NHS

It's your ESR

Doctors in Training (DiT) and the Pre Hire Inter Authority Transfer (IAT) process

NHS ESR Central Team

To understand

- The overall process and the importance for Medical Personnel to initiate the IAT at the applicant stage to enable competencies to be transferred over before hire to improve the induction process

- The IAT Process & the benefits to Medical Personnel

- How to initiate the IAT process for junior doctor applicants

Streamlining Focus

Reduce the need to complete unnecessary blood tests/screening by transferring agreed vacs and imms data in ESR

Reduce the number of hours spent in replicating training by record & transfer competency records in ESR

Reduce the need to manually enter applicant records & map to deanery post by utilising the ESR Deanery Interface with Intrepid / TIS

Reduce the need to manually transfer personal, employment and training records By performing pre-hire IAT & PDS copy to transfer data electronically in ESR

To uniform the recruitment processes for organisations & NHS staff by recording information in ESR and utilising the e-recruitment interface

Streamlining Focus

Improve the Doctors in Training Rotational Process

Overall Process Steps (training perspective only)

Electronic Staff Record Programme

NHS

Step 1
- **Junior Doctor created as an applicant in ESR** (through the Junior Doctors Interface or a manual process, ensuring applicant email address is recorded)

Step 2
- **Medical Personnel initiates the pre-hire IAT process to the last employer/s**

Step 3
- **The IAT PDS Authorisation Notification for the junior doctor is sent back to the MSO that initiated the IAT**
- **The 'Stat & Mand' Notification simultaneously is sent to the Stat & Mand role holders (likely to be in the L & D team)**

Step 4
- **Medical Personnel prepare & issue the offer letter using information from the Pre-hire IAT notification**
- **Medical Personnel updates the applicant status in recruitment URP to 'Offered Post Conditionally'**

Step 5
- **The L & D team review the notification and either accept, reject or edit the CSTF competencies to transfer over to the doctors record**
- **The L & D team utilise the transferred competencies to establish induction requirements**

Step 6
- **Medical Personnel updates the applicant status in the recruitment URP to 'Offer Accepted'**
- **ESR auto account creation process, creates user account and sends a notification to 'Auto User Account Detail' role holder**
- **Medical Personnel advise applicant of username (and password/reset option) to enable the applicant to complete ESR elearning**

Step 7
- **Copy the Portable Data Set (PDS) when Doctor is hired**
- (this can be done by the MSO that initiated the IAT via the previous IAT notification in their workflow, OR if this task is done by Payroll, they can initiate the IAT again at the hire stage)
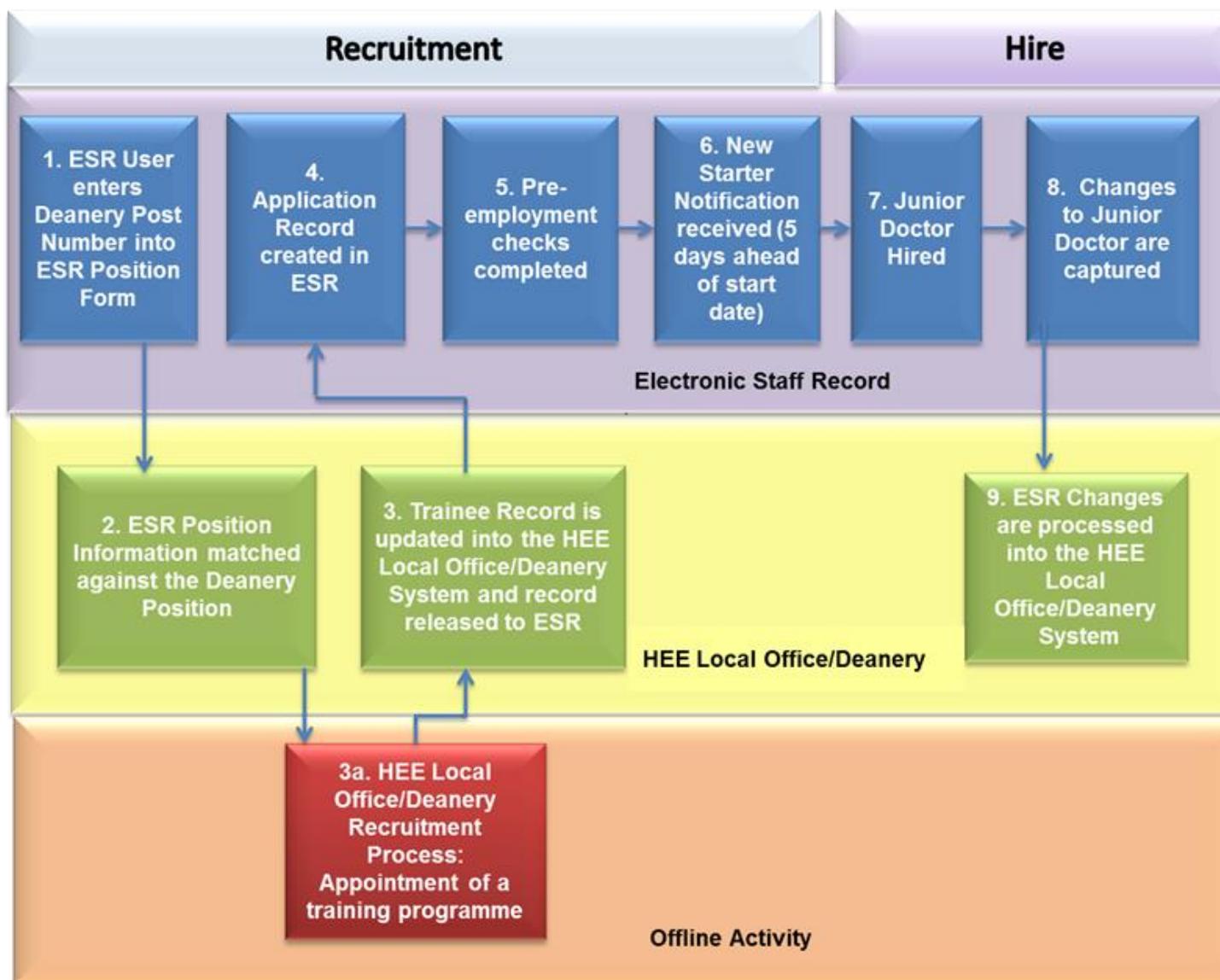
Note: Box 6 – This 'new starter notification' is generated via the ESR's generic inbound interface process and compliments the standard ESR 'new starter notifications' for all staff

Recruitment

Hire

1. ESR User enters Deanery Post Number into ESR Position Form

4. Application Record created in ESR

5. Pre-employment checks completed

6. New Starter Notification received (5 days ahead of start date)

7. Junior Doctor Hired

8. Changes to Junior Doctor are captured

Electronic Staff Record

2. ESR Position Information matched against the Deanery Position

3. Trainee Record is updated into the HEE Local Office/Deanery System and record released to ESR

9. ESR Changes are processed into the HEE Local Office/Deanery System

HEE Local Office/Deanery

3a. HEE Local Office/Deanery Recruitment Process: Appointment of a training programme

Offline Activity

Additional Standard ESR Notifications:

Standard ESR New Starter notification are also sent based on:

Applicant with a 'Projected Hire' date 14 days after the current date
Or
Employees with a latest hire date 14 days from the current date

A secondary notification is also generated on actual day of hire or on the day the new starter was added to ESR, if the start date is in the past.

Running the IAT

- **Pre-hire** Essential for streamlining recruitment processes, it includes the factual reference functionality and transfers personal and employment information for recruitment, training and Occupational Health purposes

- **Post Hire** Complete the Portable Data Set Copy to transfer essential personal and employment information and is used for direct hires.

The IAT process functions in two ways

- **Automated IAT** – Does not require an 'approver' at the previous trust to match the person and approve the release of data for the employee *(recommended process)*
- **Non Automated IAT** – Requires the Approver at the previous trust to match the person and approve the release of the information for the employee.

User Responsibility Profiles (URP)

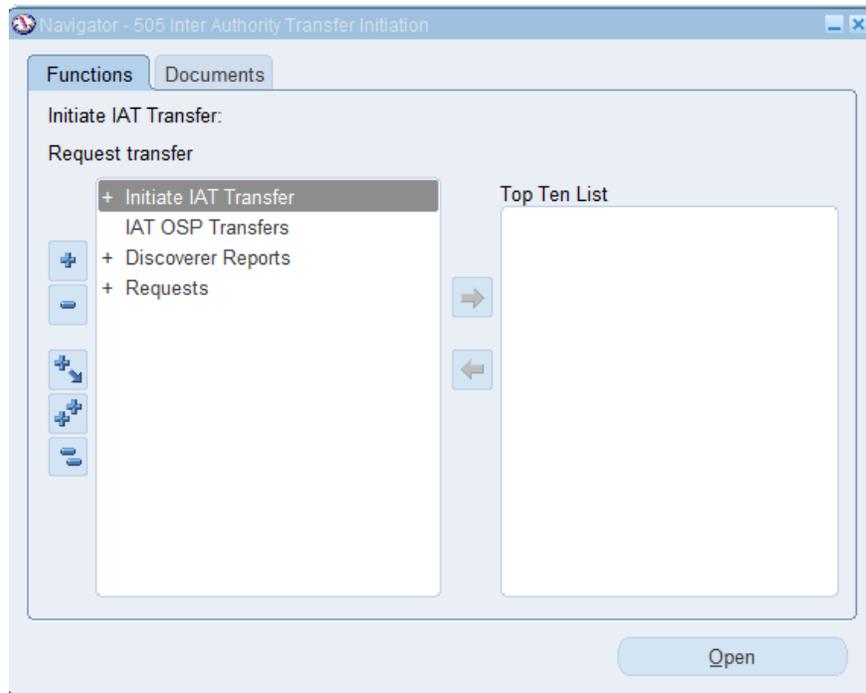- **IAT Initiation and IAT Approval**

Maintain Roles

- **IAT Approver** – Approves non automated IAT requests received
- **IAT Initiator** – Receives non auto IAT requests back
- **Stat and Mand Competencies Ntf** - Receives and actions the workflow notification to import/reject national stat/mand /CSTF and CCF competences from previous employer. Multiple local roles can also be created.
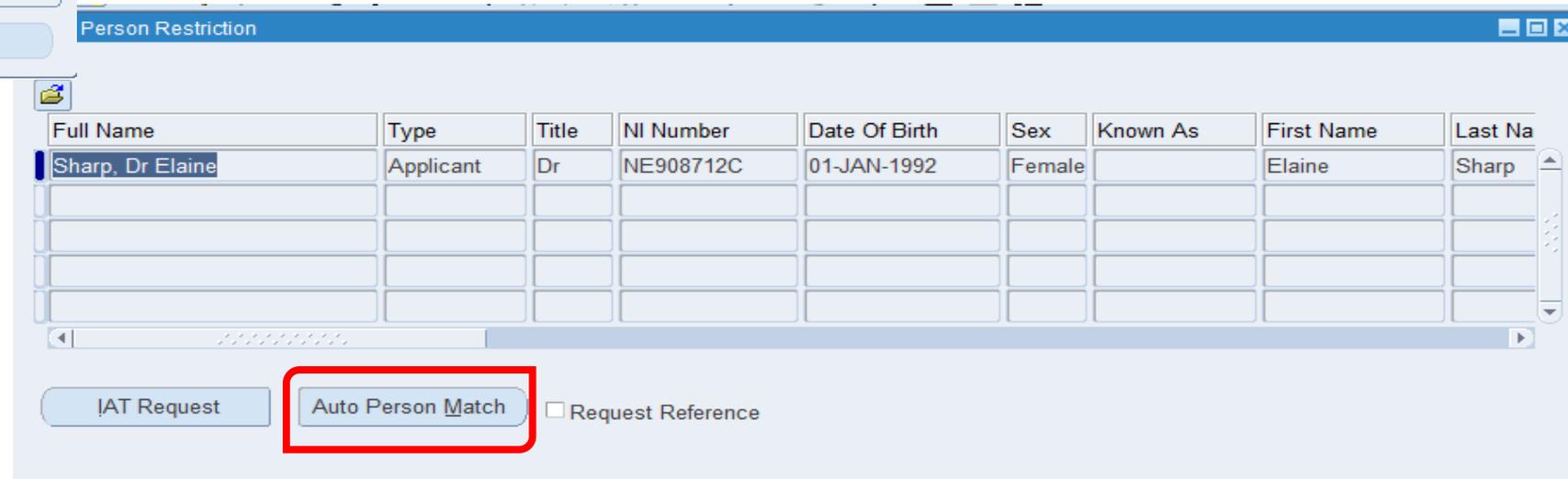- **Occupational Health Admin** – Receives the OH workflow notification

Medical Personnel →

L&D Team →

Automated IAT Process

	Recruitment	Hire

IAT Initiator
- Search on Person Initiation form
- Requested IAT Person Matching form
- Match found 'Approve'
- Requested IAT Person Confirmation Form. Click 'Yes' to approve.
- Receive Approval Notification & summary data
- Compare PDS with exisiting data and select OSP data
- Copy PDS

IAT Approver
- Completion Notification sent to source and destination trusts

Occupational Health (OH)
- OH administrator receives immunisation details for Applicant
- OH examine details to assess suitability for medical clearance
- Medical Clearance granted – Notification sent to Employment Checklist Role Holder

Stat & Mand & CSTF Competency Data
- Stat & Mand Competencies NTF Role receives details of applicant competencies and requirements for postion
- Role holder **must** approve, edit or reject the competencies listed
- Competencies added to record
- Note: Stat and Mand competencies only transfer at PDS Stage where no Stat & Mand Comp Ntf Role Holder Exists. All other national competencies transfer at PDS Stage.

Reference
- Reference request sent to Reference Approver role at Source Trust
- Reference Approved or Rejected

Initiating the IAT Process in ESR

IAT Search

Navigator - 505 Inter Authority Transfer Initiation

Functions | Documents

Initiate IAT Transfer:

Request transfer

- + Initiate IAT Transfer
- IAT OSP Transfers
- + Discoverer Reports
- + Requests

Top Ten List

Open

❑ Select Initiate Person Request from the IAT Initiator User Responsibility and search for the applicant. **This takes a matter of seconds to run**

❑ Click the **Auto Person Match** button to initiate an automated IAT request. Only use the **IAT Request** button where a 100% match cannot be found. This will be made obvious in the 'Person Matching' screen that follows

Person Restriction

Full Name	Type	Title	NI Number	Date Of Birth	Sex	Known As	First Name	Last Na
Sharp, Dr Elaine	Applicant	Dr	NE908712C	01-JAN-1992	Female		Elaine	Sharp

IAT Request | Auto Person Match | ☐ Request Reference

Person Match

Automated IAT Person Matching

Requested Person

Title	Dr
Last Name	Sharp
First Name	Elaine
Known As	

Date of Birth	01-JAN-1992
National Insurance No	NE908712C
Professional Registration	
NHS Identifier	

Matched Records

Auto IAT	VPD	Trust Name	Last Name	First Name	Title	Date Of Birth	NI Numb
Yes	503	ESR Hospitals NHS Trust	Sharp	Elaine	Dr	01-JAN-1992	NE90871

[Cancel]   [Approve]

Decision

This request will be recorded, before proceeding please ensure that the person for whom the request is being made has given their permission for their personal data to be transferred electronically. Press Yes to initiate the transfer process from the chosen trust(s), press No to return to the request screen.

[Yes]   [No]

- All matched records found in ESR will appear in the Person Matching form. **This takes a few seconds!** For JDs there is likely to be many rows, choose the last employer. This is known on the Medical Rotation Notification from the HEE JD interface.

- A match is based on NINO, DOB and Last Name or Professional Registration Details. Where a 100% match is not found then the automated IAT process cannot be completed. Where this occurs, click cancel to go back to the previous 'Search Screen' and use the non automated IAT process. (IAT Request)

Matching Approval

Requested IAT Person Confirmation

Transfer Confirmation

	Matched Person	Requested Person
Last Name	Sharp	Sharp
First Name	Elaine	Elaine
Known As		
Title	Dr	Dr
Date of birth	01-JAN-1992	01-JAN-1992
National Insurance No	NE908712C	NE908712C
Professional Registration		
Actual Termination Date		
Employee Number	20109657	
Latest Start Date	03-AUG-2016	

Authorisation

Are you certain that these two person records are the same?

If you are certain and you wish to proceed with the Inter Authority Transfer authorisation then please press 'Yes', otherwise click 'No' to return to the matching form

[Yes]   [No]

- ❑ When you are satisfied that you have the right person, click 'Yes' button to authorise the request
- ❑ This kick starts the workflow notifications process

Pre Hire IAT Notification

Worklist

View [Open Notifications ▾] [Go]

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

Select All | Select None

Select	From	Type	Subject	Sent ▾	Due
2.	☐	NHS IAT STAT and Mand Competence Approval	IAT Update Competence Message for Dr Elaine Sharp	16-Aug-2017	
1.	☐	XX Inter Authority Transfer Approval	Inter Authority Transfer - Portable Data Set Request Authorisation Elaine Sharp	16-Aug-2017	

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

1. **The MSO that initiated the IAT will receive back the IAT Portable Data Set Request Authorisation notification (within the hour)**

2. **The Stat & Mand notification role holder will separately receive their own separate workflow notification detailing the national competencies that the junior doctor holds (within the hour)**

Requesting the Pre-hire IAT whilst the junior doctor is an applicant is an essential action performed by the Medical Personnel

- Use this to identify salary and some key dates around Assignment history, CSD and DBS (info only) etc.

- **If you hire the doctor then you will need to copy the portable data set over once they are an employee.** If not, then you can delete the notification and let payroll initiate the IAT again and copy at hire.

❑ **A separate notification will go to the 'Jr Doc & Trn Dentist Contract** ' role with details of: Cash Floor Protection NHS and Annual Leave Appointment NHS

❑ Ensure Medical Staffing have a nominated role holder

Getting Prepared
to run the Pre Hire IAT Process

for the following teams:

- **Medical Personnel**
- **L & D Teams**

Getting Prepared : Medical Personnel

The Medical Personnel team should ensure they do the following in order to fully utilise the process to its maximum potential:

- ✓ De-bucket Junior Doctors posts, 1 Doctor to 1 position

- ✓ Record DPN and tick 'Eligible for OH processing' on all DiT positions

- ✓ Automated IAT is set in the organisation

- ✓ Auto creation process has been set up (ESR recommends organisations select the 'Employee SSHR (Limited Access)- No Approvals Required for Remote Access' URP as a minimum)

- ✓ Review your process for junior doctor appointments to maximise efficiency and factor in the pre-hire IAT processes. This should include who initiates it and when to ensure that this gives enough time for their induction programme to be finalised and which competencies they already have to reduce any repeat training.

- ✓ If you do not use the junior doctor interface to bring over JDs as applicants then you need to create them as an applicant manually

- ✓ Initiate the pre-hire IAT process at the earliest opportunity to bring over the Statutory/Mandatory competencies

- ✓ Ensure someone is in the **Jr Doc & Trn Dentist Contract** role

- ✓ Ensure that Role Holders have an email address in their employee record (Office Tab on the Enter and Maintain person form) to enable 'summary email notifications' to be sent to users, alerting them to open notifications in their worklist.

- ✓ Copy the portable data set as soon as hired – either MSO or Payroll

The L & D team should ensure they do the following in order to fully utilise the process to its maximum potential

✓ The Stat and Mand notification role is assigned to at a minimum of 2 L & D Administrators

✓ Ensure you have a robust process for accepting/matching/editing of CSTF competencies against your organisations Training Needs Analysis (TNA).

  (ESR recommends you assigned CSTF competencies as competency requirement to aid this work)

✓ Review your Junior Doctor's induction process so it can be adjusted to suit the induction need of your incoming junior doctors

  (ESR recommends you identify elearning courses where possible to aid this work)

To ensure the DiT programme can maximise the CSTF competencies, there is additional activity and functionality within ESR that can be fully utilised. These include competency requirement (as mentioned above), assigning competencies to courses, managing competency profiles, viewing competency data via employee & manager's portlets and trust-wide compliance reporting.

- [ESR User Manual](#)

- KBase

  - [Guide to the Inter Authority Transfer Guidance](#)
  - Captivate Learning Videos - [HR automated IAT](#)
  - [Workflow Notifications Guide](#)
  - [The Streamlined Junior doctor Interface Guide v2.0](#)

For further information and advice please contact your local ESR Account Manager

Follow us @nhsesr for all your ESR updates

It's your ESR