow easily around ESR. See section 5.3 for more detail.
- **The mass update process** – It is also possible to update OH information in the ESR OH module using the mass update facility. Simply raise a Service Request as a Work Order/Request a New Service and then fill in the mass update template.
- **Automatically via the bi-directional interface** – subscribing to the OH bi-directional interface allows the use of a third-party specialist OH system to conduct local OH processes, while enabling this information to be transferred into ESR automatically. This can then form the basis of the IAT and be transferred with the individual as they move around. See section 5.2 for further information.

5.1.2. Accessing the OH Module in ESR

Within ESR, access to information is managed by the concept of User Responsibility Profiles (URPs). This ensures that data is only accessible to users where relevant to their professional roles, such as HR data only being made available to Human Resources staff, where it is appropriate for the role of that individual in their everyday work.

As Occupational Health information can often be personal and of a sensitive nature, access to this data is tightly controlled in a similar way to HR or Payroll Information. OH personnel who wish to access this data can only do so via the Occupational Health Administrator User Responsibility Profile.

Where access to OH information is required, the local ESR System Administrator must allocate this URP to the user. Details of the process of role allocation and relevant access to ESR can be obtained from your System Administrator.

A read only version of the medical assessment form is available to the Recruitment and HR User Responsibilities. The immunisations and checks data will not be visible to HR or other professionals with the organisation who do not require access to this information as part of their job role.

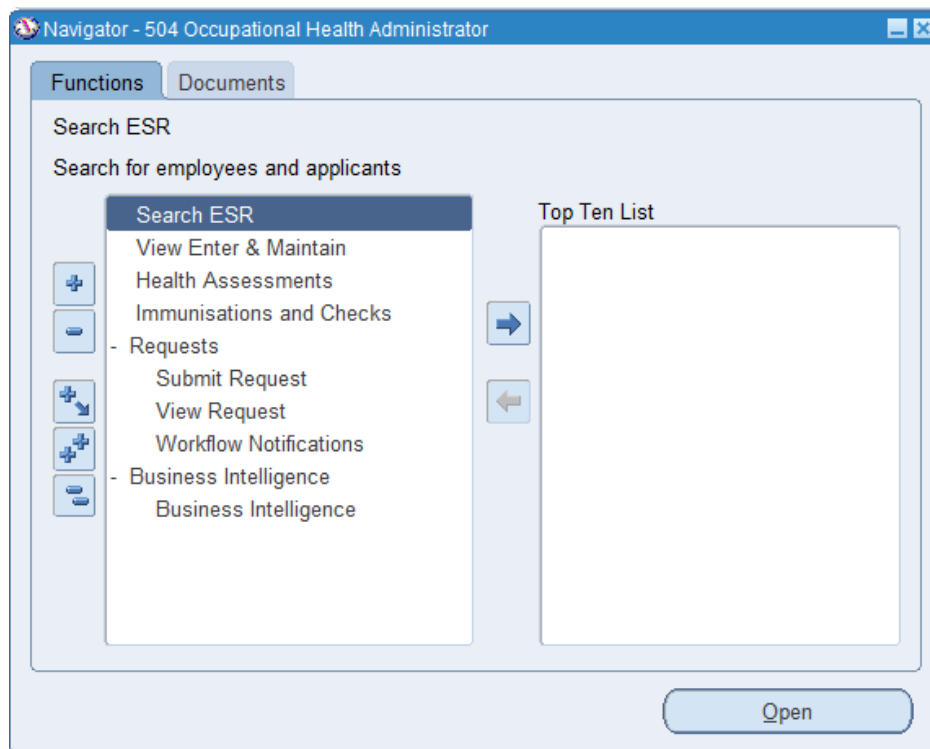


Figure 5.1-1: Occupational Health Administrator URP Page within ESR.

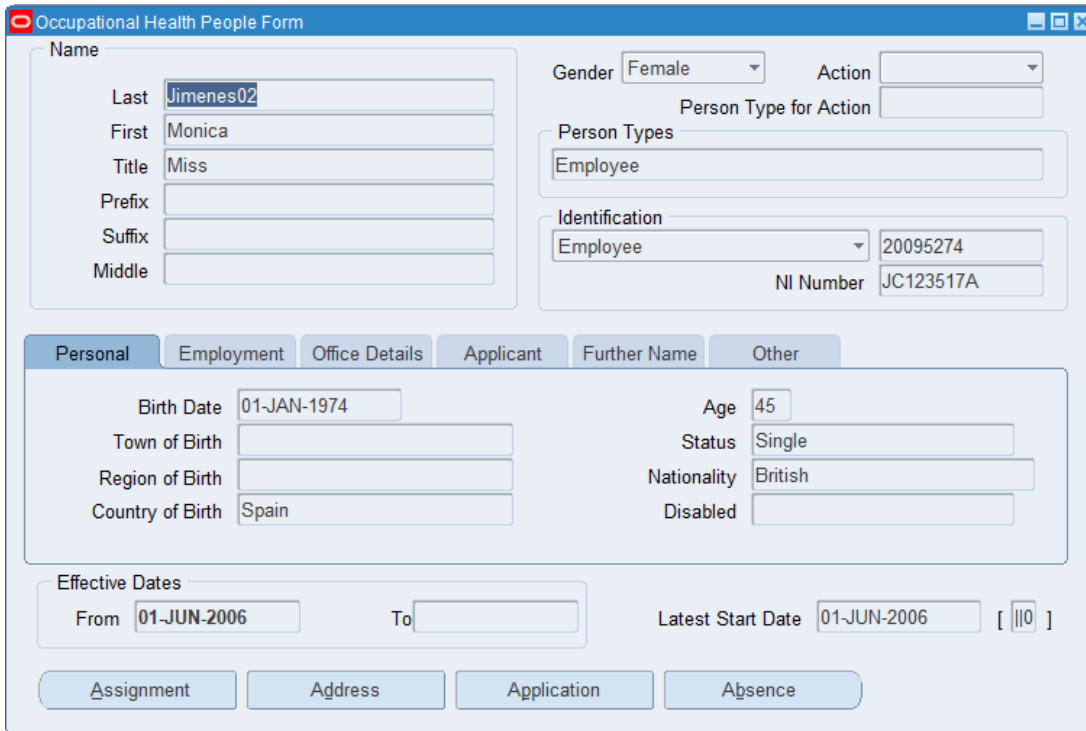
This user profile provides access to five key functional areas within ESR relevant to OH staff. These areas are shown in the screenshot above and can be broken down as follows:

- View person data – this can be useful for providing information such as personal contact information so that the OH team can arrange appointments for the individual. See section 5.1.3.
- Record Health Assessment details – this form can be used to keep a record of the progress of OH clearance process. See section 5.1.4.
- View and update immunisation and test details – these forms can capture information relating to the immunisations and checks for the individual. See section 5.1.5.
- View OH notifications about the IAT process – these notifications relate to the transfer of immunisations and checks information transferred by the pre-employment IAT. See section 5.3.
- Business Intelligence – produce local OH reports. The reports are relevant to organisations using the OH module within ESR in isolation or where data is populated via the OH Bi-Directional interface. See section 6.

Apart from the read only medical assessment form described above, no other User Responsibility Profile on ESR will be able to access this OH information.

5.1.3 Viewing Person and Position Information

Allocation of the OH Administrator URP allows OH Personnel to view relevant Person, assignment or 'job' and application information. It is not possible for the OH User to change this data, as this is data is input and controlled by the Human Resources URPs.

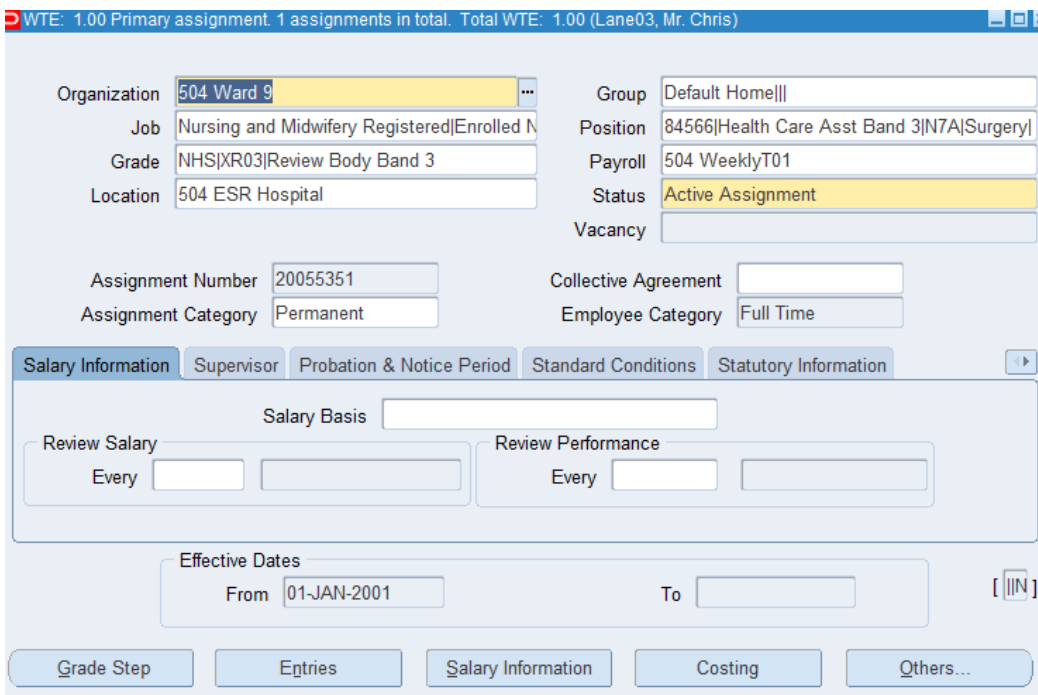


The screenshot shows the 'Occupational Health People Form' window. It contains several sections for data entry:

- Name:** Last (Jimenes02), First (Monica), Title (Miss), Prefix, Suffix, Middle.
- Gender:** Female (dropdown), Action (dropdown), Person Type for Action (dropdown).
- Person Types:** Employee (dropdown).
- Identification:** Employee (dropdown), 20095274, NI Number (JC123517A).
- Personal:** Birth Date (01-JAN-1974), Age (45), Town of Birth, Region of Birth, Country of Birth (Spain), Status (Single), Nationality (British), Disabled.
- Effective Dates:** From (01-JUN-2006), To, Latest Start Date (01-JUN-2006).
- Buttons:** Assignment, Address, Application, Absence.

Figure 5.1-2: Occupational Health People Form

An existing employee will have an 'Assignment' record within ESR which details the person's job record. This will provide the OH Administrator vital information about the individual's role within an organisation, which will provide them with insight into what level of clearance and immunisations and checks they might require.



The screenshot shows the 'Primary Assignment' form window. It contains several sections for data entry:

- Organization:** 504 Ward 9 (dropdown), Group (Default Home||).
- Job:** Nursing and Midwifery Registered|Enrolled N, Position (84566|Health Care Asst Band 3|N7A|Surgery|).
- Grade:** NHS|XR03|Review Body Band 3, Payroll (504 WeeklyT01).
- Location:** 504 ESR Hospital, Status (Active Assignment), Vacancy.
- Assignment Number:** 20055351, Collective Agreement.
- Assignment Category:** Permanent, Employee Category (Full Time).
- Salary Information:** Salary Basis, Review Salary (Every), Review Performance (Every).
- Effective Dates:** From (01-JAN-2001), To.
- Buttons:** Grade Step, Entries, Salary Information, Costing, Others...

Figure 5.1-3: Primary Assignment

At the pre-employment stage, a person may only have an 'Applicant' record within ESR. This provides information about the role for which the individual has applied. As with the Assignment record, this provides the OH Administrator with insight into what level of OH Clearance the individual requires.

Figure 5.1-4: Applicant Entry

5.1.4 Viewing and Updating Occupational Health Information

The URP also grants access to the forms which facilitate the recording of individual Occupational Health Tests and Immunisations, as well as the creation of an overarching OH record. This details the progress of the checks and ultimately whether someone has been awarded Occupational Health Clearance to work.

Figure 5.1-5: Overarching OH Record with options for individual OH tests and immunisations

The screenshot shows a web-based form titled "OH Assessments (Jimenes02, Miss Monica, AB504392A, 01-JAN-1970) - EPP Post Holder=No". The form is divided into two main sections: "Assessment Details" and "Occupational Health Notes".

Assessment Details:

- OH Record Date: 09-APR-2021
- OH Status: Cleared
- OH Conditions: Other - see HR advice notes
- EPP Clearance?: No
- OH Advice to HR: No heavy lifting.
- Assessment Type: Health Assessment - Recall/Revi
- OH Clearance Unit: Trust
- Medical Clearance Date: 09-APR-2021
- EPP/OH Review Date: (empty)

Occupational Health Notes:

Will review again on 31 March 2022.

At the bottom, there is a "Further Information" field and three buttons: "EPP Tests", "Non-EPP Tests", and "All Tests".

Figure 5.1-6: Example OH Assessments Form with sample data

The OH Assessments Form allows the user to record the following details:

- OH Record Date – This field should be used to capture the date the record was first created;
- OH Status – This field shows the status of the checks at the current point in time;
- OH Conditions – This field permits the user to record any relevant conditions associated with an individual's clearance.
- EPP Clearance – This field allows the user to record whether or not an individual has clearance to carry out work in Exposure Prone Procedures (For example, work undertaken in areas such as the Operating Theatre, where there is exposure to bloods/fluids)
- OH Advice to HR – This field should be used where there is specific advice to be passed to the Recruitment/HR Team;
- OH Clearance Unit – This field should be used to record the organisation name responsible for performing the OH Clearance process;
- Medical Clearance Date – This field should contain the date when OH Clearance was granted and is automatically populated on the Employment Checklist form within ESR (which is used by Recruitment and HR Teams to capture progress of the Employment checks process);
- EPP/OH Review Date – This field should be used to record any further reviews of OH Clearance.

When used in conjunction with the bi-directional interface, this information will be automatically populated by the OH System and details of the OH Clearance process will be automatically passed to the HR and Recruitment through the Employment Checks Clearance Notification.

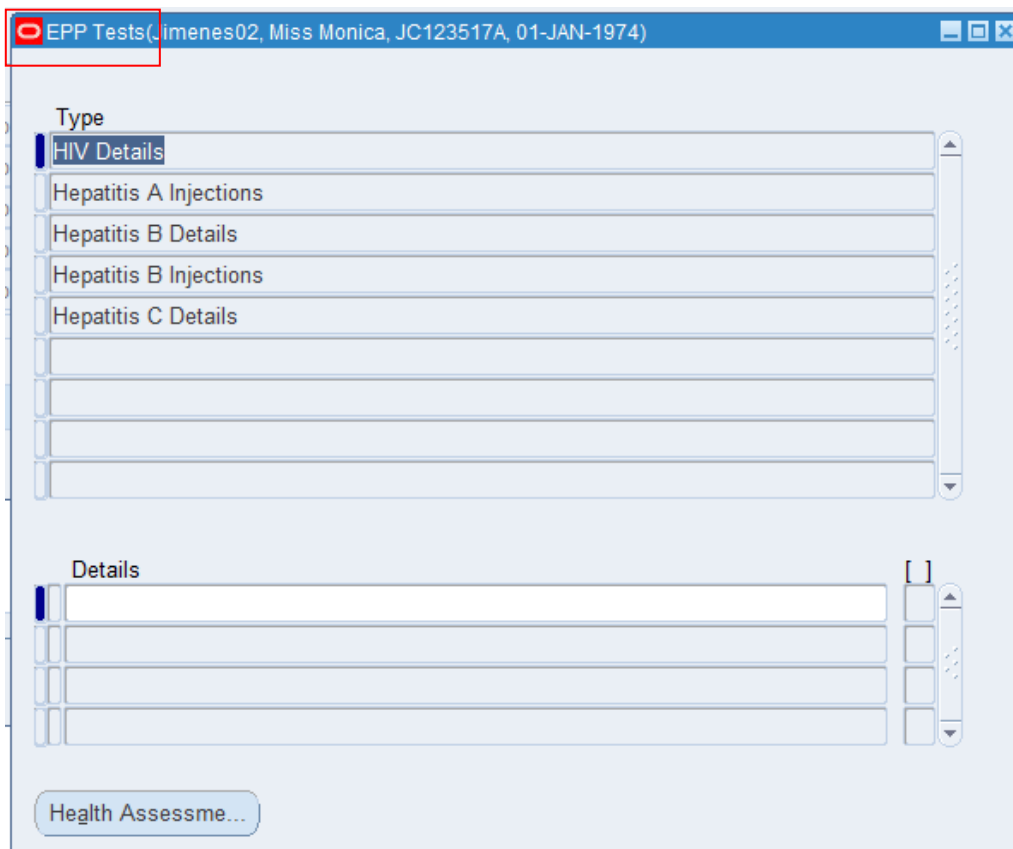
5.1.5 Recording Immunisations and Checks

As outlined earlier within this document, it is also possible to record details of immunisations and checks administrated in the process of clearing an applicant/employee to start work directly within the ESR solution. This dataset is aligned with the best practice guidance documented in the Department of Health Green Book and was originally agreed by the ESR OH Clearance Steering Group.

Within the ESR OH module, immunisation and check records are categorised into two types within ESR: EPP and non-EPP tests.

EPP Tests are checks required for employees who work in areas where Exposure Prone Procedures are undertaken. For example, staff members who work with bloods or in surgery. The information that can be recorded for this group of checks and testing include:

- HIV Details
- Hepatitis A Injections
- Hepatitis B Details
- Hepatitis B Injections
- Hepatitis C Details



The screenshot shows a software window titled "EPP Tests (Jimenes02, Miss Monica, JC123517A, 01-JAN-1974)". The window contains a list of test types under the heading "Type". The list includes "HIV Details", "Hepatitis A Injections", "Hepatitis B Details", "Hepatitis B Injections", and "Hepatitis C Details". Below the list is a "Details" section with a text input field and a list of checkboxes. A "Health Assessme..." button is visible at the bottom left of the window.

Figure 5.1-7: Additional detail for EPP Tests

Non-EPP Tests include standard checks of OH Clearance, for all staff. The information that can be recorded for this group of checks and testing include:

- Body Fluid and Inoculation Incidents
- COVID-19 Vaccinations
- Coronavirus
- Diphtheria Tetanus and Polio Details
- HIV Details
- Hepatitis A Injections
- Hepatitis B Details
- Hepatitis B Injections
- Hepatitis C Details
- Influenza Details
- Latex Sensitivity
- MMR Details
- Tuberculosis Details
- Typhoid Details
- Varicella Details

When used in conjunction with the bi-directional Interface, both EPP and Non-EPP tests information will be automatically populated by the interface process from information captured within the OH System.

It is important to note that these records will be updated by the IAT process where records exist with a previous employer and they have agreed to release the IAT portable dataset.

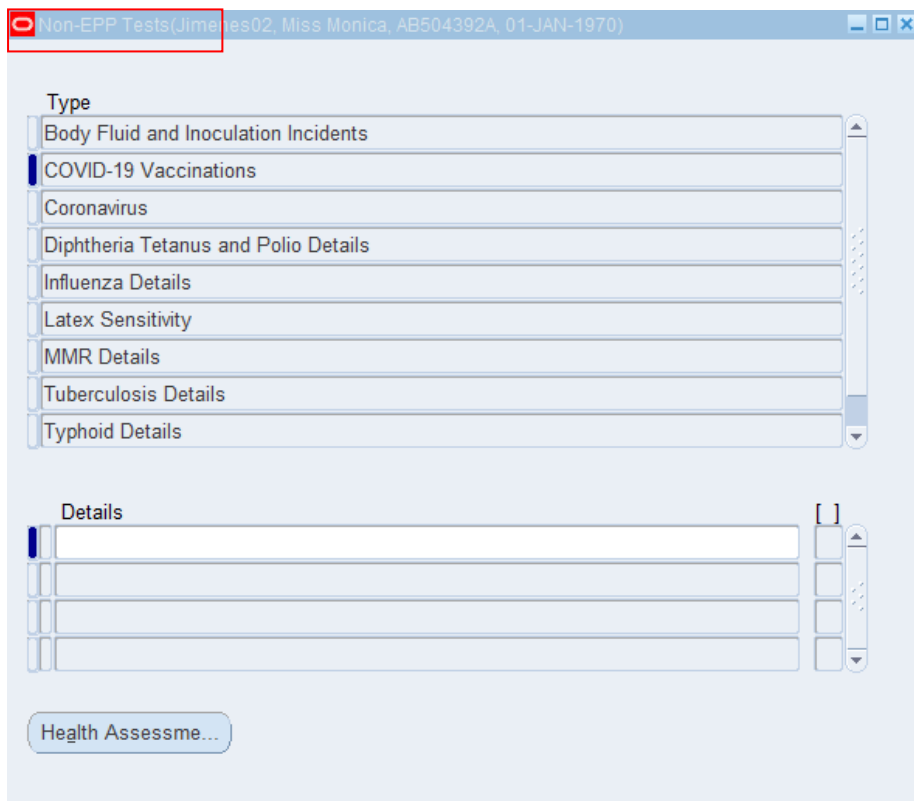


Figure 5.1-8: Additional detail for Non-EPP tests

Further screenshots below provide extra detail on the screens available within ESR for how to record immunisation and assessment details.

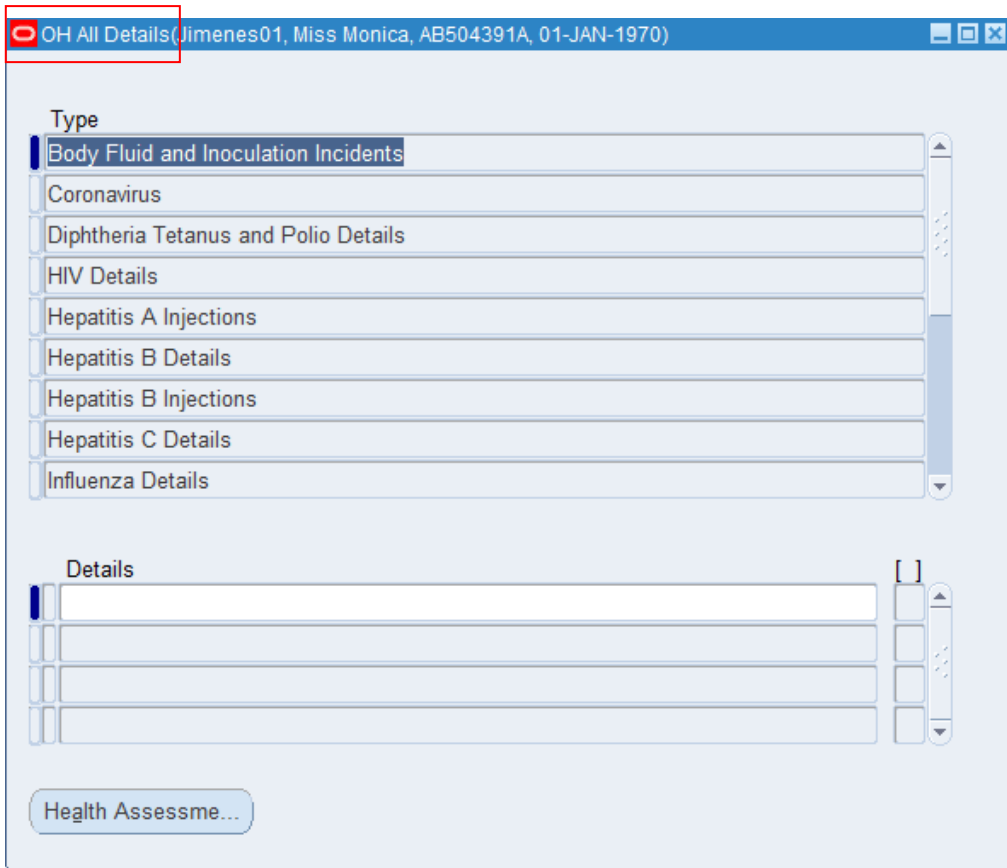


Figure 5.1-9: Additional detail for All Tests

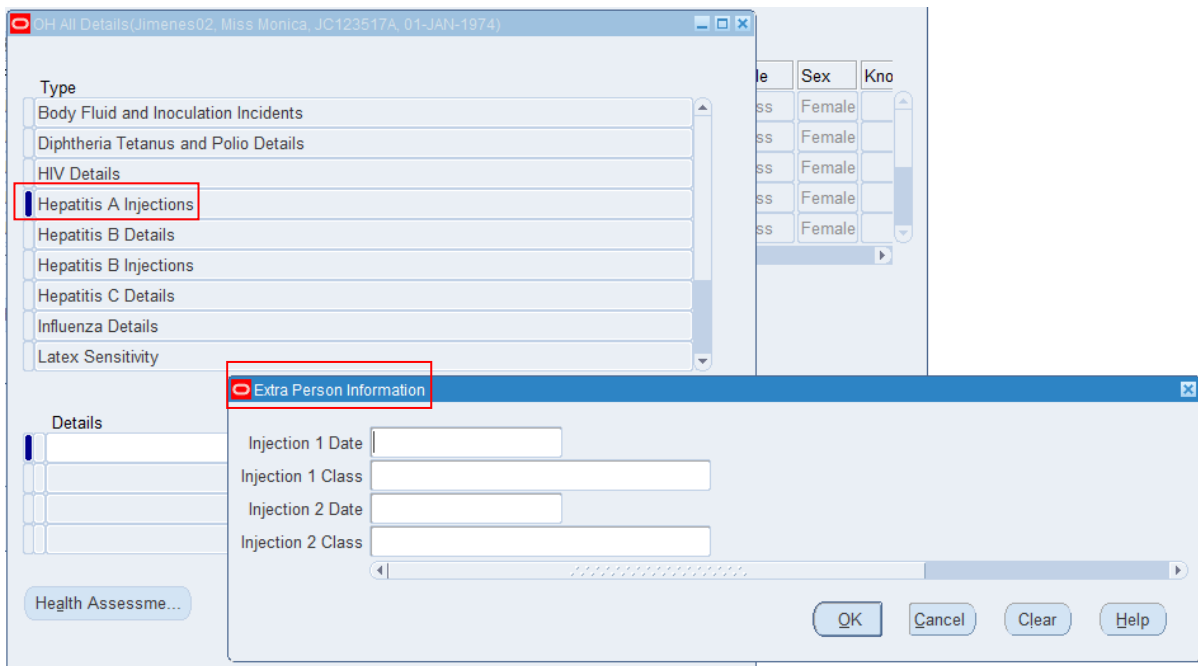


Figure 5.1-10: Additional detail for recording individual immunisations

5.1.6 Position Changes within ESR Workstructures

The ESR Workstructures stream allows an organisation to manage their organisation structures such as Directorates and Departments and their associated positions. Workstructures is accessed via a specific Workstructures User Responsibility Profiles and, although allocated locally, are usually only available to a small number of ESR users within the organisation.

The Workstructures team need to be aware that where a post is subject to OH checking, a flag needs to be set against the position: **'Eligible for OH Processing'**. This flag is key for the IAT process as the OH dataset is only transported when the post for the new employer has this attribute set to 'Yes' and where the requested data is available within the previous employer's database .



Note: Make sure you tick the 'Eligible for OH processing' to enable the flow of data through the IAT.

This functionality also facilitates the OH reporting mechanisms within the OH Dashboard and the NHS OH Data Extract Report. For example, the OH Data Extract Report within the OH Admin URP can identify all post holders eligible for OH processing, subject to the flag being set. This can be a powerful tool to assist with the recruitment and HR processes.

In addition, the position information is able to record whether a post requires Exposure Prone Procedures (EPP) Clearance. This flag will facilitate effective reporting, enabling the reports to identify any gaps in EPP clearance (OH Admin URP > Submit a Request > NHS OH EPP Gap Analysis Report). The two flags are shown below in the screenshot.

The screenshot shows a light blue background with two rows of text and checkboxes. The first row has the text 'EPP Post' followed by a white checkbox. The second row has the text 'Eligible for OH Processing' followed by a white checkbox.

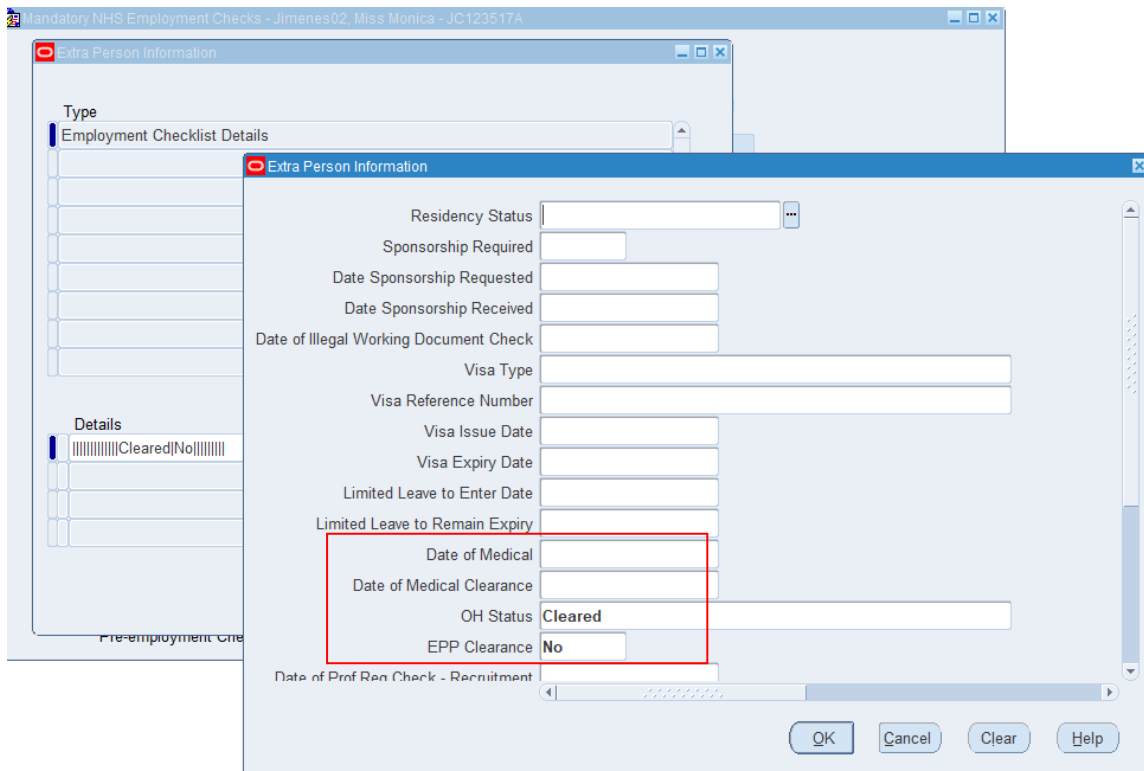
Figure 5.1-11: Navigation path – Workstructures URP > Position > Description > Position Details > Additional Positional Details Flexfield

User Implementation Requirement: It is acknowledged that the decision as to whether or not a post requires EPP clearance is made locally within an NHS Organisation, and cannot be defined centrally. Therefore the central implementation will not involve identifying posts subject to EPP clearance. Instead, NHS Organisations will need to undertake an exercise to identify all of their EPP posts. Post implementation, it is anticipated that this flag is taken into consideration each time a new post is created in ESR. See ESR Implementation Guidance section for detail on how to carry out this activity.

5.1.7 Employment Checklists in HR

The Occupational Health functionality is linked to the existing Employment Checklist form. This form enables Recruiters to keep track of the Mandatory Employment Checks completed for an applicant throughout the Recruitment and Selection process.

Once the Occupational Health Clearance date is populated in the Medical Assessment form, this field is updated in both the Employment Checklist Form and the NHS Mandatory Checklist which enables Recruitment and HR teams to access the read only version of the medical assessment form.



The screenshot displays a web application window titled 'Mandatory NHS Employment Checks - Jimenes02, Miss Monica - JC123517A'. A dialog box titled 'Extra Person Information' is open, showing various fields for employment checks. The 'OH Status' field is highlighted with a red box and contains the value 'Cleared'. Other fields include 'Residency Status', 'Sponsorship Required', 'Date Sponsorship Requested', 'Date Sponsorship Received', 'Date of Illegal Working Document Check', 'Visa Type', 'Visa Reference Number', 'Visa Issue Date', 'Visa Expiry Date', 'Limited Leave to Enter Date', 'Limited Leave to Remain Expiry', 'Date of Medical', 'Date of Medical Clearance', 'EPP Clearance' (set to 'No'), and 'Date of Prof Req Check - Recruitment'. The dialog box has 'OK', 'Cancel', 'Clear', and 'Help' buttons at the bottom.

Figure 5.1-12: OH Clearance Status within the Employment Checklist Form. Navigation path – HR Admin > Enter and Maintain > Others > Mandatory NHS Employment Checks > Emp Check List > Details Flex Field

Furthermore, if the HR Team require more information on the progress of the OH Clearance, they can select the 'View Details' button to the right of the Date of Medical Clearance field and see the OH Assessment Record. This is read-only and cannot be changed by the HR or Recruitment Teams.

Mandatory NHS Employment Checks - Jimenes02, Miss Monica - AB504392A

Employment Checklist Dates

Employment Checklist Dates - Start Date	<input type="text"/>	Current Record
ID Checked - Recruitment Stage	<input type="text"/>	View Details
ID Checked - Hire Stage	<input type="text"/>	View Details
Employment History	<input type="text"/>	View Details
References	<input type="text"/>	View Details
Date of Qualifications Check	<input type="text"/>	View Details
Date of Right to Work	<input type="text"/>	View Details
Date DBS Requested	<input type="text"/>	View Details
Date DBS Received	<input type="text"/>	
Date of Medical	<input type="text"/>	
Date of Medical Clearance	09-APR-2021	View Details
Date of Prof Reg Check - Recruitment	<input type="text"/>	
Date of Prof Reg Check - New Joiner	<input type="text"/>	
	Emp Check List	
	EU Status	
Pre-employment Checks Complete	<input type="text"/>	

Figure 5.1-13: Location of the 'View details' button for HR teams to view progress of OH clearance. Navigation path – HR Admin > Enter and Maintain > Others > Mandatory NHS Employment Checks

OH Assessments (Jimenes02, Miss Monica, JC123517A, 01-JAN-1974) - EPP Post Holder=No

Assessment Details

OH Record Date	29-NOV-2019	Assessment Type	Health Assessment - Recall/Revi
OH Status	Cleared	OH Clearance Unit	Trust
OH Conditions	Other - see HR advice notes	Medical Clearance Date	<input type="text"/>
EPP Clearance?	No	EPP/OH Review Date	<input type="text"/>
OH Advice to HR	No heavy lifting.		

Occupational Health Notes

[]

Figure 5.1-14: OH Clearance Status within the Employment Checklist Form. Navigation path – HR Admin > Enter and Maintain > Others > Mandatory NHS Employment Checks > Date of Medical Clearance > View Details

The Date of Medical Clearance field is automatically populated by the information captured in the OH Assessments form. This allows Recruitment and HR Teams to see the progress of the OH Clearance alongside all of the other pre-employment checks.

The screenshot shows a web application window titled "OH Assessments (Jimenes02, Miss Monica, AB504392A, 01-JAN-1970) - EPP Post Holder=No". The "Assessment Details" section contains the following fields:

- OH Record Date: 09-APR-2021
- OH Status: Cleared
- OH Conditions: Other - see HR advice notes
- EPP Clearance?: No
- OH Advice to HR: No heavy lifting.
- Assessment Type: Health Assessment - Recall/Revi
- OH Clearance Unit: Trust
- Medical Clearance Date: 09-APR-2021
- EPP/OH Review Date: (empty)

Below the assessment details is a section for "Occupational Health Notes" which is currently empty.

Figure 5.1-15: Screenshot of the OH Assessments Form showing the 'Date of Medical Clearance' populated

The Checklist will be automatically updated following a change being recorded in the third-party OH system, where the OH bi-directional interface is in operation. This is due to the link between the OH Assessment Record and the Employment Checklist, as described above.

In addition, a workflow notification is triggered and sent to members of the 'Employment Checklist Role' when either a clearance date or a status of 'Unfit' has been entered into the OH form. Notifications can be received twice per day at 11am and 4pm. The notification informs recruiters if an applicant has been given OH clearance or not and are able to proceed with the hiring (or not) of the applicant, without further consultation with the Occupational Health Department.

Worklist >

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

Information
This notification does not require a response.

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	

[Return to Worklist](#)
 Display next notification after my response

Figure 5.1-16: Employment Checklist Notification sent to Recruitment/HR

5.2. THE BI-DIRECTIONAL INTERFACE

The bi-directional interface links ESR with the third-party OH system and will enable the immunisations and clearance data to flow from the OH system into ESR. ESR will send records containing personal, assignment and OH details to the third-party OH system. ESR accepts an inbound OH interface file containing Immunisations and Assessments. People and their Jobs (assignments) can only ever be created and updated directly in ESR.

Third-party systems can receive outbound extract 'changes' files from ESR and can also request a 'full file' outbound extract by submitting a Full File Refresh Request file via the service desk. The bi-directional interface will only send records where there has been a change since the last time the interface ran. Where the content of any of the fields on the record has changed, the whole record is re-sent e.g. if the surname changed in ESR, a new Person Record will be sent with all the fields populated on that record, including the person record.

The OH bi-directional interface allows the transfer of data between third-party OH systems and ESR to take place seamlessly, with updates in one system being reflected in the other. This results in there being no master system for the OH clearance data as this will depend on which system holds the most current data. The flexibility of being able to make updates to OH clearance data in either ESR or third-party OH systems and have this updated in the other by the bi-directional interface is a significant benefit of this functionality

The schematic below illustrates the data transfer between ESR and third-party OH systems when the bi-directional interface is operating. The activities carried out by the OH system link into those described in Error! Reference source not found.

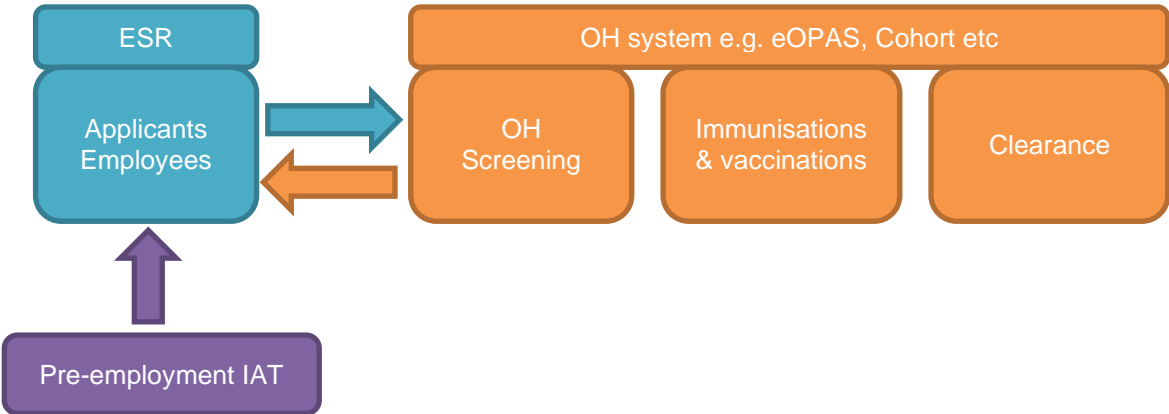


Figure 5.2-1: Schematic diagram showing data transfer between ESR and third-party OH systems

5.3. OH DATA AND THE IAT PROCESS

OH data is part of the standard IAT process which allows OH information to be transported from one organisation to another, following the standard IAT Initiation and Approval process or the auto-IAT option at the pre-employment stage. IAT Users will not be able to see the OH data transferred and this can only be viewed via the OH Admin Notification Role (see section 5.4.1).

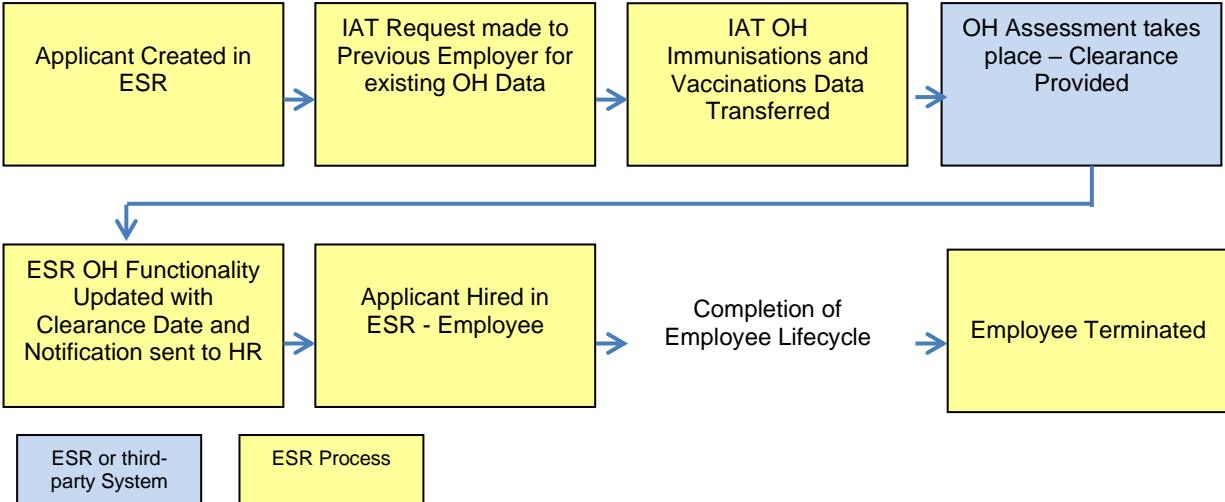


Figure 5.3-1: End-to-end process for occupational health in ESR with the IAT

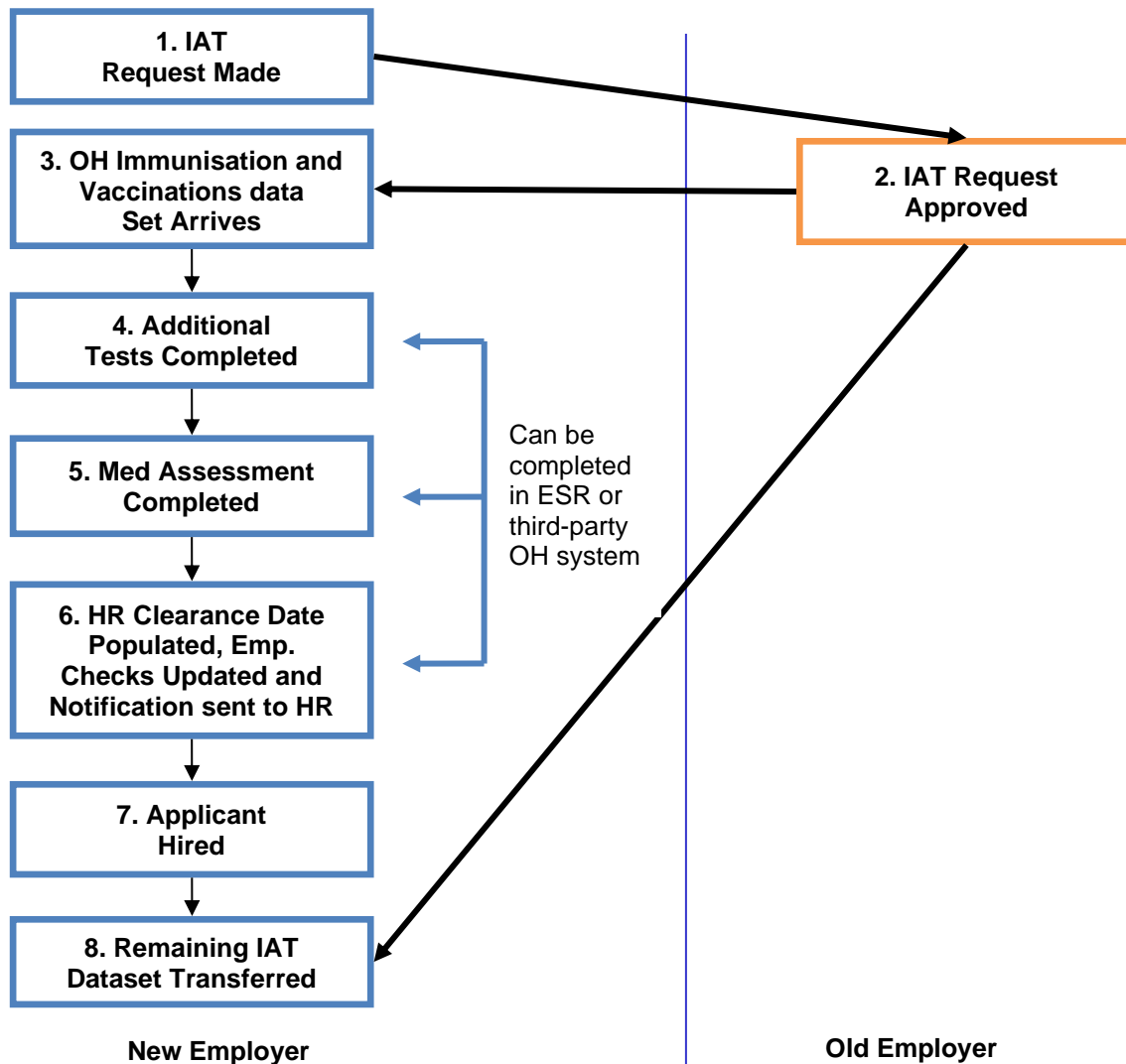


Figure 5.3-2: IAT and OH Dataset Process Flow

The process starts with the new employer making the IAT request. **Note:** It is recommended that all organisations use the Auto IAT request process to ensure that the data is returned to the new/prospective employer as quickly as possible (the manual IAT process requires the previous employer to approve the transfer of information. Due to this manual intervention the manual IAT process takes longer to complete than the Auto IAT route).

The ESR IAT request passes from the new/prospective employer to the former or current employer for the applicant/employee. It requests information about the applicant/employee such as their personal information, employment history and OH immunisations and checks. **Note:** to be eligible, the applicant/employee must have a status of either 'Offer Accepted', 'Preferred Applicant', 'Offered Post Unconditionally' or 'Offered Post Conditionally' AND their applicant post must have the 'Eligible for OH Processing' flag set to 'Yes'.

When the IAT Request is made within ESR, the 'Inter Authority Transfer – Portable Data Set Request Authorisation' notification is created and sent to the OH Administrator. This notifies the OH Team that a request has been made (illustrated in Figure 5.3-3 below). In order for the OH Team to be notified of immunisations and checks data transferred by the IAT process, they must have the OH Administrator role

allocated to them within ESR. As previously described, allocation of role holders can only be undertaken by the local ESR System Administrator.

Inter Authority Transfer - Portable Data Set Request Gerald Cruise

Information

This notification does not require a response.

OK

Request Information

To: XXHR_IAT_ADHOC_IAT_APPROVER16

Sent: 14-Sep-2017 07:50:19

ID: 349563

504 ESR Hospitals NHS Trust have made an offer of employment to Gerald Cruise and they have stated that they are currently / were last employed within the NHS at 502 ESR Hospitals NHS Trust.

Initiator Details

Contact Name: Leese, Mrs. Vivian (504TRAIN21)

Contact Number:

Contact Email:

Comments:

Basic Appointee Details

Last Name: Cruise
First Name: Gerald
Title: MR.
Known As:
Date Of Birth: 01-JAN-1950
NI Number: NS121212C
Professional Registration No (if applicable):
Unique NHS Identifier: 20893

You are requested to allow the transfer of this information to 504 ESR Hospitals NHS Trust. 504TRAIN21 has confirmed that the person referred to above has given permission to perform this data copy.

The attached link will take you to the IAT matching form.

References

[Employee Match Form](#)

OK

Request Information

[Return to Worklist](#)

Display next notification after my response

Figure 5.3-3: Portable Dataset Request Notification for the OH Administrator Role Holder

Assuming that the previous employer had recorded immunisations and checks for an applicant and accept the IAT request, immunisations and checks data will be transferred to the new/prospective employer and a Pre-IAT FYI Notification will be generated and sent to the OH Administrator role holder.

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.

Figure 5.3-4: Pre-IAT FYI Notification showing option to copy the OH Assessment data.

On reviewing the Pre-IAT FYI notification, the user will be presented with a summary of the immunisations and checks transferred for the applicant from their previous employer. It is possible to copy the data items in the 'NHS Occupational Health Assessment Details' section to the Applicant record by clicking the 'Copy OH Assessment Data' button at the top of the notification. Where multiple OH Assessment records exist, these will be produced on the notification and copied across (where this option is selected). This information will also be **stored on** the relevant OH immunisations and check records described in section 5.1.5. If no OH Assessments are held, a message will be displayed stating 'No OH Assessment Details on record'.

The immunisations and checks transferred from one employer to another via the IAT process are available at the 'pre hire' stage'. Where the OH Bi-directional interface is in operation, these records are then passed out to the third-party OH system for the OH team to review and take into consideration as part of the OH Clearance process. It is for this reason that it is essential that organisations make the request for the IAT dataset at the pre-employment stage of the recruitment cycle. This allows the OH Teams to review the data and apply any further checks or immunisation updates, before they make a clearance decision. The

additional checks and clearance information filters back into ESR from the third-party OH system (via the bi-directional interface) and are stored against the individual's record.

Assuming all checks are completed and a satisfactory outcome is found, then the employee may be hired. It is at the hire stage that the remaining information in the portable IAT dataset (such as employment information) is applied to the ESR record.

5.4. NOTIFICATION ROLES

ESR notifications provide users with alerts that there are processes or information which require attention. These notifications are delivered to users that are allocated with a particular Notification Role. This is applied to the User Record within the system administration URP.

It is important to note that in order for the HR or Recruitment Teams to receive relevant ESR notifications, the ESR System Administrator must set an individual up with the relevant Notification Roles, such as the OH Administrator Notification Role and Employment checklist role.

5.4.1 Occupational Health Administrator Role

The Occupational Health Admin role notifies users that the IAT process has been completed and that there is an OH IAT dataset ready for review. The Notification provides a summary of the OH information transferred from the previous employer, which is then incorporated into the Applicant's person record. This will assist the New Employer in identifying any remaining OH checks that need to be completed and then determining the Occupational Health status of the applicant.

5.4.2 GI: ETA – Occ Health EIT Role

This role has been configured to allow notifications to be sent around updates to immunisations. After the bi-directional interface has run, if there are updates to immunisations, the person allocated to this role will receive a notification describing the success, error or failure of that update and can then act accordingly. These notifications may be useful to help inform business processes and as a feedback mechanism.

5.4.3 GI: OHA – Occ Health Assessment Role

Much like the GI:ETA – Occ Health EIT Role, this role has been configured to allow notifications to be sent around updates from the bi-directional interface, but this focuses on updates to assessments. The person allocated to this role will receive a notification describing the success, error or failure of the update and can then act accordingly. These notifications may be useful to help inform business processes and as a feedback mechanism.

5.4.4 Employment Checklist Role

A workflow notification is triggered and sent to members of the appropriate 'Employment Checklist Role' when OH clearance has been received for an employee. The trigger works on a combination of an OH status of either 'cleared' and a clearance date being entered or a status of 'unfit' being selected. Note that a clearance date must be provided when a status of 'cleared' is entered. To enforce this, assessment records will be validated and any that have an OH status of 'cleared' and do not have a value in the 'Clearance Date' will be rejected. Notifications can be received twice per day at 11am and 4pm. The notification informs recruiters if an applicant has been given OH clearance or not. This information will help inform them whether or not they may proceed with hiring the applicant without further consultation with the Occupational Health Department (assuming all other pre-employment checks are complete and satisfactory).

Worklist >

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

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	N/A	504 ESR Hospital	Y	Date of Medical Clearance		Unfit		No	

[OK](#)
[Reassign](#)
[Request Information](#)

[Return to Worklist](#)
 Display next notification after my response

Figure 5.4-1: Employment Checklist Notification

There are four types of Employment Checklist notification. These are as follows:

- Emp Checklist - All (Which is sent to the Employment Checklist – All Role Holder and includes employment checklist update for all staff)
- Emp Checklist - M&D (Which is sent to the Emp Checklist – M&D Role Holder and includes employment checklist updates for Medical and Dental staff only)
- Emp Checklist - N&M (Which is sent to the Emp Checklist N&M role holder and includes employment checklist updates for Nursing and Midwifery staff only)
- Emp Checklist – General (Which is sent to Emp Check – General role holder and includes employment checklist updates for General staff only. Note 'General' here means all other staff i.e. those not defined as M&D or N&M)

Where there are no Users assigned to a role then no notifications will be generated. It is also important to note that where no staff records have been updated by the Occupation Health module since the last run, no notifications will be generated.

6. OH REPORTING

There are a number of reports available that will support the management of the ESR Occupational Checks within the OH Admin URP. These include the following:

- **NHS IAT Operations Tracking Report** – This report enables Recruitment/HR and OH staff to track the status of an IAT that has been initiated. OH teams can then be prepared to receive the data set once the IAT has been approved.
- **NHS OH Data Extract Report** – this report allows a user to identify all applicants and employees who are eligible for OH processing.
- **NHS OH EPP Gap Analysis Report** - This report provides a comparison by identifying EPP posts and highlights those occupied by an employee who does not possess EPP Clearance.
- **NHS OH EPP/OH Review Summary by Date Report** – This report enables OH staff to produce a reminder list for Employees who are due to attend a recall appointment within a specified number of days e.g. due within the next 30 days.
- **NHS OH Individual Employee Data Summary Report** – This report provides summary data for all OH checks and immunisations for a single individual. This report may be used to assist with assessments of an individual's Occupational Health or EPP Clearance.
- **NHS OH Staff List by EPP Status Report** – This report identifies EPP clearance status for all staff with an OH record.
- **NHS OH Staff List by Individual Test or Immunisations Report**– This report provides a summary of each staff member's status for a specified test or immunisation across the workforce.
- **NHS OH Staff List by Medical Clearance Report** – This report identifies all posts that are eligible for Occupational Health Processing and then highlights whether the individuals occupying that post has been cleared by OH.

6.1. THE OH DASHBOARD

In addition to this, the Occupational Health Dashboard within the BI section of ESR has been designed and built with the objective of providing OH and recruitment personnel useful information around the performance of the OH Clearance interfaces. The functional specification of the OH Dashboard is defined fully within the ESR-NHS0249 document, but is also summarised below.

The Dashboard has been designed and built keeping in view the following requirements:

- Provide a view of the performance of the OH Clearance Interface
- Easy to use;
- Transmitted securely;

- Produced on a monthly basis;
- Include quarterly and half yearly analysis where data for that period is available;
- Provide graphical analysis across staff groups where applicable;
- Provide raw data to assist with analysis and investigations;
- Assist with HR, recruitment and OH specific management information reports and dashboards.

In addition, the dashboard includes a Dynamic Analysis. This is an interactive part of the dashboard that allows end users to alter the input parameters and perform comparisons across different staff groups and for different time periods. This provides flexibility, and allows the use of the dashboard as a tool to drive improvements.

The OH dashboard comprises of the following tabs:

- Overview Tab
- Monthly Analysis
- Dynamic Results
- Quarterly Analysis
- Half Yearly Analysis
- Raw Data
- Load Report Data

6.2. MASS UPDATES FOR IMMUNISATIONS AND VACCINATIONS

The ESR Central Team offers a mass update service for where there are 100 or more updates to be made to users within ESR. This can be requested for updates to immunisations and vaccinations and can be made via the service desk. A template for the mass update will be provided where appropriate. The service is free of charge.

7. ESR IMPLEMENTATION GUIDANCE

This section provides implementation guidance for the bi-directional interface and use of the Occupational Health Functionality within ESR.

Before any work is undertaken, it should be confirmed that your OH system supplier is in a position to implement the bi-directional interface. Once you have these assurances, you should plan to begin planning your implementation.

Full details of the OH functionality are incorporated into the ESR User manual, which can be found at <https://my.esr.nhs.uk/esrusermanual>. New users of ESR are advised to review the *Introduction to ESR* section prior to the initial use of the Occupational Health functionality.

7.1. ENSURING YOUR ORGANISATION IS READY

There are a number of pre-requisites activities that are required in order to utilise the interface.

7.1.1 Setting up ESR roles and responsibilities

ESR Pathway: XXX Local HRMS Systems and User Administration > Maintain Roles

The pathway outlines the series of key strokes the user should follow in order to access the relevant part of ESR. In the example above, XXX is shown to identify the Virtual Private Database or Trust ESR identifier. This is followed by the User Responsibility Profile (URP) required to access ESR, and the relevant activity within that URP (in this case it is Maintain Roles).

In order to utilise the Occupational Health functionality in ESR, users should contact their local ESR Administrator to request allocation of the Occupational Health User Responsibility Profile and ensure that any infrastructure requirement to support your access to ESR are also addressed.

7.1.2 Occupational Health Admin Notification Role Allocation

The allocation of the Occupational Health Administrator notification role must be carried out locally by your ESR system administrator, as described below.

This notification role enables you to receive notifications when an OH IAT dataset arrives from another employer.



Note: In order for the process outlined below to be successful the User record should be associated with their ESR record details. So for example, their ESR User form within Local HRMS System and User Administration, where a URP can be allocated to an individual, should also detail the staff record too.

ESR Pathway: XXX Local HRMS Systems and User Administration > Maintain Roles

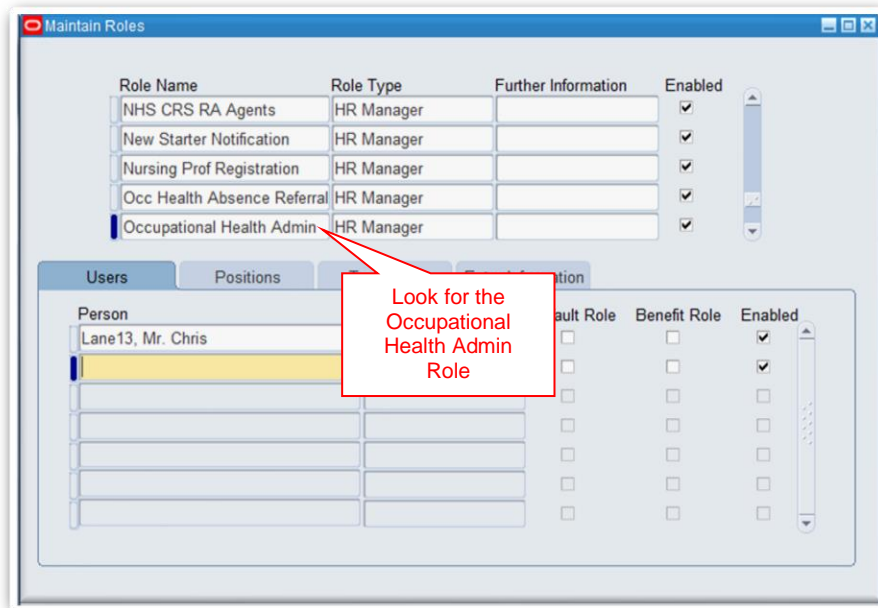



Figure 7.1-1: Maintaining Roles

Use the scroll bar to find the **Role Name** that you wish to allocate to an individual. On the **Users** tab are the names of those who already have the role. To add another name to this list either click in the grey field below the last name or click on a name and press the **New** icon  in the top left hand corner.

Enter the **Last Name** of the person to whom you wish to allocate this role, and press tab.

If there are multiple people with the same last name choose the correct person and press **OK**, then save the changes.

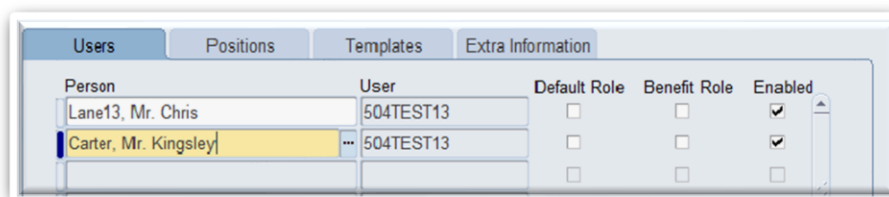


Figure 7.1-2: Selecting the correct person in Maintain Roles

The role has now been assigned. This process can be used to assign other notification roles.

7.2. VIEWING A WORKFLOW NOTIFICATION

ESR Pathway: **XXX Occupational Health Administrator**> Requests >View Notifications

ESR will notify the OH user as soon as they log into ESR that there are outstanding notifications to be reviewed, this will be brought to their attention as soon as they log in to ESR via a pop up message. Whenever an IAT dataset arrives, Users with the Occupational Health Admin role will receive a notification. In order to review the notifications the user should follow the pathway above.

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.

Figure 7.2-1: Workflow Notification for Occupational Health Administrator Role



Note: It is important that both **IAT Initiators** and **Occupational Health Administrators** understand the need for the IAT request to be made at the pre-employment stage of the applicant cycle. This will ensure that the OH IAT dataset will be available to OH users prior to hire. Use of the auto-IAT process will aid this process.

7.3. CREATING A NEW POST

[**Nf**] **ESR Pathway: XXX Local Workstructures Administration > Position Description > Descriptive Flex Field (as shown to left)**

The screenshot shows a window titled "Additional Position Details" with the following fields and values:

Subjective Code	NHS5080	Specialist Registrar
Management Cost		
DBS Disclosure Type	None	None
Childrens Barred List Check Required		
Adults Barred List Check Required		
Contract Type		
Suitable for International Rec	No	
Welsh Position Translation		
Workplace Org Code		
NHS CRS Position Name 1	Not Applicable	
NHS CRS Position Name 2		
NHS CRS Position Name 3		
NHS CRS Position Name 4		
NHS CRS Position Name 5		
NHS CRS Position Name 6		
NHS CRS Position Name 7		
NHS CRS Position Name 8		
EPP Post	No	
Eligible for OH Processing	Yes	
Short-term Supernumerary		

Buttons at the bottom: OK, Cancel, Clear, Help

Figure 7.3-1: Position Description

ESR users who manage the Workstructures aspect of ESR should detail whether a position is eligible for OH processing when first creating the post. This can be done by selecting 'yes' in the Eligible for OH Processing field (shown above). This is essential as this is used to trigger the new IAT OH dataset request process for the post at the applicant stage.

7.3.1 Position Changes within ESR Workstructures

A pre requisite to using the interface is allocation of the 'Eligible for OH Processing' flag against all of your organisation's ESR positions – this will support the wider IAT process.

The Eligible for OH Processing field must be populated in order to utilise the IAT process and the OH bi-directional Interface. The Systems Integration Team may populate this for all posts if a Mass Update is requested by opening a Service Request.

Where a post is subject to OH checking, a flag should be set against the position: 'Eligible for OH Processing'.

This facilitates the IAT process described in section 5.3, as the OH dataset is only transported when the post for the new employer has this attribute set to 'Yes' and where the requested data is available within the previous employer's database. This functionality also facilitates the OH reporting mechanisms, as it is a key criteria used in the OH report. For example, the workforce clearance analysis report can only be produced where it is possible to identify post holders who are eligible for OH Processing and therefore should hold a completed OH record and relevant clearance details in ESR.

EPP Post	<input type="text"/>
Eligible for OH Processing	<input type="text"/>

7.3.2 Employment Checklists in HR

Clearance Information can be fed into ESR by the inbound portion of the bi-directional OH Interface. When this is updated in the third-party OH system, then information will also feed into HR functionality.

Date Sponsorship Received	<input type="text"/>
Date of Illegal Working Document Check	<input type="text"/>
Visa Type	<input type="text"/>
Visa Reference Number	<input type="text"/>
Visa Issue Date	<input type="text"/>
Visa Expiry Date	<input type="text"/>
Limited Leave to Enter Date	<input type="text"/>
Limited Leave to Remain Expiry	<input type="text"/>
Date of Medical	<input type="text"/>
Date of Medical Clearance	12-NOV-2015
OH Status	Fit to work with Restrictions
EPP Clearance	No

Figure 7.3-2: Extra Person Information

The Occupational Health functionality is linked to the existing Employment Checklist form. This form enables Recruiters to keep track of the Mandatory Employment Checks completed for an applicant throughout the Recruitment and Selection process.

Once the Occupational Health Clearance date is populated in the Medical Assessment form this field is updated in both the Employment Checklist Form and the NHS Mandatory Checklist which also enables Recruitment and HR teams to access the read only version of the medical assessment

8. IMPLEMENTING AND OPERATING THE INTERFACE

8.1. LOG A SERVICE REQUEST (SR)

Implementation of the Interface will be handled by the ESR Support Team. Please contact your ESR lead and ask them to raise an ESR Service Request (SR) using the following file path: Request a new service > AC > ESR Interfaces > Occupational Health System Interfaces.

8.2. BI-DIRECTIONAL OH INTERFACE PROCESSING STATUS

To ensure the OH Bi-Directional Interface is operating as required, an automated process is in place to monitor the file transfer process and produce a report where an exception occurs. The report is sent directly from the NHS Hub to the individual nominated at the NHS Organisation, where appropriate, notifying them of the unexpected processing status i.e. when one or more of the interface files have not been processed within a 24 hour period and is flagged as a red or amber status.

8.2.1 Nominee Request

To request for a nominated individual to receive the daily report notifications, a Service Request (SR) should be raised using the following file path: Request a new service > AC > ESR Interfaces > Amend Settings on an existing interface.

8.2.2 Processing Report

The notification below illustrates the format of the processing report sent to the nominated individual assigned to the OH Admin notification role via an email of when the interface file has incurred an unexpected processing status.

OH Status Check report showing the breakdown of the import/export process for the OH Bi-Directional Interface files for the VPD

The OH Status Check report key defining the status of the import/export process

Advisory note to inform method of communication to retrieve correspondence

From: NHS_Interface_Manager@esrnhshuba.nhapp.nhs.uk
 To: Ahmed Zebunnisa (ELECTRONIC STAFF RECORD)
 Cc:
 Subject: OH Bi-directional Interface Processing Status

You have received this email as you are the individual nominated within your organisation to be notified of the processing status for the OH Bi-directional interface
 Please see the current status of the import/export process for the OH bi-directional interface for your organisation.

VPD	Last Outbound (Extract)			Last Inbound (Update)		Confirmation	
	Produced	Collected	Deleted	Delivered	Processed	Collected	Deleted
130	04 Nov 08:02 (00000448)	04 Nov 09:07 (00000448)	04 Nov 09:05 (00000448)	04 Nov 08:06 (00000211)	03 Nov 22:59 (00000211)	03 Nov 11:18 (00000211)	03 Nov 11:18 (00000211)

Key
 (00000000) The numbers in the brackets are the Unique IDs in the filename of the last file processed

- Green Timestamps are within 24 hours
- Amber Timestamps are between 24-48 hours
- Red Timestamps are over 48 hours

Please do not reply to this e-mail address as it is not monitored.
 If you have received this e-mail in error or you have queries in regard to this communication, please forward it to:
esr.interfaces@nhs.net

Figure 8.2-1: Example of the OH Bi-Directional Interface processing report email notification

8.2.3 OH Status Check Report

The table (illustrated below) within the notification outlines the processing of Outbound, Inbound and Confirmation interface flows. These flows are fundamental to the interface operation. Users should therefore familiarise themselves with the information provided and where necessary investigate the cause of an unexpected processing status.

OH Status Check Report as at 21/09/2015 13:43							
VPD	Outbound (Extract)			Inbound (Update)		Confirmation	
	Produced	Collected	Deleted	Delivered	Processed	Collected	Deleted
100	21 Sep 08:02 (00000425)	21 Sep 11:02 (00000425)	21 Sep 07:05 (00000424)	> 10 days ago	11 Sep 22:21 (00000221)	12 Sep 09:50 (00000221)	12 Sep 09:50 (00000221)

Figure 8.2-2: Example of the OH Bi-Directional Interface processing report

The report is produced in a tabular format, monitoring the following three areas:

1. The Outbound (Extract) file transfer

Items under the Outbound (Extract) heading within the table refer to the interface file transferred from ESR and passed to the subscribing Organisation's OH System. *(This file includes information about new starters/leavers and personal/job changes made in ESR.)*

2. The Inbound (Update) file transfer

Items under the Inbound (Update) heading within the table refer to the interface file transferred from the subscribing Organisation’s OH System into ESR. (This file includes details of clearances and immunisations recorded within your OH system.)

3. The Confirmation file transfer

Items under the Confirmation heading within the table refer to the interface file produced by ESR and transferred to the subscribing Organisation’s OH System, which documents the success/failure of updates made within ESR.

8.2.4 Key Definitions and Action Required

The key for the status of the file is defined in the table below:

Key	
(00000425)	The numbers in the brackets are the Unique IDs in the filename of the last file processed
Green	Timestamps are within 24 hours
Amber	Timestamps are between 24-48 hours
Red	Timestamps are over 48 hours

The definitions of the file status in each area are defined below:

- Outbound Extract**

Produced: refers to the creation of the interface file within ESR. This is an essential part of the outbound process and should always be green.

Collected: refers to the collection of the interface file by the OH System from ESR. If the status is amber or red please check with your OH System Administrator if the file has been collected.

Deleted: refers to the deletion of the interface file on collection by the OH System. If the status is amber or red please check with your OH System Administrator if the file has been deleted.

- Inbound Update**

Delivered: refers to the transfer of the interface file from the OH System to ESR. If the status is amber or red please check with your OH System Administrator if the file has been delivered.

Processed: refers to the processing of the interface file within ESR. This is an essential part of the inbound process and should always be green.

- Confirmation**

Collected: refers to the confirmation of the interface file collected by your OH System from ESR. If the status is amber or red please check with your OH System Administrator if the file has been collected.

Deleted: refers to the confirmation of the interface file deleted by your OH System from ESR. If the status is amber or red please check with your OH System Administrator if the file has been deleted.

Any queries in regards to the notifications should be raised with the NHS ESR Systems Integration Team by raising a Service Request on the ESR Service Desk.

8.2.5 Implementation Checklist

Following review of this guide and other available user materials on the 'My ESR Hub' web pages, users should feel prepared to use the Occupational Health functionality and OH Bi-directional interface. As a summary, a final implementation checklist is included below:

- ✓ ESR System Administrator to allocate the OH URP.
- ✓ ESR System Administrator to allocate the Notification Roles.
 - Occupational Health Administrator Role
 - Employment Checklist Role
 - GI: ETA – Occ Health EIT Role (for use with bi-directional interface)
 - GI: OHA – Occ Health Assessment Role (for use with bi-directional interface)
- ✓ Ensure the Workstructures Team are aware that they need to correctly set up the '**Eligible for OH Processing**' flag for existing posts as appropriate and any new Doctor Posts.
- ✓ Ensure the Workstructures Team allocate the EPP flag to posts (where appropriate).
- ✓ Perform a data cleanse in both ESR and the OH system to ensure data exchanged via the OH Bi-directional interface is of high quality and is accurate. Suggested areas to review include checking current person records for core details e.g. NINO, DoB, correct spelling of names and addresses etc and ensuring historical records are closed down in line with local processes.
- ✓ Ensure IAT Requesters are aware of the changes – they should understand that requests for the IAT dataset submitted well in advance of the proposed start date!
- ✓ Establish consistent processes for accepting and rejecting IAT updates.
- ✓ Review and establish internal processes between HR and Recruitment to ensure they are effective alongside the OH Bi-directional interface.
- ✓ Review and discuss the organisational hierarchy held in ESR with the third-party OH system supplier to confirm this is compatible with the file format of the OH Bi-directional interface.
- ✓ Complete training for OH staff
- ✓ Raise an SR with the ESR Service Desk.

End of Document