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# THE ELECTRONIC STAFF RECORD PROGRAMME



NATIONAL HEALTH SERVICE

## ESR-NHS0111 THE STREAMLINED ESR AND DOCTORS IN TRAINING INTERFACE GUIDE

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## 1.3. DISTRIBUTION

Copy No.	Name	Location
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## **3. INTRODUCTION**

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### **3.1. DOCUMENT OUTLINE**

The ESR Doctors In Training (DIT) Interface operates between the Electronic Staff Record (ESR), the Health Education England (HEE) Trainee Information System (TIS) and the Health Education and Improvement Wales (HEIW) Hicom system. This document describes the Streamlined Doctors In Training Interface process, which enables information to be shared across the HEE / HEIW DIT systems and ESR.

The benefits of the Interface, functional guidance and frequently asked questions are set out in the guide to accompany the ESR-NHS0098-The Streamlined ESR and Doctors in Training Interface that HEE, HEIW and DIT system suppliers have access to.

### **3.2. NAMING ABBREVIATIONS**

The following naming abbreviations will be used throughout the document:

- Deanery Post Number (DPN)
- Deanery Medical Notification Spreadsheet (MEDROT)
- Doctors in Training (DIT)
- Electronic Staff Record (ESR)
- General Medical Council (GMC)
- Health Education and Improvement Wales (HEIW)
- Health Education England (HEE)
- Human Resources Management System (HRMS)
- Inter Authority Transfer (IAT)
- List of Values (LOV)
- Locum appointment for service (LAS)
- Locum appointment for Training (LAT)
- Medical Staffing Officer (MSO)
- Registration Authority (RA)
- Service Request (SR)
- Trainee Information System (TIS)
- Training Post Number (TPN) – same as DPN
- User Responsibility Profile (URP)
- Virtual Private Database (VPD)

### 3.3. BACKGROUND

HEIW uses the Intrepid system provided by Hicom to manage their Trainee Doctors. HEE use the TIS to manage trainee doctors. These systems are independent of the ESR solution.

The Streamlined ESR and DIT Interface was first made available in 2012, enabling ESR and the Intrepid System to share information about medical training positions and medical trainee information. HEE developed their latest system, TIS, to manage DITs in England regions using the DIT Interface in 2018.

### 3.4. BENEFITS

The benefits derived from the DIT Interface process are extensive to both the NHS Employer Organisations and all NHS Organisations wishing to utilise the link.

In summary, the benefits are as follows:

- Reduced administrative burden on the NHS Organisation and DIT personnel in entering and transferring recruitment and updated Employee information.
- The position number and ID are used to link the applicant in the DIT System to the correct DIT position in ESR, thus removing the need for Vacancy and Requisitions to be created.

**Note:** There are instances where the same DPN may have two different position numbers associated with it. If this has come from the same trust then it is a case of duplicates. If it has come from two different Trusts then it is more than likely a case of lead and Host Trust for the training post. In the latter case the DIT System should send applications for both positions.

- Where there are duplicates i.e. the same DPN associated with more than one position number in ESR within a Trust, a notification will be generated to the MSO advising them of instances of these duplicates. A DPN should only be associated with only one ESR position number and position ID from the same Trust. However, more than one individual can be associated with an ESR position ID and DPN. This is expected when one or more individuals are in a job share i.e. they are sharing a post and therefore position.
- Facilitates the sharing of information for Medical Trainees with both 'lead' and 'host' employers.

- NHS Trusts are made aware of the incoming and outgoing Doctors in Training much quicker (both for rotations and for recruitment)
- Enables preparatory employment checks to be undertaken in a more efficient and speedier manner, and supports the early running of the pre-employment IAT process.
- Improved consistency and potential improvements on data quality within both ESR and the DIT Systems.
- Consistent local and national reporting – via the ESR Local Reporting Solution, the ESR Data Warehouse, and also DIT System reports.
- Reminders about new starters will help prompt Trusts to hire a trainee.
- Improved working relations between the NHS Trusts and the DIT Organisations, as the two Organisations will be able to share the workload of updating relevant Employee information.
- Improved morale in DITs as they do not have to complete the same degree of new starter information each time they move to a new employing organisation.
- The transfer of the competencies can be carried out via the IAT functionality and the 'Statutory and Mandatory' role holder, enabling for core and essential training to be transferred with the trainee as they rotate from Trust to Trust.

### **3.5. PROCESS OVERVIEW**

DITs are generally recruited by and appointed to training programmes by HEE using Oriol or HEIW using e-solutions. Their information is subsequently stored on the DIT Systems for the purposes of managing their training programme. For HEE this is TIS and for the HEIW this is Intrepid.

As the DIT is actually employed by one or more NHS organisation(s) during the training programme, information about the DIT must also be stored within ESR.

The Streamlined interface process allows information to flow from the DIT System into ESR and back again into the DIT System. Information about a DIT is initially shared with ESR by the HEE or HEIW with the appropriate employing authority at the pre hire or 'applicant' stage. Once the new employer has made a change to the DITs information in ESR, such as updating the address, this information can flow back into the DIT System as an 'update' to their record. This is known as Full Records Mode or the Person Update part of the outbound Interface.

**Note:** Both HEE and HEIW regions are operating in Full Records Mode. Part Records Mode is also available as a mode of choice available to HEE/HEIW and their DIT System suppliers, however this does not include outbound person updates from ESR is available. HEE moved from Parts to Full Records mode for all regions in 2020.

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## **4. HOW DOES THE STREAMLINED ESR AND DOCTORS IN TRAINING INTERFACE PROCESS WORK?**

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### **4.1. STREAMLINED ESR AND DOCTORS IN TRAINING INTERFACE PROCESS**

#### **4.1.1. Process Overview**

The outbound portion of the interface provides the DIT System with post information for all positions in ESR that include a Deanery Post Number (DPN). This allows the DIT System to reconcile their post information against ESR. It will therefore support them in the transfer of information of DITs to the appropriate employer (within ESR) following the recruitment process or prior to rotation changes.

The process will also facilitate the host and lead employer arrangement where a DIT occupies a position geographically situated within one organisation, but is actually 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 (see the 'Setting up your Deanery Post Numbers in ESR' section for more details).

Once the ESR position identifiers are applied to the DIT System database, the system can release DIT applications for each of the positions to the appropriate employer through this interface process (this can be either the 'host' or 'lead' or both employers). In line with the Code of Conduct, DIT information will be released up to 12 weeks before the trainee's projected hire date.

The Medical Rotations or 'MEDROT' spreadsheets, which have been a traditional method of communicating changes to the Rotations between HEE/HEIW and NHS Trusts to date, will be made available through the interface process. This will be through a notification produced for the Medical Staffing Officer role holder (MSO). There are a suite of notifications that ESR will provide to the MSOs (see the 'Viewing Notifications' section) which will serve as a prompt to actions around hiring, changing or terminating assignments among others.

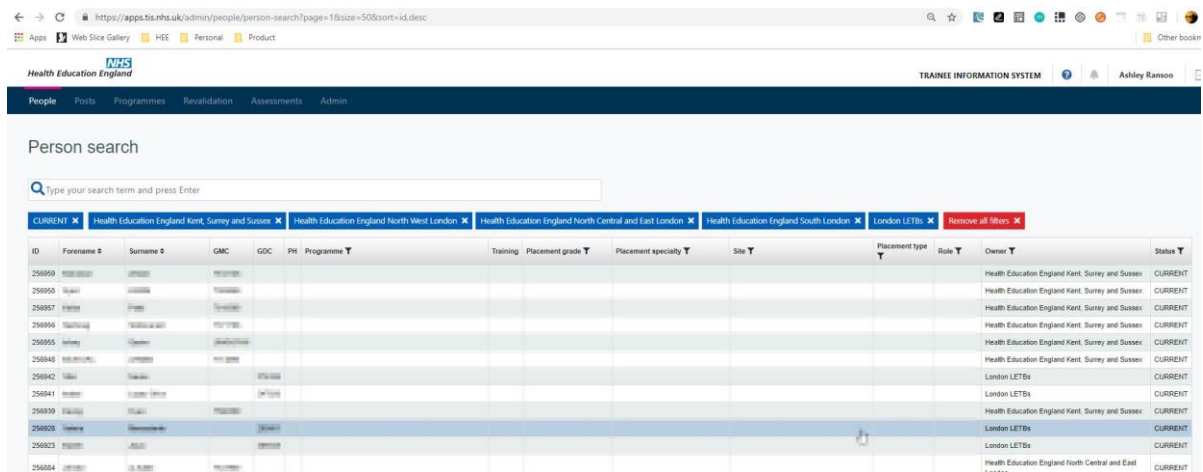


If a change occurs to the rotation, such as the Trainee withdraws their application, a notification will be generated which will notify the MSO Role holder in ESR that the application should be terminated. The final aspect of this interface process enables changes that are applied to the ESR record for the trainee by the Lead Employing organisation (either during the pre-employment checks or once the Trainee is hired), to be transferred back to the DIT System.

### Person search screen on Intrepid:



### Person Search Screen in Trainee Information System (TIS):



## 4.1.2. Information Flow

There are a number of information exchanges and activities for this process. These allow information to pass between ESR and the DIT Systems.

All processes described below assume the appropriate URP and Notification role have been allocated to the ESR user (see the 'Allocating the Recruitment and Applicant Enrolment Administration User Responsibility Profile' section for further details).

#### 4.1.2.1. Individual Doctor in Training Appointment

The first flow is illustrated in the diagram below (Figure 1). The diagram shows the flow of information and activities for a Trainee appointment. This diagram illustrates the following steps:

1. The Workstructures Administrator within the NHS organisation assigns a Deanery Post Number (National Post Number) against an ESR position. They should also identify whether they are the 'lead' or 'host' employer for the post where applicable. Where there are no Lead/Host arrangements then the field should be left blank. (See the 'Setting up your Deanery Post Numbers in ESR' section for further details of the ESR Workstructures maintenance process).
2. ESR runs the overnight interface process and the DIT System receives the position information the following day from ESR. The DIT System then applies the ESR position identifier, position number and Lead/Host employer details (where applicable) to a corresponding post in the DIT System.
3. Once the recruitment process is completed for the next intake and a DIT is identified, they are allocated into a post within the DIT System (includes 3a and 3).
4. The DITs details are then released by the DIT System at the agreed time prior to their start date, usually around 12 weeks before. (The release of Doctors in Training' information is an automatic process in the DIT Systems).
5. The MSO receives a notification advising that an Applicant record has been created in ESR at the 'preferred applicant' stage. (See the 'Applicant Notifications' section for more information).
6. Using the Recruitment and Applicant Enrolment URP, the user updates the status to 'Conditional Offer' and completes the pre-employment IAT process and pre-employment checks for the DIT. Any new information is then captured in ESR and the start date is confirmed.
7. The MSO receives a 'New Starter Reminder' notification 5 days prior to the projected start date, which reminds them to hire the individual, if not already done so (See the 'Applicant Notifications' section for more information). Using the Recruitment and Applicant

Enrolment URP, the MSO updates the applicant's status to 'Offer Accepted', which must occur at least 24 hours before their hire date.

8. The DIT is hired into the post on their confirmed start date using the HR Administration URP. (See the 'Hiring the applicant – External Applicant' and 'Hiring an existing employee into a new post' sections for further information on the hire process).
9. Any changes made within ESR over the course of their employment (including the termination of the assignment/employment) are extracted on a daily basis in readiness to share with the HEE Local Office/Deanery System. (The 'Terminating the Employment' section provides further information on terminating the employee).

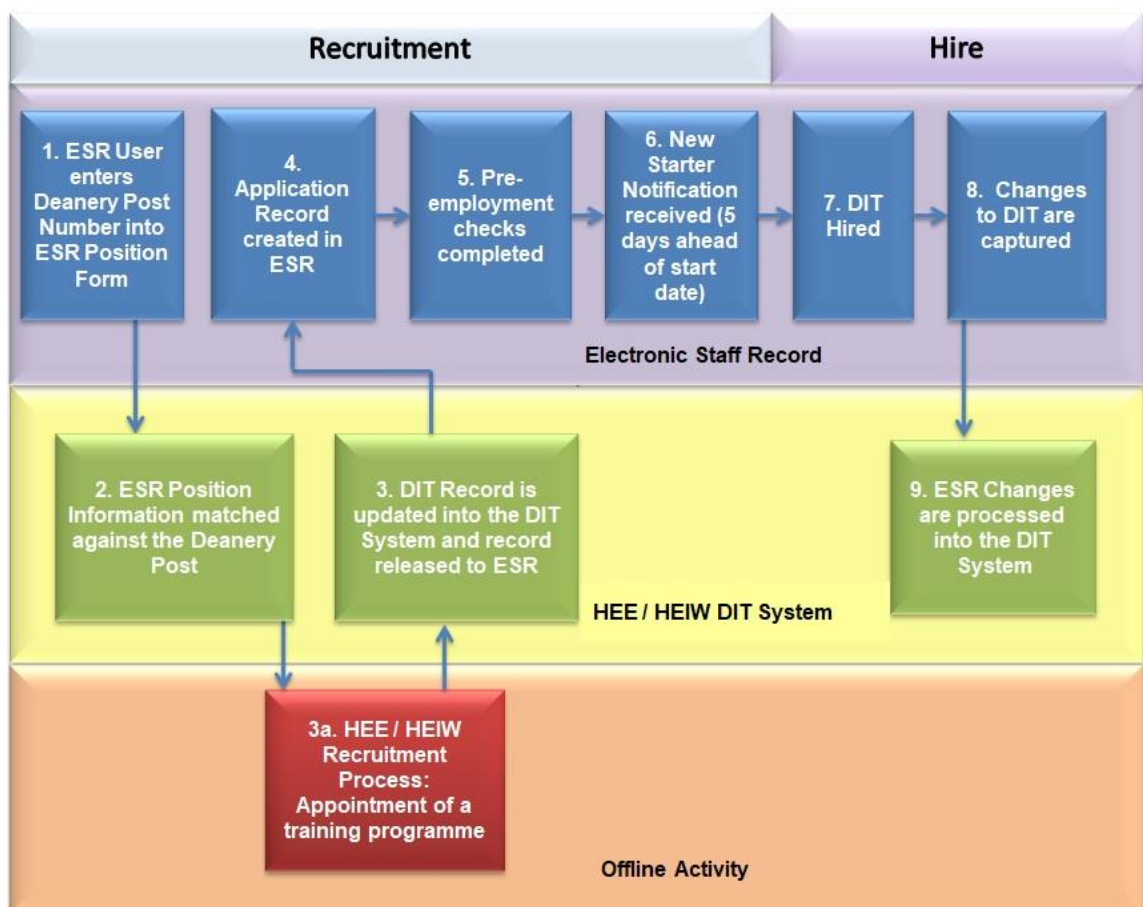


Figure 1

#### 4.1.2.2. Medical Staffing Rotations Notification

The next information flow and activity diagram (Figure 2) shows the Medical Rotation Notification process.

**Note:** the first three steps are the same as Figure 1 because these are pre-requisite activities for use of the interface.

1. As per step 1 in figure 1
2. As per step 2 in figure 1
3. As per step 3 in figure 1
4. The MSO user receives the Medical Rotations Notification and accesses the 'rotations spread sheet' ('MEDROT') to identify the DITs who should be either terminated or moved to their next post within the organisation. (See the 'Viewing Notifications' section for more information about this process.)

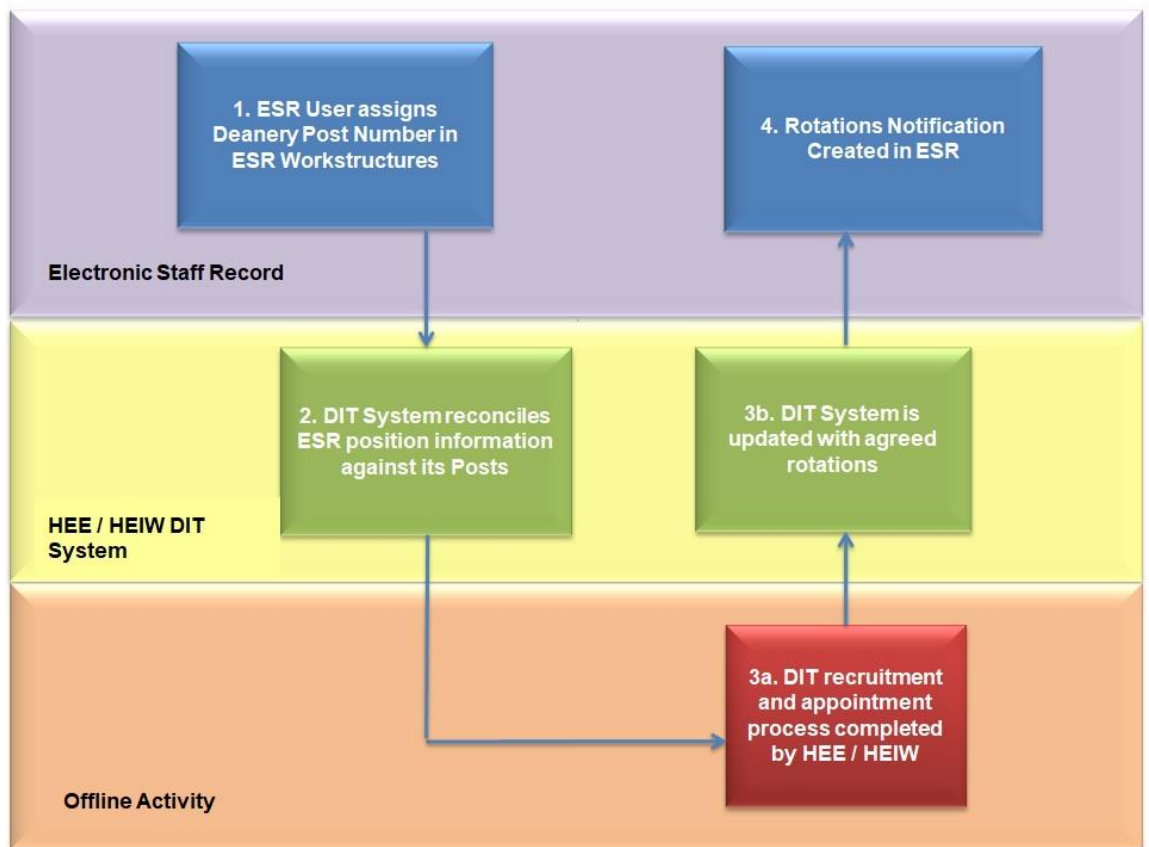


Figure 2

#### 4.1.2.3. Update to Medical Rotation Notifications

The final information flow and activity diagram illustrates the changes process where a DIT withdraws from an appointment. If a replacement is appointed, this will also be identified to the MSO Role by the Update to Medical Rotations Notification process.

**Note:** the first two steps are the same as Figure 1 because these are pre-requisite activities for use of the interface.

The steps are:

1. As per Step 1 in Figure 1
2. As per Step 2 Figure 1
3. As per Step 3 Figure 1
4. The MSO receives a notification advising that a DIT record has been created in ESR at the 'preferred applicant' stage.
5. The DIT withdraws their application to the post (as they may have decided to go Out of Programme for a year). Consequently, the HEE / HEIW user removes them from the post that they were previously allocated to (include steps 5a and 5b see figure 3). An update to Medical Rotations Notification is created when the relevant change is made in the DIT System and is communicated to ESR via the Notification file.
6. The MSO receives the 'Update to Medical Rotation: Withdrawal of Application' notification for the Trainee previously allocated to the post. (See the 'Viewing Notifications' section for further details about the ESR notification.)
7. The MSO end dates the application using the Recruitment and Applicant Enrolment URP. (See the 'Terminating an Application/Applicant' section for details of terminating an applicant in ESR.)
8. HEE / HEIW seek a replacement Trainee and appoints them to the same training post within the DIT System (includes steps 8a and 8b see figure 3).
9. The MSO receives an 'Update to Medical Rotation: Withdrawal of Application' along with 'Update to Medical Rotation:' which provides information on the withdrawal and then an Update Notification to advise of the replacement DIT. The employer receives the Applicant information for the replacement Trainee and undertakes the necessary pre-employment checks before hiring the individual (see Figure 1 for full details for the remainder of this process).

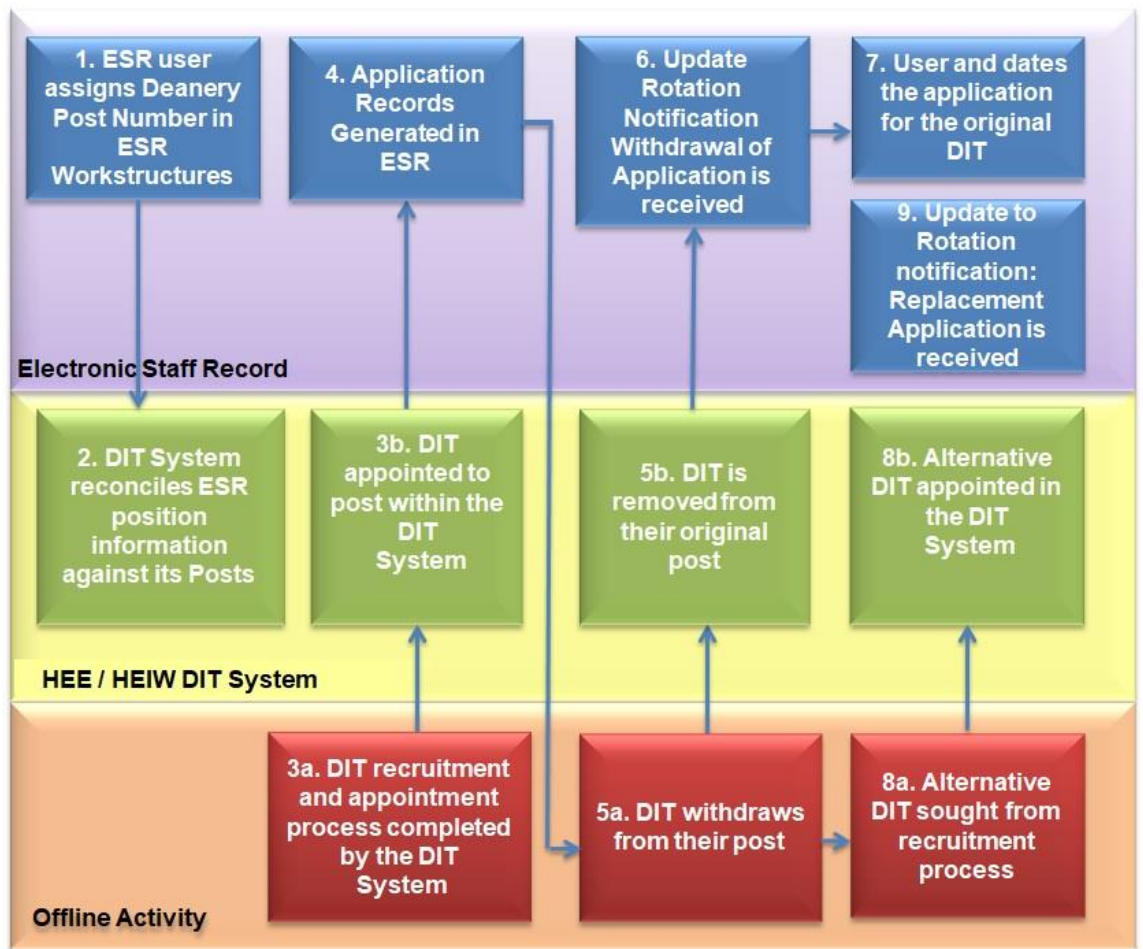


Figure 3

### 4.1.3. Information Types – ESR to DIT Systems

Under the Streamlined DIT Interface process, the outbound dataset (ESR to DIT System) includes details of Deanery Training Posts established in ESR and information relating to DITs that actively occupy a training post. This includes personal details, qualification information, job information and professional registration details.

For more information on the Streamlined DIT (Outbound) Interface process, see ‘The (Outbound) Streamlined DIT Interface Process’ section.

The full listing of data items for the outbound flow from ESR to HEE Deanery System is as set out below:

#### HEE / HEIW DIT Training Post Record

Position Number
Position Title
Deanery Number

#### Person Information – Personal (Continued)

Home Telephone Number
Mobile Telephone Number
Work Telephone Number

Managing LETB Organisation
Host/Lead Employer Indicator
ODS Employer Code
Employing Organisation VPD Code
ESR Organisation
ESR Location

#### Person Record

Position Number
Position Title
Occupation Code
Area Of Work
Second Specialty
Deanery Number
Managing LETB Organisation
ODS Code
Grade Trust
Grade Payscale
Grade Description
Workplace Org Code

#### Person Record – ESR Assignment

Assignment Status
Position Start Date
Position End Date
Staff Group
Max Part-Time flag
Employee Category
Start Date In Grade
Grade Trust
Grade Payscale
Grade Description
Grade Step Placement Step
Grade Step Placement Date From

#### Person Information – Personal

NHS Unique Identifier
Employee Number
National Insurance Number
Last Name
First name

Home Fax Number
e-Mail Address
Ethnic Origin
Latest Start Date
Residency Status
Work Permit Required
Work Permit Number
Work Permit Expiry Date
NHS Entry Date
GMC Registered First Name
GMC Registered Surname

#### Person Information – Address

Address Type
Address Line 1
Address Line 2
Address Line 3
Town
County
Post Code
Country

#### Person Information – Professional Registration

Professional Registration Scheme
Professional Registration Expiry Date
Professional Registration Scheme Number
Status
Specialties

#### Person Information - Equality & Diversity

Country of Birth
Religious Belief
Sexuality
Disability

#### Person Information – Qualification

Qualification Type
Qualification Name
Awarded Date
Establishment
Country

Middle Name
Maiden Name
Title
Gender
DOB
National Training Number

**Person Record – Absence Record**

Sickness Absence Actual Start Date
Sickness Absence Actual End Date
Sickness Absence Duration
Absence Attendance ID

Please note, the Qualification Record is not included with HEEs version of the Interface and the Absence and Equality & Diversity Records are not included in either HEE or HEIW version of the Interface, but can be requested with the permission from the Trust(s).

**4.1.4. Information Types – DIT Systems to ESR**

The inbound dataset (DIT System to ESR) includes details of Deanery Training Posts established in ESR and information relating to DITs that actively occupy a training post. This includes personal details, qualification information, job information and professional registration details.

The full listing of data items for the inbound flow from DIT System to ESR is as set out below:

**Personal Details**

Last Name *
First Name *
Middle Names
Previous Last Name
Title
DOB *
Gender
Applicant Email Address
Address
Address 1 *
Address2
Address3
Town
County
Postcode *
Country *
Home Telephone
Mobile Telephone
Ethnic Origin Code

**Professional Registration Details (Can be more than one)**

Professional Registration Body (1)
Professional Registration Number (1)
Professional Registration Expiry Date (1) **
Professional Registration Body (2)
Professional Registration Number (2)
Professional Registration Expiry Date (2) **

**Position Information**

Deanery Post Number (DPN - also known as NPN)
Application Status *
Nationality
National Training Number
UK National Insurance Number
Position ID *
Position Number *
Placement / Projected Start Date
Placement / Projected End Date

**Emergency Contact Information**



Country of Birth
Sexual Orientation
Religious Belief
Disability
Marital Status

Contact Last Name **
Contact First Name
Contact Title
Contact Gender**
Contact Home Phone No**

\* **Mandatory field in ESR and must therefore be supplied.**

\*\* **Mandatory field only if this type of record information is being supplied** (related to Professional Registration and Emergency Contact records)

## 5. EMPLOYER GUIDANCE – STEP BY STEP OPERATION OF THE INTERFACE

### 5.1. PREPARING TO USE THE INTERFACE

#### 5.1.1. Allocating the Recruitment and Applicant Enrolment Administration User Responsibility Profile

In order for a user to operate the interface, the appropriate **Recruitment and Applicant Enrolment Administration** User Responsibility Profile (URP) must be allocated to them.

Where the user also has Registration Authority (RA) responsibilities and needs to be able to create/print Smartcards prior to the Doctors In Training hire date then the **Recruitment and Applicant Enrolment Administration** (with RA) User Responsibility Profile (URP) can be allocated.

**Note:** It is also possible for Organisations to request a devolved medical staffing URP be created for an organisation where they wish to control user access to medical and dental staff only.

Organisations should think carefully before requesting this as the devolved URP impacts on performance and increases search time for finding records. A Service Request (SR) must be raised by the organisation’s ESR Service Desk contact.

It is important to note that the Medical Staffing Teams do not use the ESR Recruitment module in ESR within some NHS organisations. These teams may therefore require additional training

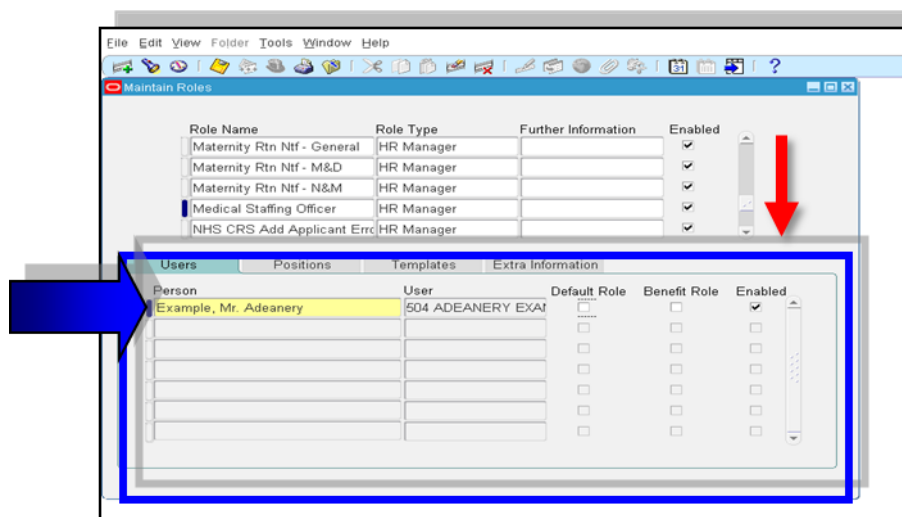
support to familiarise themselves with the functionality within this module, before they embark on using the Streamlined ESR DIT Interface.

### 5.1.2. Allocating the Medical Staffing Officer Role and the Statutory and Mandatory Role

In order for a user to operate the interface effectively, someone within the Medical Staffing or Recruitment Team must have the **Medical Staffing Officer** notification role allocated. This enables the notifications created by the interface processes to be sent directly to an ESR user for their information. In order to make a transfer for core and essential skills competencies, a member of the Recruitment or Learning & Development team must have the **Stat & Mand Competencies Ntf** role allocated. The transfer is then received and then processed via an ESR Workflow notification.

The ESR System Administrator can only undertake this activity, as they are able access the Maintain Roles form following the path: **XXX Local HRMS System and User Administration>Maintain Roles**

Within the Maintain Roles form the System Administrator should scroll down (using the scroll bar highlighted by the red arrow below), within the **Role Name** list to find the 'Medical Staffing Officer' notification role and click into the **Users** form (highlighted by the blue box in the illustration below).



The appropriate Person record should be selected within the Person field (shown next to blue arrow above) and the record saved.

### 5.1.3. Setting up your Deanery Post Numbers in ESR

Prior to updating your DPNs, you will need to liaise with HEE / HEIW to understand which DPNs apply to your Organisation's DIT Positions and capture these in ESR. These are often also referred to as 'TPNs' (Training Post Numbers).



#### Hints

It should be noted that the NHS ESR Central Team offer a Mass Update service to users who are deploying the interface for the first time, which will make updates of 100+ posts so that the posts include the DPN reference, Host/Lead Employer indicator and Managing Deanery Body. Users should raise an SR on the ESR helpdesk if they require this assistance.

Successful operation of the interface requires DPNs to be recorded against unique ESR positions within ESR. Only the person who manages Workstructures (ESR organisational hierarchy) within the solution can complete this activity. They should have the Local Workstructures Administration User Responsibility Profile. If you do not know who holds this responsibility within your organisation, please contact your ESR Lead or System Administrator for further information.

The Workstructures Administrator is able to update the Deanery post details following the path:  
Navigation: **XXX Local Workstructures Administration>Position> Description> Extra Information> Medical and Dental Post Details> Details**



**Note**, it is essential that **each DPN is established within ESR against an individual ESR position** so positions are not used as 'bucket' posts to receive multiple applicants. The interface process uses this identifier to exchange information between ESR and the DIT system. In order for this exchange to operate effectively, there must be a one to one relationship between a DPN and ESR.

**Note:** Where HEE / HEIW have notified of positions that are not funded any more, these should be appropriately actioned on ESR manually by making them inactive.

Within the Position Description form, the Workstructures Administrator should recall the position they wish to update. Once they have found the relevant post, they should click on the 'Extra Information' button (highlighted by the red arrow as illustrated below).

**Navigation: XXX Local Workstructures Administration>Position> Description> Extra Information> Medical and Dental Post Details> Details**

The screenshot shows a 'Position' form with the following details:

- Name: 236103|Foundation House Officer 1|091|Anaesthetics
- Start Date: 01-APR-2008
- Date Effective Name: 236103|Foundation House Officer 1|091|Anaesthetics
- Type: Shared (highlighted with a red box)
- Permanent:  Permanent,  Seasonal
- Organization & Job: Organization: 504 Anaesthetics, Job: Medical and Dental|Foundation Year 1
- Hiring Status: Status: Active (highlighted with a red box), Start Date: 01-APR-2008
- Location: 504 ESR Hospital
- Effective Dates: From: 01-APR-2008

A red arrow points to the 'Extra Information' button at the bottom right of the form.

The Position Type must also be set to 'Shared' and the 'Hiring Status' set to 'Active' as shown in the illustration above (highlighted by the red boxes). If 'Active' is not set the post details will not be passed to the DIT System, resulting in problems with the applicant transfer process.

Once the Extra Position Information form is opened (by clicking the 'Extra Information' button – highlighted by the red arrow on the illustration above), the user should click on the **'Medical and Dental Post Details'** Type (shown next to the red arrow below). Once the Medical and Dental Post Details tab is highlighted, the user should click into the field below, under the **'Details'** label (shown next to the arrow in the illustration below).

The screenshot shows the 'Extra Position Information' form with the following details:

- Type: Medical and Dental Post Details (highlighted with a red box)
- Details: [ ] (highlighted with a red arrow)

The System Administrator should click into the **Deanery Post Number** field and complete the agreed detail. They should also click into the **Managing Deanery Body** and complete the relevant detail (these fields are highlighted in the diagram below by the red arrow).

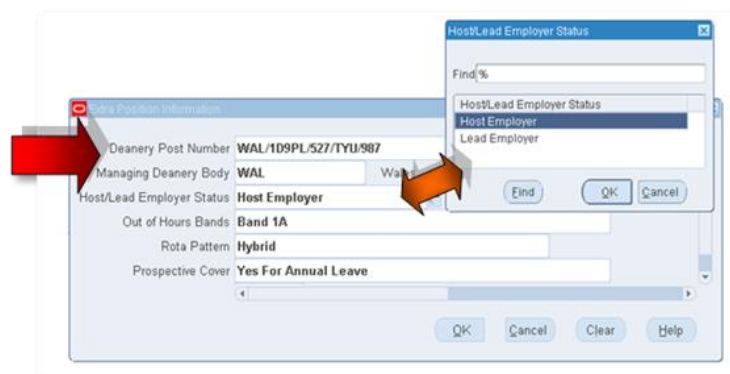
**Note:** The Managing Deanery Body field should always be completed by the workforce staff if an NHS Organisation manages posts and placements from two or more Deanery regions in order to ensure that the position details are exported from ESR to the DIT System with the correct managing Deanery body reference.

Completing this will ensure the DIT system is updated with the correct information and the post and placement notifications are allocated to the correct MEDROT when received.

If the Managing Deanery Body is left blank then the position information will be sent from ESR to the DIT system allocated to the region(s) that the NHS Organisation has activated the Interface link with. In this scenario when the Deanery notifications are received by ESR, the post and placement information will be allocated to a MEDROT based on the specified region named on file in which it was sent by the DIT System.

In addition, the System Administrator should click into and apply an update to the **Host/Lead Employer Status** field. The 'Lead Employer' holds the Employment Contract with the DIT who occupies a training post, whereas the 'Host Employer' may facilitate the trainee posts (on their site) but does not actually hold the Employment Contract with the Medical Trainee. This arrangement is particularly common in the North West and North East Regions of England, where there tends to be one main 'Lead Employer' and multiple local 'Host Employers'.

Completing this field will help HEE / HEIW to share DIT information with you and to help them to understand whether your organisation simply hosts the Medical Training post or in fact employs the Medical Trainee within post. **This is particularly important for Host Organisations, as the default assumption where this field is not populated is that the NHS Organisation is the Lead Employer.** It is important to note that this field also prompts when the host employer is attempting to hire a DIT – it will remind them to hire as an honorary employee.



The System Administrator should save the record before closing the Extra Position Information Form.

Once the Outbound DIT Interface process has run within ESR overnight, the position information will be sent to the DIT System in the next daily scheduled outbound file.

When a change is made to the position information in ESR, i.e. the post number is changed or removed; the new information will be sent to the DIT System the next day.

**Note:** Through the notifications functionality HEE informs of new positions that are created within TIS. This is only a reminder of the new position and **not a substitute for the communication that HEE should manage with Trusts when a new post / DPN is introduced**. Notification is generated and sent to the corresponding NHS organisation that this impacts, provided they have subscribed to the interface.

## 5.2. INFORMING THE NHS ESR SYSTEMS INTEGRATION TEAM OF GO LIVE READINESS

In order to deploy the Streamlined DIT Interface process a Service Request (SR) needs to be raised for the attention of the NHS ESR Systems Integration Team by each participating Trust. Prior to raising the SR, the following steps need to be completed:

- All DIT posts must be un-bucketed at the NHS Organisation
- ESR positions must be matched to HEE / HEIW Post Numbers, and Deanery Post References must be stored on ESR against ESR Positions
- All ESR positions that are NOT DIT training posts **MUST NOT** have the DPN or Managing Deanery Body fields populated.

*(Please note that the NHS ESR Systems Integration Team will ask organisations to confirm their compliance with the above requirements.)*

If your organisation meets all the above conditions, then the following implementation process should be followed:

1. A Trust raises an SR to say they wish to go live with the **Streamlined Doctor's in Training Interface**. The SR should include:-
  - SR Offering Type (Work Order): 'Request a Service \ Junior Doctor Interfaces'.
  - SR Text which states '*Request: Go Live with the **Streamlined Junior Doctor** (Doctors In Training) **Interface** Process with XXXX HEE Local Office/Deanery*' and include contact details of a person who will be the lead for the Streamlined Junior (Doctors In Training) Doctor Interface process.

- An email from the Local HEE / HEIW Business Manager should be attached to the SR by the ESR Service Desk user, which confirms that the HEE / HEIW support the implementation.
2. Once received, the NHS Systems Integration Team will respond with a checklist asking the trust to confirm they are compliant with the items included below:
    - All Junior (Doctors In Training) Doctor posts must be un-bucketed at the NHS organisation
    - ESR positions must be matched to Deanery Posts, and Deanery Post References must be stored on ESR against ESR Positions
    - All ESR positions that are NOT junior (Doctors In Training) trainee posts MUST NOT have the Deanery Post Number or Managing Deanery Body fields populated
    - They have permissions from the local HEE office or Deanery to deploy the interface.
    - Any duplicates DPNs or invalid DPNs will need to be rectified prior to go live.
  3. Once confirmation is received, ESR NHS SIT will agree a Go Live date for the Interface.

### **5.3. OPERATING THE PROCESS**

This section outlines the operating principles of the Streamlined DIT Interface processes. It is intended to provide detailed information on the Interface functionality.

#### **5.3.1. Viewing Notifications**

Once the MSO Role has been allocated, the user will be able to receive Notifications with regards to processes the DIT interface performs.

The notifications generated by the interface process are as follows:

- **Deanery Applicant Notification**

ESR generates this notification where an applicant has successfully or unsuccessfully been created via the DIT Interface process.

- **Medical Staffing Rotation Notification**

This notification is generated by the DIT System. It generates a link to the Medical Rotation Spreadsheet (MEDROT), which contains all of the NHS Organisations posts, positions, current and next post holders (for the next rotation date). This MEDROT is created by DIT region and

password protected. There are different username and passwords per region and the details can be provided by ESR SIT after a caller ID check through an SR.

- **Update to the Medical Rotation Notification – Applicant Withdrawn**

This notification is generated by the DIT System where an applicant on the MEDROT has been withdrawn from their placement.

**Note:** Where there is replacement, this is notified through a combination of the ‘Update to the Medical Rotation Notification’ – ‘Applicant Withdrawn’ and the ‘Medical Staffing Rotation Notification’.

- **Update to the Medical Rotation Notification – Update to the Projected Start and End Dates**

This notification is generated by the DIT System to advise if an applicant’s projected start and or end date has been changed.

- **Duplicate/ Erroneous Post Notification**

This notification is generated by ESR (the NHS Hub) and informs the Trusts if and when duplicate positions have been observed. The mapping of position numbers in ESR to the DPN is a one to one mapping. Where this is not the case i.e. where two or more position numbers are associated with the same DPN, it will be reported via this duplicates notification.

- **New Post Notification**

This notification is generated by the DIT System to advise of new DPNs that have been created for that NHS Organisation.

**Note,** The NHS Organisation should contact HEE / HEIW for more details before adding the new DPN to a new ESR position.

- **New Starter Reminder Notification**

ESR generates this notification 5 days before projected hire by ESR to remind the MSO that a DIT is due to commence and to undertake the hire process.

**When Using the Notifications functionality, ESR users should remember:**

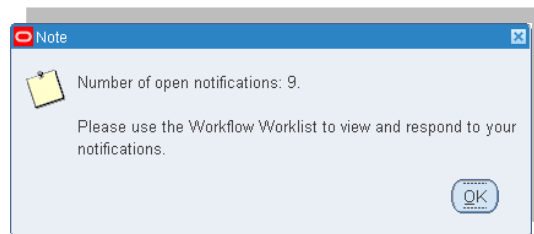
- A notification is automatically moved to the read notifications folder within ESR, once it has been read by the user. To access older read notifications please switch the notification list from ‘Open’ to ‘All’.



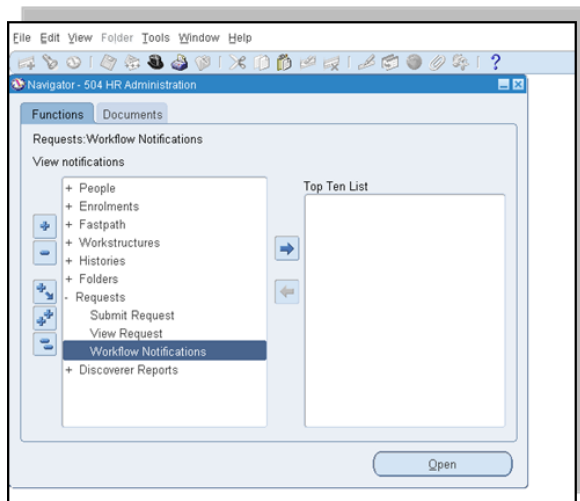
- The Medical Staffing Rotation Notification generates a link to an updated MEDROT which is in an excel spread sheet format. Users are advised to save this spread sheet locally before or after opening it, so that they can reference it at a later date, in light of the information above. Ideally the MEDROT should also be saved in a location that can be accessed by other appropriate members of the Team.
- Read and Unread notifications are deleted 60 days after the creation date.

### 5.3.1.1. Applicant Notifications

The Applicant Notification is generated each time a new applicant record is generated in ESR by the interface process. The user is made aware that they have notifications when they first log into ESR. They will see the popup message shown below:

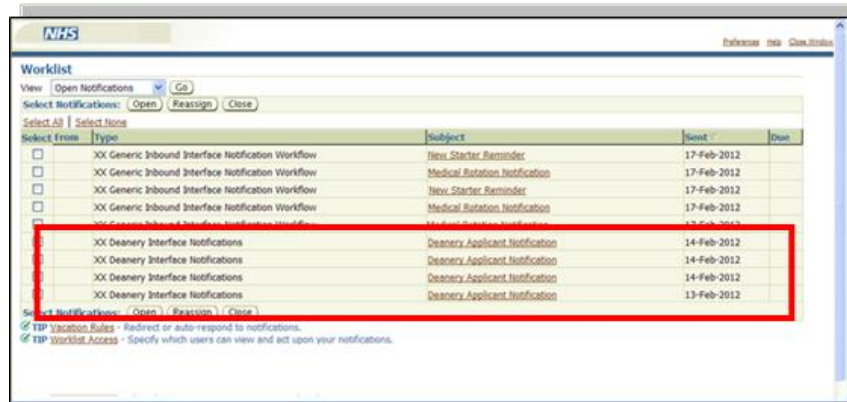


The user should select 'OK' and then navigate to the Workflow Worklist, within the Requests Function.

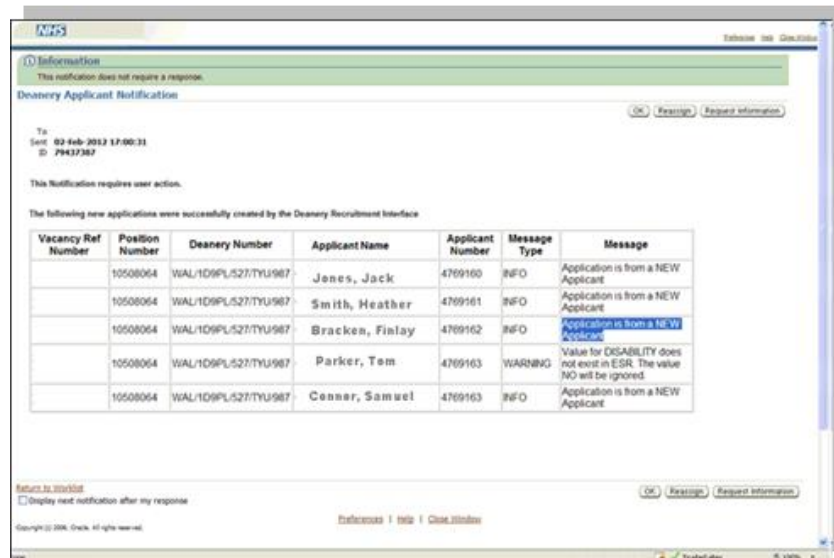


Once the Workflow Notifications screen is visible, the user should click into the appropriate Deanery Interface Notification (Deanery Applicant Notification shown within the red box below) - to review any messages that maybe included about the applicant processing.

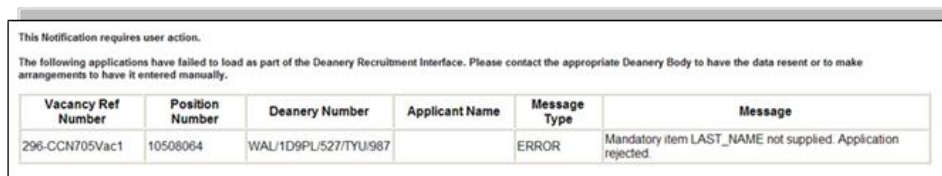
Please note the ESR Workflow notifications screen shots displayed in this document may contain formatting and colour schemes that may not match current live ESR but the content, in terms of what it is trying to convey, is correct.



**Note:** Clicking into the Subject *hyperlink* should automatically open the notification.



Successful processing of an applicant record will be identified within the Notification. The details may be supplemented by 'Information' or 'Warning' messages. The user should review the message and take the appropriate action. Where the applicant record has failed to load, the user will receive a Message Type of 'Error' (such as in the example below).



In this instance, the user should review the error message. If it is possible to identify the reason for the error, by reviewing the information in the "message" column, the user may contact the HEE / HEIW administrator and ask them to address the issue, however the applicant may now need to be direct hired.

**Note:** HEE with the TIS DIT System are unable to resend applications however this is possible with HEIW and the Intrepid DIT System.

At the point of applicant exports in the DIT System, where ESR required mandatory data items are missing, it is expected that in-built validation will identify and highlight this to the DIT System administrator before the applicant record is sent.

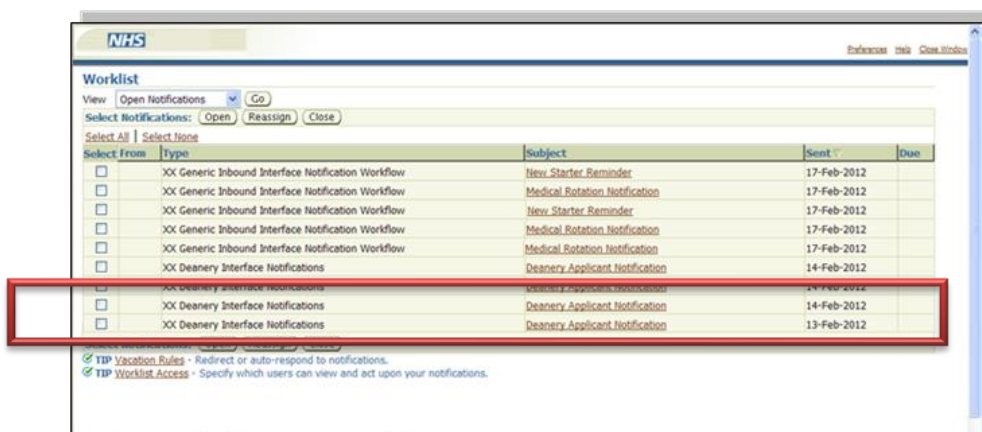
If the applicant record is exported but rejected by ESR because of an error, the notification and error message is also returned to the DIT System via the DIT Interface Confirmation file. This information is collected for HEE / HEIW exception reports.

### 5.3.1.2. Medical Rotation Notification

The purpose of the Medical Rotations Notification is to minimise offline communications between NHS Organisations and HEE / HEIW about DITs. The notification is designed to enable the HEE / HEIW to share rotation information directly to the Medical Staffing Officer via an ESR notification process. The DIT System automatically creates and sends this information to ESR.

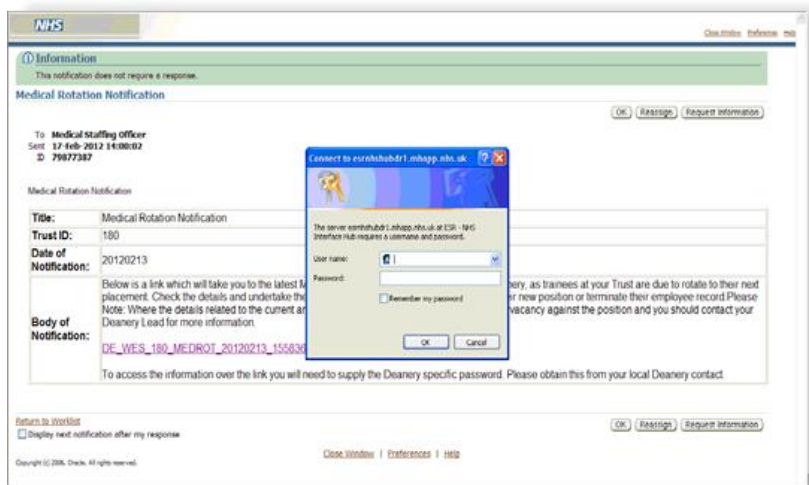
The information is automatically transferred to ESR. A link to the MEDROT is created and shared with the MSO within the body of the notification.

When the Medical Rotation Notification arrives, the MSO will receive An ESR workflow notification. Once the MSO has accessed the Workflow Notifications Worklist, they should click into the Medical Rotation Notification within the '**Subject**' column (shown below).



To ensure that the rotations information is only accessible to NHS Organisations the link is password protected. The MEDROT is generated by the NHS Hub and the password to access it can be obtained from the HEE / HEIW or from NHS ESR SIT via a Service Request (Priority 5).

Spreadsheets are automatically removed after 100 days by a tidying process that runs on the NHS Hub.



**Note:** The link to the MEDROT in purple font (hyperlinked).

Entering the agreed user name and password and clicking 'OK' should result in the next prompt asking whether you would like to Open, Save or Cancel the action.



**Note:** Users should ensure that they save the spreadsheet locally for further reference, as the notification will be moved to the closed notification section after it is first opened. The username and password for the Deanery Region/username in question is also not expected to change

### MEDROT Format

The information captured on the MEDROT is displayed with rows of unique ESR Positions/Posts that belong to a particular VPD. If a VPD has gone live with multiple Deanery regions then individual MEDROTs will be produced for all regions for that VPD.

The top section of the MEDROT will display a "Changed records" section that will highlight affected posts in a light blue, as well as shading the actual new, updated or deleted data items in dark blue.

Below the changed records section (or if they were no changed records) a "Full listing" section will contain rows of all positions/posts the VPD holds for that region. This will also include another instance of any changed records also displayed in the changed records section.

From left to right the MEDROT is divided into four sections which include; 1. Position (Post) details; 2. Current Placement/Post Holder details for that post; 3. Future Placement / Next Post Holder details for that post; and 4. Extra Info.

An example MEDROT can be found embedded here:



MEDROT\_Example\_v0.5.xls

- **Position (Post) Details**

LETB Medical Rotation Notification						
Position Details						
ESR Position	TPN Number	Position	Organisation	Location	Lead Trust	Area of Work
Changed records (New, Updated, Deleted)						
1234567	DPN/AB10/001/STR/001	Specialty Registrar ABC	123 ABC - Core Surgical	General Infirmary		Core Surgical Training
2345678	DPN/BC20/001/STR/002	Specialty Registrar DEF	123 Medical Staff - Oncology Wing	Hospital		Accident and Emergency
Full listing (includes changed records)						
3456789	DPN/DE19/089/STR/001	ABC12 Specialty Registrar THE	123 ABC - Rehabilitation	Hospital		Trauma and Orthopaedic Surgery
4567891	DPN/FG18/007/STR/013	Specialty Registrar PCE (DC98)	123 ABC - Adult Cardiology	General Infirmary		Ophthalmology
5678912	DPN/HH201/009/STR/009	Specialty Registrar PCE (DC98)	123 ABC - Research	General Infirmary		Haematology
1234567	DPN/AB10/001/STR/001	Specialty Registrar ABC	123 ABC - Core Surgical	General Infirmary		Core Surgical Training
2345678	DPN/BC20/001/STR/002	Specialty Registrar DEF	123 Medical Staff - Oncology Wing	Hospital		Accident and Emergency

**Header – Position Details** (Example above)

- ESR Position Number
- TPN (DPN) Number
- Position (title)
- Organisation
- Lead Trust (to be derived from the ESR position record)
- Area of Work (Speciality)

- **Current Post Holder Details**

Date generated : 2021/02/24 18:04:01						
Current Post Holder						
Last Name	First Name	GMC Number	Projected End Date	VPD Next Placement	Working Hours Indicator	Sub Speciality
Afzal	Ahmed	7112312	14-May-21	123	1	Trauma & Orthopaedic Surgery
Smith	Jane	6112345	14 May 2021	NOT KNOWN	0.6	Paediatric Emergency Medicine
Reid	Patrick	7071234	2 March 2021	123	0.8	Not supplied
O'Neil	Marie	7017788	14 May 2021	456	1	Neuro-Ophthalmology
Keane	James	6158001	14 May 2021	789	0.6	Malignant Haematology
Afzal	Ahmed	7112312	14-May-21	123	1	Trauma & Orthopaedic Surgery
Smith	Jane	6112345	14 May 2021	NOT KNOWN	0.6	Paediatric Emergency Medicine

**Header – Current Post Holder** (Example above)

- Last Name
- First Name
- GMC Number

- Projected End Date
- VPD Next Placement
- Working Hours Indicator (FTE)
- Sub Speciality

- **Next Post Holder Details**

Next Post Holder								
Last Name	First Name	GMC Number	VPD Current Placement	Email Address	Projected Working Hours	Projected Start Date	Trainee Grade	Sub Speciality
Bloggs	Joe	7456789	Hospital NHS Trust HQ	bloggs@gmail.com	1.0	15 May 2021	ST2	Trauma & Orthopaedic Surgery
Smith	John	7089101	NOT KNOWN	jsmith@outlook.com	1.0	15 May 2021	ST1	Pre-Hospital Emergency Medicine
Ross	Edward	7021884			0.8	3 March 2021	F2	Not supplied
McCarthy	Alan	8114357		amccarthy@doctors.org.uk	0.6	15 May 2021	ST2	Glaucoma
Allardyce	Sheila	7010001		sallardyce@doctors.org.uk	1	15 May 2021	ST1	Not supplied
Bloggs	Joe	7456789	Hospital NHS Trust HQ	bloggs@gmail.com	1.0	15 May 2021	ST2	Trauma & Orthopaedic Surgery
Smith	John	7089101	NOT KNOWN	jsmith@outlook.com	1.0	15 May 2021	ST1	Pre-Hospital Emergency Medicine

Header – **Next Post Holder** (Example above)

- Last Name
- First Name
- GMC Number
- VPD Current Placement
- Email Address
- Projected Working Hours
- Projected Start Date
- Trainee Grade
- Sub Speciality

- **Extra Info**

Extra Info
Vacant at Next Rotation
No
No
Yes
No
No
No
No

Header – **Extra Info** (Example above)

- Vacant at Next Rotation

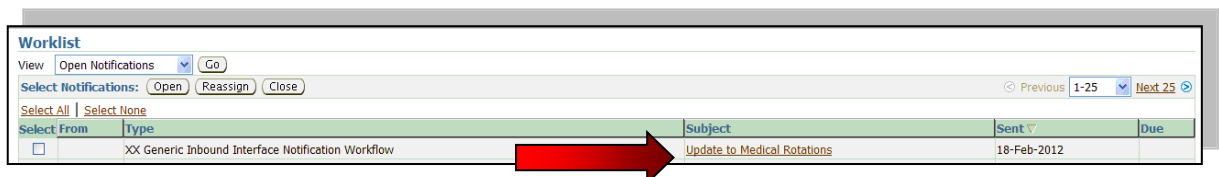
The sort order for the post and person information within the spread sheet should be by primarily by DIT Area of Work (Specialty). Each post will be listed / grouped by speciality type. Thereafter the training post details will be sorted in order of Location, then by Organisation, then Job Role, then Position Number and then by Last name of the trainee.

**Note:** The dark blue cells indicate data that has changed since the last time the Medical Rotation was generated.

### 5.3.1.3. Update to the Medical Rotation Notification – Applicant Withdrawn

This notification is sent automatically by the DIT System to the MSO Role when a DIT previously created has subsequently withdrawn from the appointment. This may be due to the DIT deciding to go Out Of Programme or taking up an alternative post within a different NHS Organisation.

The user should access the notification as outlined in the above sections through the Workflow Worklist.



The user should click on the hyperlink under the subject column, which states '*Deanery – Update – Applicant Withdrawn <Specialty>*' (see red arrow in the above illustration), and the notification will open. The user should now be able to review the person and post details of the withdrawn application.

**Title:** Medical Training - Applicant(s) Withdrawn (No speciality supplied)  
**Trust ID:** 123  
**Date of Notification:** 02 Feb 2016  
**Body of Notification:** The following medical and dental trainee(s) have been withdrawn from their placement. See details below and take the necessary steps to withdraw their applicant record.

Withdrawn Medical and Dental Trainee					
Last Name	First Name	GMC Number	Employee/Applicant Number	Employee Status	Withdrawal Reason
Smith	Frederick		Number Unavailable - Person has been removed from the position and does not have a GMC record in this VPD, so unable to identify Applicant/Employee Number		3: Other
Position Details					
<b>ESR Position ID</b>	999999999	<b>TPN</b>	AAA/ABCCC/001/YYY/001		
<b>Managing LETB</b>	AAA	<b>Position Title</b>	Specialty Trainee Registrar		
<b>Occ Code</b>		<b>Job</b>	Specialty Trainee Registrar		
<b>Head/Lead Status</b>	Host Employer	<b>Organisation</b>	123 CHI Child Health Acute Medical		
<b>Lead Trust</b>	123	<b>Location</b>	General Hospital		
Withdrawn Medical and Dental Trainee					
Last Name	First Name	GMC Number	Employee/Applicant Number	Employee Status	Withdrawal Reason
Turner	Ruth	3333333	6666666 Person has been removed from the position in ESR	Employee	3: Other
Position Details					
<b>ESR Position ID</b>	888888888	<b>TPN</b>	AAA/AABDDD/004/A1/001		
<b>Managing LETB</b>	AAA	<b>Position Title</b>	Foundation Doctor - Year 1		
<b>Occ Code</b>	004	<b>Job</b>	Foundation Doctor - Year 1		
<b>Head/Lead Status</b>	Host Employer	<b>Organisation</b>	123 MED Foundation Programme		
<b>Lead Trust</b>	123	<b>Location</b>	General Hospital		

The notification examples contain the following information:

**Header – Withdrawn Medical and Dental Trainee**

- Last Name
- First Name
- GMC Number
- Employee/Applicant Number
- Employee Status
- Withdrawal Reason (Not currently used)

**Header – Position Details**

- ESR Position ID (Number)
- TPN
- Managing LETB (Region)
- Position Title
- Occupation Code
- Job



- Host/Lead Employer Status (Lead Employer/Host Employer)
- Organisation
- Lead Trust (to be derived from the ESR position record)
- Location

Once the user has reviewed the information provided, they should end date the application for the DIT concerned.

#### 5.3.1.4. Update to the Medical Rotations Notification – Change to Projected Start & End Dates

This notification is generated by the DIT System, providing details of the person concerned and the change in information i.e. Change to start date, change to End Date or both. It will urge the ESR user to **manually** change the projected hire or end dates for the DIT. **This notification does not automatically change the ESR record.**

The notification will hold the following information:

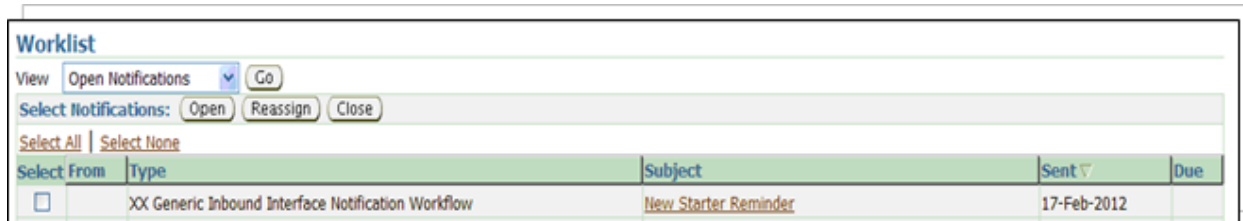
<b>Title:</b>	Medical Training - Change to Project Hire/End Date Notification (Clinical Oncology)					
<b>Trust ID:</b>	999					
<b>Date of Notification:</b>	11 Mar 2016					
<b>Body of Notification:</b>	Below are details of a trainee who has had their projected hire/end date amended in the LETB system. Please locate the person record and make the appropriate amendment to the application.					
Last Name	First Name	GMC Number	Position Number	Position Name	New Projected Hire Date	New Projected End Date
Smith	Linda	777777	ABC/ABT00/026/SPR/003	Specialty Registrar	04 January 2016	04 October 2016

The New Projected Hire Date and New Projected End Date will only be populated where a change has occurred. If either of these dates remains the same, this field will be blank.

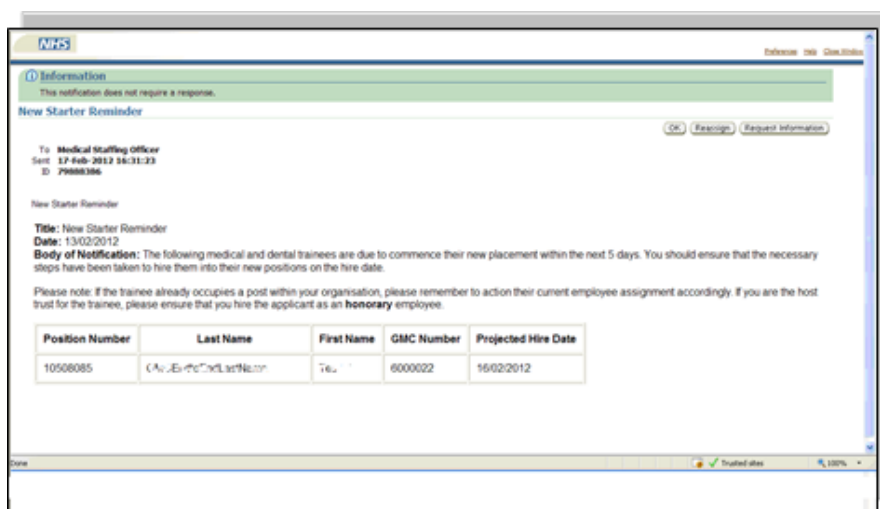
#### 5.3.1.5. New Starter Notification – Jnr Doctor

This notification is generated by the ESR system, based on the Projected Hire date provided by the DIT System, and sent to the MSO Role when an applicant is due to start work in 5 days' time.

The user should access the notification as outlined in the above sections through the Workflow Worklist.



The user should click on the 'Deanery - New Starter Reminder' hyperlink shown below the subject field and the notification will open up. The user should now be able to review the person and post details of the new starter.



Information captured within the notification includes:

- Position Number
- Last Name
- First Name
- GMC Number
- Projected Hire Date
- Projected Working Hours (Not currently used)

The next step should be that the user accesses the applicant record, via the HR Administration URP, to ensure that all the required pre-employment checks have been completed. Once this is confirmed the user may date track to the projected hire date and hire the individual into their new assignment.

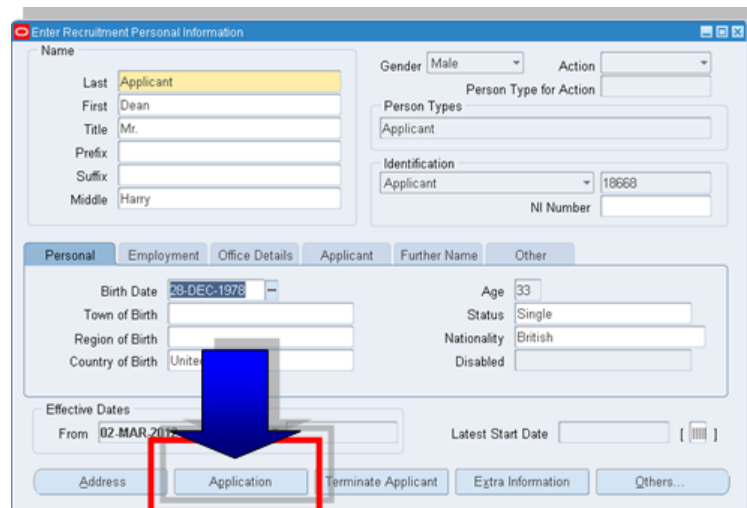
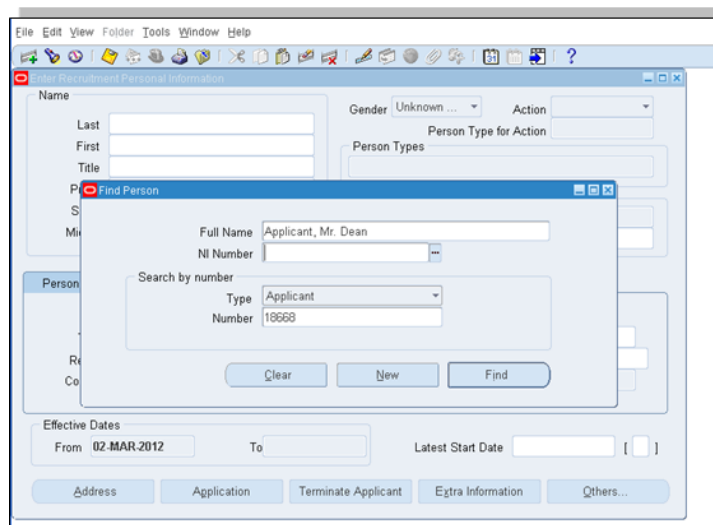
### 5.3.2. Viewing the applicant record

To view the DIT applicant record after receiving the Deanery Applicant Notification the MSO should select the following User Responsibility Profile.

**Navigation: XXX Recruitment and Applicant Enrolment Administration> Manage Applicants> Enter and Maintain**

After selecting the 'Enter and Maintain' option on the menu, the user should date track to the date that the DIT applicant was created in ESR. Refer date on the notification generated.

The user should search for the DIT record by entering the name or Applicant number. The user should select the 'Find' button and the record will be made available for review and update (shown in the illustration below).



To view the application details for the post that the DIT will be hired into, the user should click into the 'Application' button within the person record. (This is highlighted by the red box in the illustration above)

The screenshot shows a software interface for managing an application. At the top, there are tabs for 'Received', 'Terminated', 'Projected Hire', and 'Current Employer'. The 'Projected Hire' tab is active, showing a date of '2-JUN-2012'. Below this, there are fields for 'Received Date' (02-MAR-2012) and 'Terminated Date'. The 'Assignment' section contains several dropdown menus and text boxes: 'Recruitment Activity', 'Organization' (504 Anaesthetics), 'Job' (Medical and Dental Foundation Y), 'Grade' (NHS|MN13|Foundation House Off), 'Status' (Preferred Applicant), 'Vacancy', 'Group' (504 zcllMed Sec Med||), 'Position' (236103|Foundation House Officer), 'Location' (504 ESR Hospital), and 'Reason'. A red box highlights the 'Reason' field. Below the assignment details, there are tabs for 'Recruiter', 'Application Source', 'Supervisor', 'Probation & Notice Period', 'Standard Conditions', and 'Miscellaneous'. At the bottom, there are buttons for 'Interview', 'End Application', and 'Extra Information'.

The user will be presented with the 'Application' form (as shown above).

The Projected Hire Date field (highlighted by the orange box above) and the Fixed Term Contract End Date (in the Assignment Descriptive Flex field – highlighted by the red box in the above illustration) will be populated with the relevant dates from the DIT System.

### 5.3.3. Hiring the applicant – External Applicant

Once all of the relevant employment checks are completed, and the applicant has confirmed that they will be commencing work, the DIT can be hired in ESR.

The user must complete the recruitment process and change the status for the applicant (in the Recruitment and Applicant Enrolment Administration URP) before attempting to 'hire' within the HR Administration URP.

#### Recruitment Status

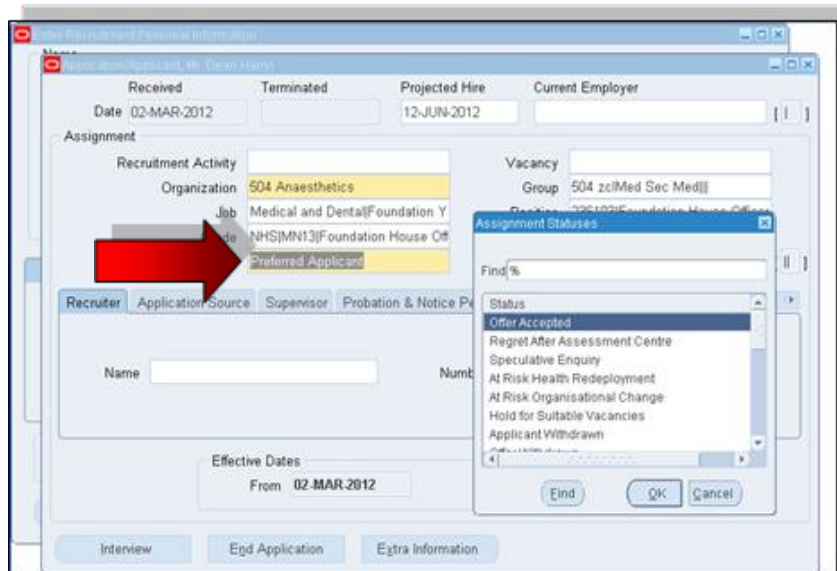
The recruitment status can be updated either on an individual basis or by using the 'Mass Update Applicants' functionality. Users should decide the best option for the applicants/applications concerned. For example, where a number of the applications received are for existing employees, then the mass update option would be the fastest and probably the most appropriate mode. This would enable the user to update multiple applications to the 'Offer Accepted' status making them ready to 'be hired' into their new job.

For brand new DIT applicants arriving to an organisation, users may prefer to update their status individually on completion of the pre-employment checks.

Details on how to change the status using either option is detailed as follows:

## Updating Individual Applications

**Navigation: XXX Recruitment and Applicant Enrolment Administration> Manage Applicants> Enter and Maintain> Application**



The screenshot displays the 'Application Information' form in the HR Administration URP. The 'Status' field is highlighted with a red arrow, and a dropdown menu is open, showing the following options: Offer Accepted, Regret After Assessment Centre, Speculative Enquiry, At Risk Health Redeployment, At Risk Organisational Change, Hold for Suitable Vacancies, and Applicant Withdrawn. The 'Offer Accepted' status is currently selected. The form also shows fields for 'Received Date' (02-MAR-2012), 'Projected Hire' (12-JUN-2012), 'Current Employer', 'Organization' (504 Anaesthetics), and 'Job' (Medical and Dental Foundation Year 1). The 'Effective Dates' section shows 'From 02-MAR-2012'.

On the Applications form the user should click into the 'Status' field (highlighted by the red arrow in the above illustration) and recall the List of Values for the Assignment Statuses. The users should select '**Offer Accepted**' from the choices and click 'OK'.

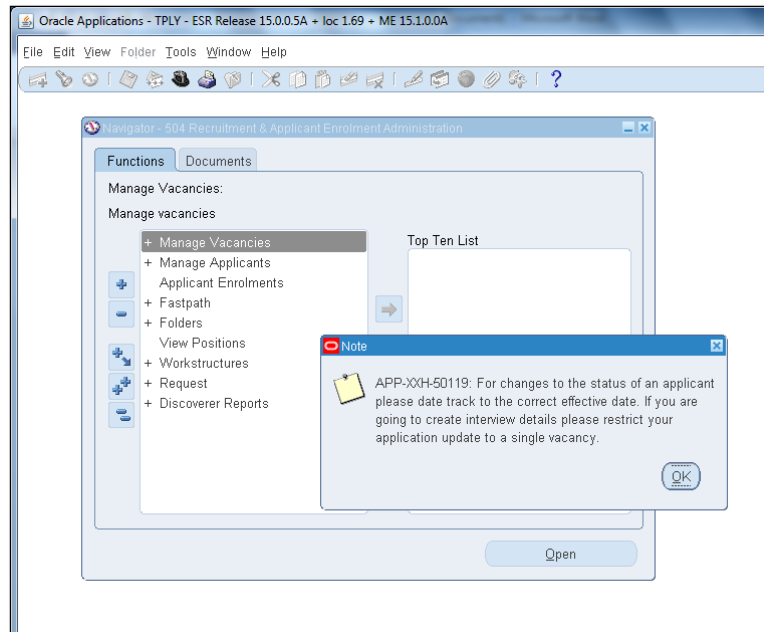
Once the record is saved, the user may navigate the HR Administration URP to complete the hire process.

**Note:** The Offer Accepted status must be in place at least one day prior to their start date.

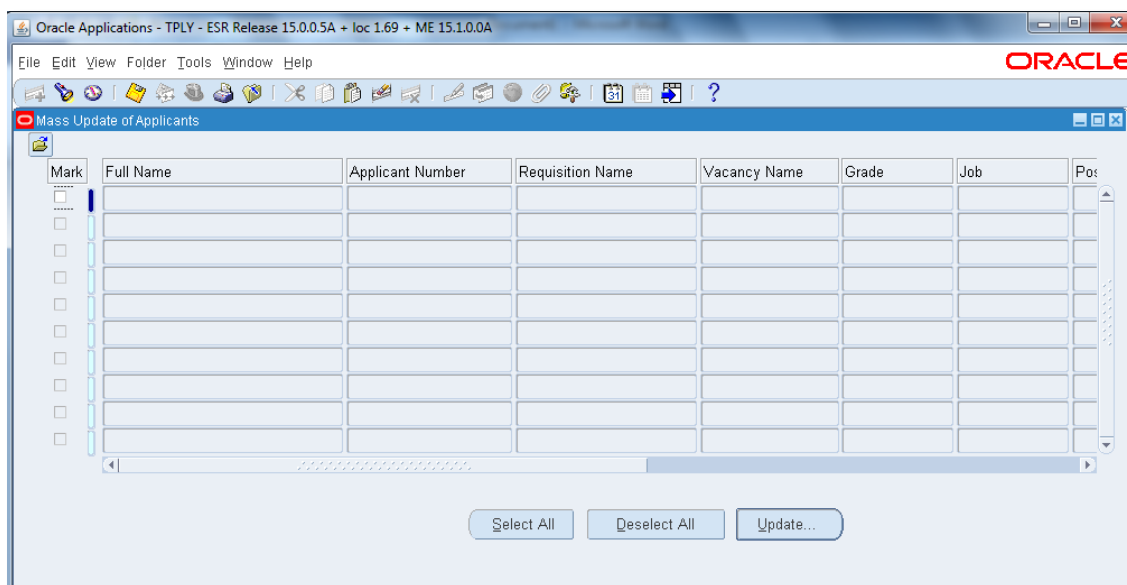
## Mass Update of Applicants

**Navigation: XXX Recruitment and Applicant Enrolment Administration>Mass Update of applicants**

Prompt about date tracking appears – Date track to the date from which you would like the change to be effective.



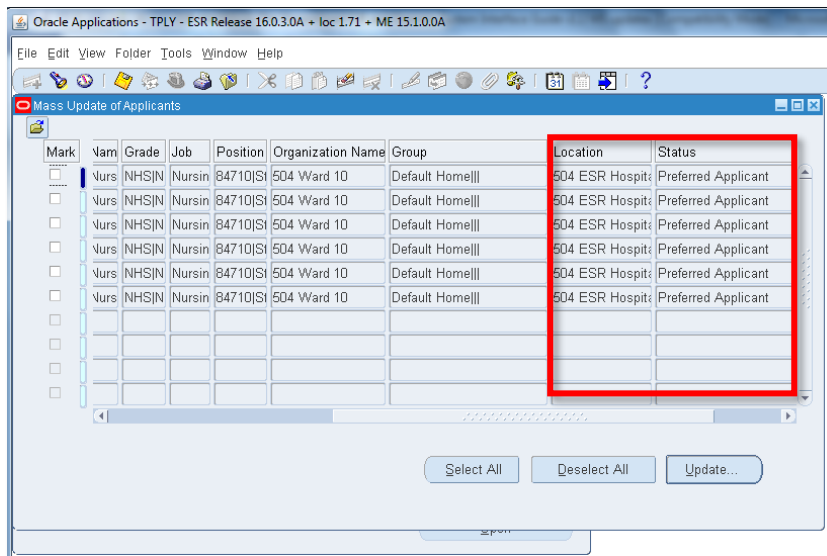
Mass update form appears:-



### Search Criteria

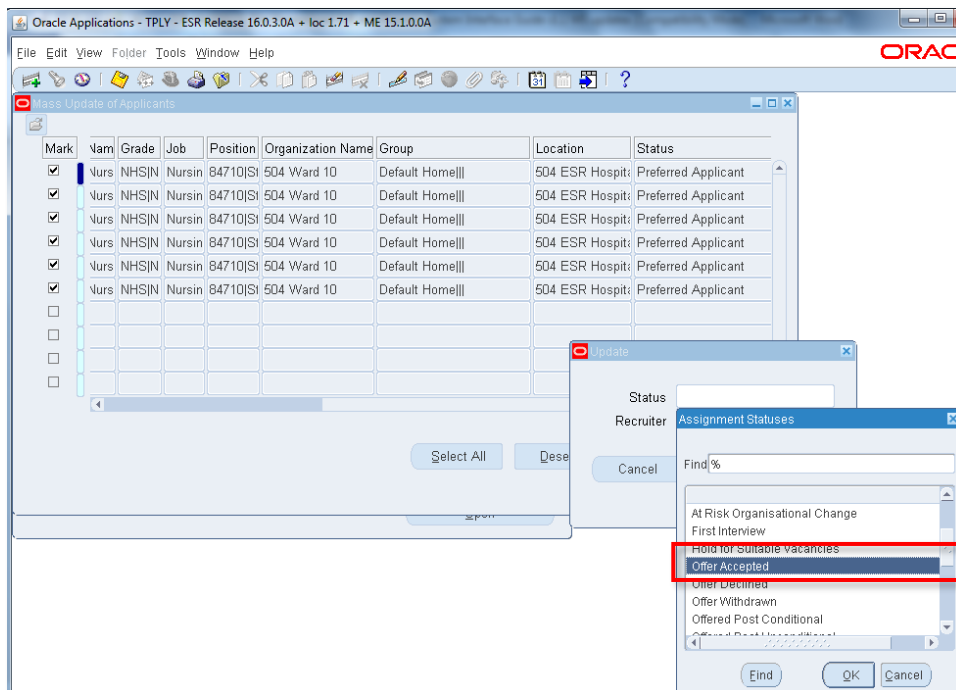
As the Streamlined DIT Interface does not require a requisition and vacancy to be set up, you must choose another search criteria e.g. by Status of 'Preferred Applicant' or by Organisation or pull back All to see all applicant records.

Once you have decided which field to search on, go into search mode by pressing the F11 key. Enter the search query using the wildcard e.g. %XXX%Ward%10 and Ctrl F11 to execute the search.



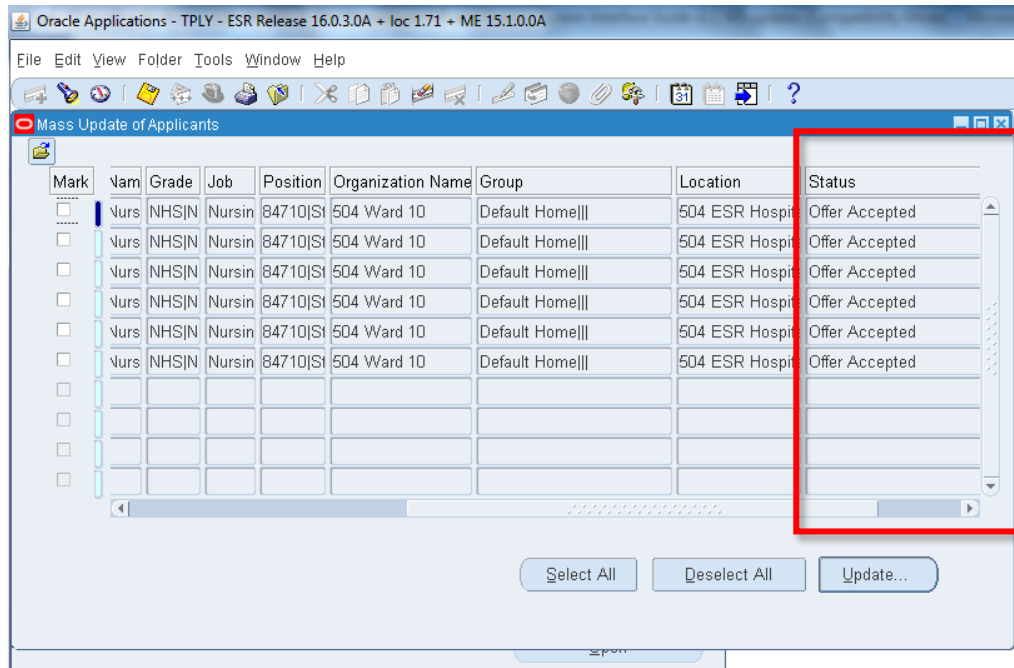
Select/Mark the Applicants to have their status updated, click the Update button then select 'Offer Accepted' from the LOVs that appears. Press OK.

**Note:** For multiple applications for a person ensure that the correct application is marked for the status you want.



Save as an update to maintain an audit trail.

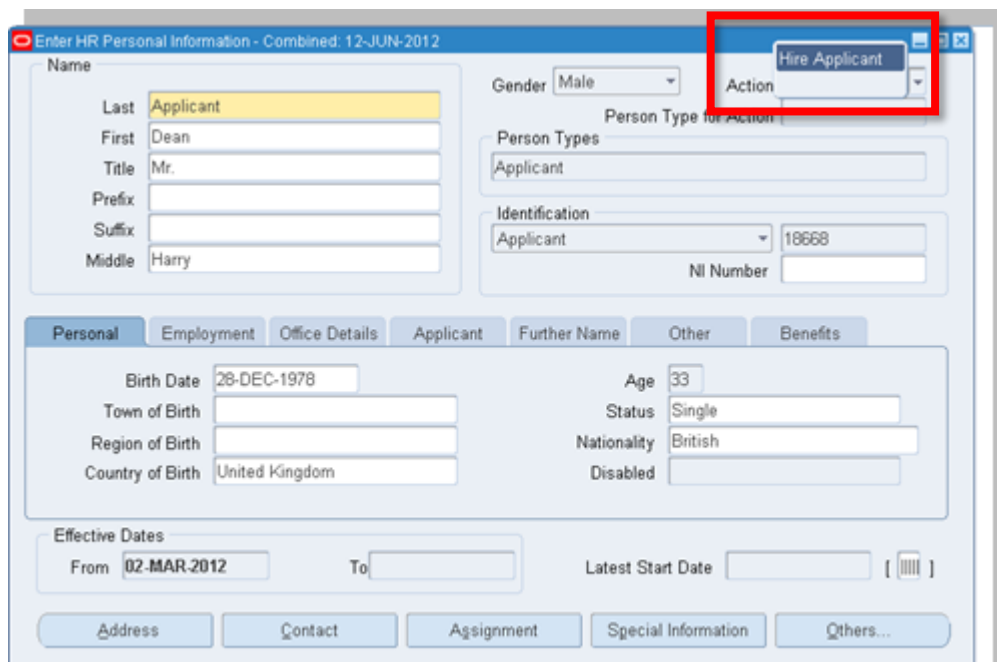
The status has now been changed for all of the chosen records.



The DITs are now ready for hire into their new positions.

Hiring can only be undertaken in the HR URPs.

**Navigation: XXX HR Administration > People > Enter and Maintain**

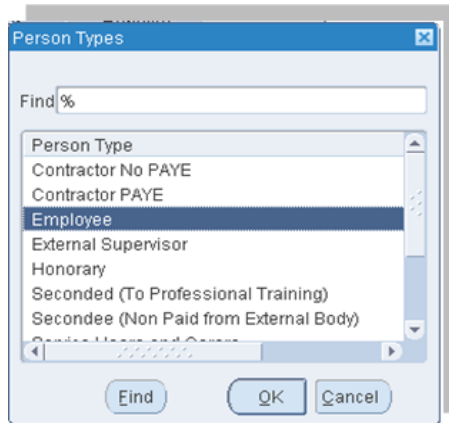


Once the correct person record has been identified, the user should date track to the Projected Hire Date. The 'Enter HR Personal Information' form is opened and the user should click onto the 'Action' button and select 'Hire' (as illustrated above).



The user will be prompted to select the person type for action. The prompt box (shown to the right of the page) will appear on the screen. The user should select a value, as follows:

- **Lead** Employers should select the '**Employee**' Person Type



- **Host** Employers should select the '**Honorary**' Person Type (except where they have a secondary assignment as an employee person type. If you need to retain the person type associated with their secondary assignment then ignore the prompt that appears).

ESR will prompt the user by asking them whether they want to update the record. The user should click the 'Update' button.

Upon successful hire of the Applicant, the Person Type becomes 'Employee Ex-Applicant'. By clicking the 'Assignment' button, it is possible to update the employment details for the new starter.

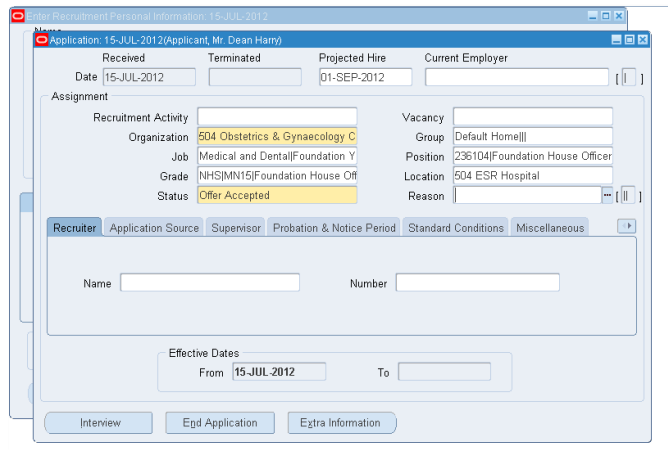
### 5.3.4. Hiring an existing employee into a new post

This scenario is likely to occur when using the interface for internal rotations (i.e. a DIT moving from one post to another within your organisation).

When an application is sent for an existing employee (internal applicant), a new Application record is created and associated with their Person record. This changes their person type to 'Employee.Applicant'.

It is possible to view the new Application in the Recruitment and Applicant Enrolment Administrator URP. This approach may be commonly used where there is an internal rotation (i.e. the Trainee moves post but stays within the same employing organisation) as part of a DIT training programme).

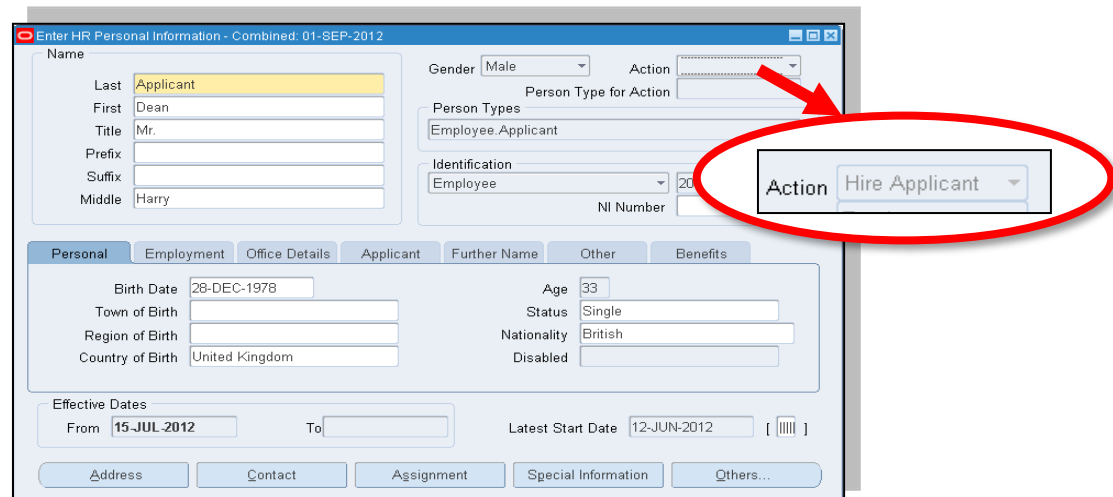
**Navigation: XXX Recruitment and Applicant Enrolment Administration > Manage Applicants > Enter and Maintain > Application**



In the example above, Mr Dean Harry Applicant is due to rotate into a new post in Obstetrics and Gynaecology. His application status has been updated appropriately in readiness for hire. Before attempting to hire an existing employee into a new post, the application status should always be updated to 'Offer Accepted' for the new post (as with the standard hire process).

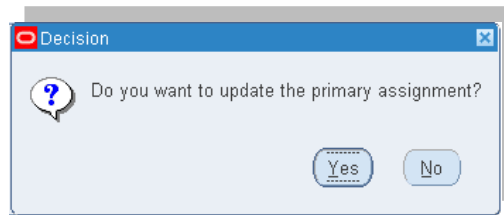
To complete the hire, the user should date track to the Projected Hire date and follow the navigation back into the HR Administration URP

**Navigation: XXX HR Administration > People > Enter and Maintain > Action**



Once the appropriate record has been selected (and appropriately date tracked), the user should select the 'Hire Applicant' by clicking on the Action function on the 'Enter HR Personal Information' form and click the 'Update' option in the popup screen.

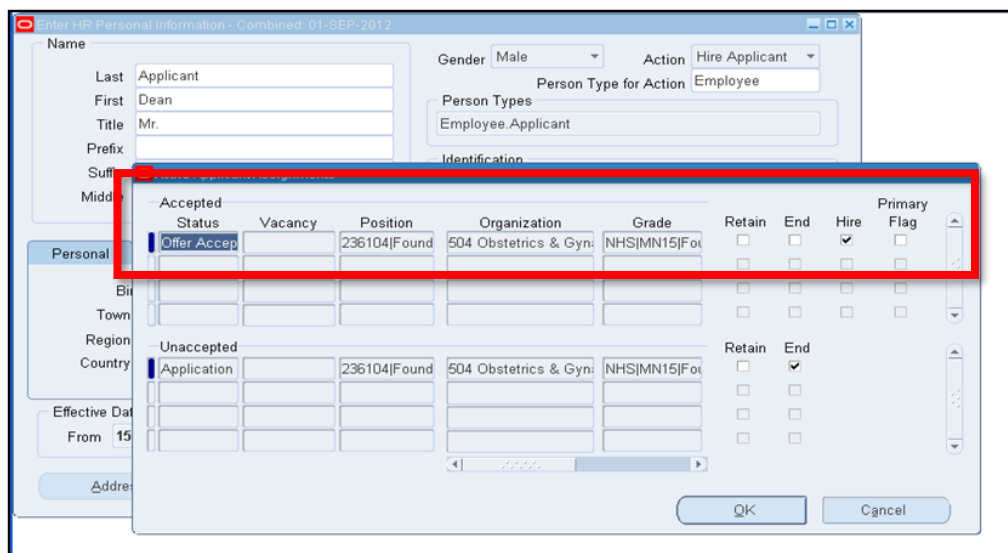
A Decision box will appear, asking if you wish to make the new assignment their Primary Assignment



**Note:** if you select the **Yes** button, the system will overwrite the existing Assignment details with the new Assignment (Position) details. If you select the **No** button, you will create a Secondary Assignment. (Please see the ESR User Manual for full details of the implications of creating secondary assignments).

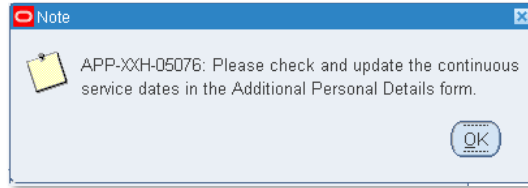
If the applicant record is for the next rotation that replaces the current employment and is to become their new primary assignment, the user should select 'Yes'. This action will end date the current assignment and create this assignment as their new post from the system effective date (the date to which the user is date tracked).

If the DIT has other active applications attached, they will be presented with the 'Active Applicant Assignments' form (highlighted by the red box below). The application at 'Offer Accepted' status should appear in the Accepted listing. The user should review the details and if they are correct, press 'OK'.

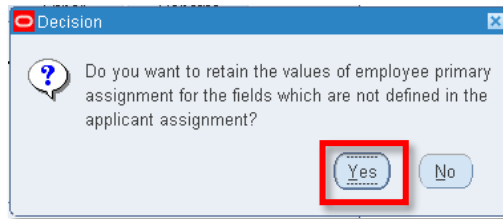


Note, where there are any default values set against the previous assignment, which are missing from the new Assignment, the system will automatically apply these values to the applicable fields in the new assignment.

A **Note** box is displayed



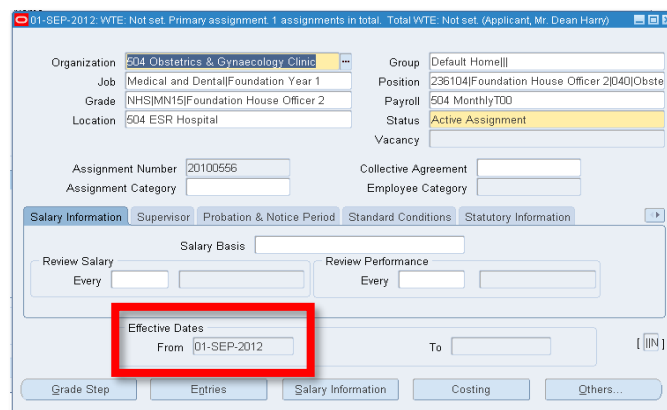
When the user Clicks **OK** on the message above, the **Note** box will close and the record will be saved. The user should follow the instructions in the 'Note' box once before closing the Enter HR Personal Information form.



The user will also be prompted to decide whether they wish to retain the values of the employee primary assignment for fields, which are not already defined by the application details. The appropriate button should be selected on the popup illustrated above.

A local decision should be made when answering this question. Clicking 'Yes' would transfer a number of data items from the old assignment e.g., some elements, supervisor etc., that may not be appropriate for the new assignment. Check with your ESR and or HR/Payroll Lead about the locally agreed process for this.

Once all of the decision messages have been addressed, the user will be presented with the new assignment details in the Primary Assignment form. In the example below it is possible to see the new 'Effective From' date, which is the 1st September 2012 in the illustration below.



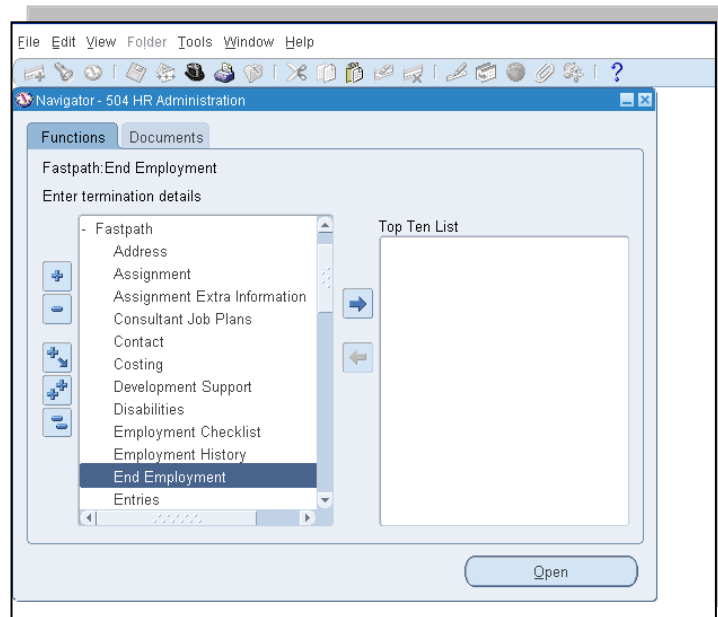
This confirms that the trainee has been hired into their new post.

### 5.3.5. Terminating the Employment

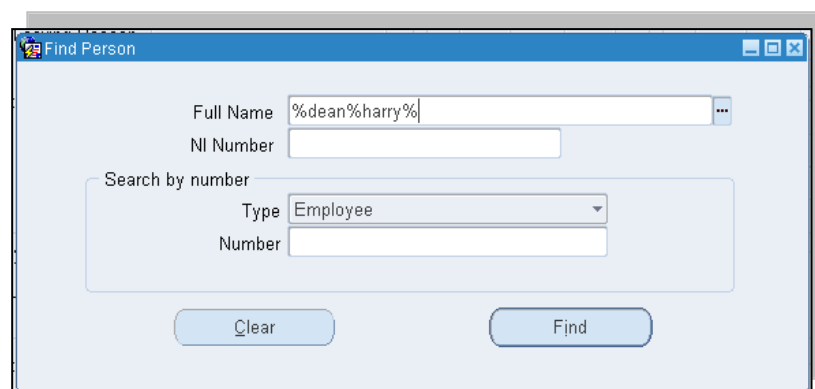
At the end of a DITs placement, their assignment should be appropriately ended. If the trainee is staying within the same organisation (but moving to a different post), their assignment can be ended as described in the previous section by appointing them into their new application. If the DIT is leaving an organisations employment and moving to another employer, their employment should be formally terminated, to remove them from the employer payroll.

To end the employment the user should follow the navigation below:

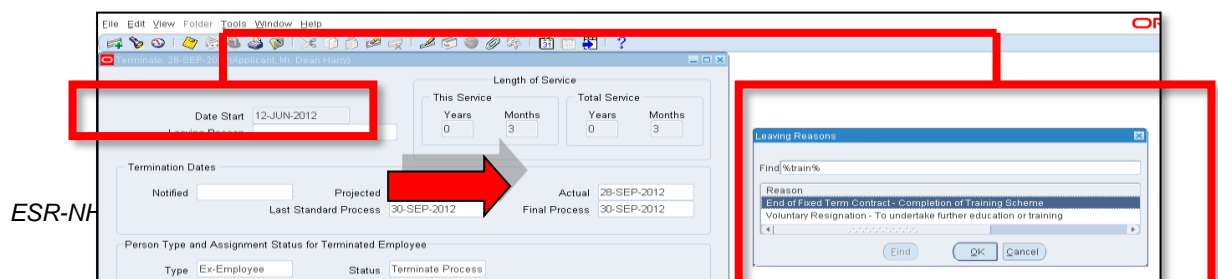
**Navigation: XXX HR Administration > Fast Path > End Employment**



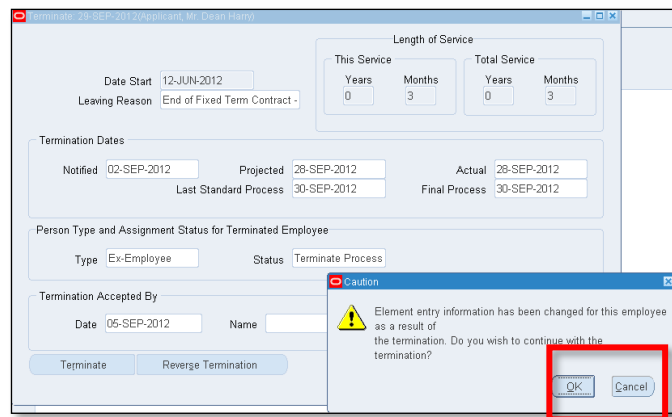
Once the user has selected the End Employment function, they should identify the employee through the 'Find' function. The user should enter the trainee's name and click 'Find'.



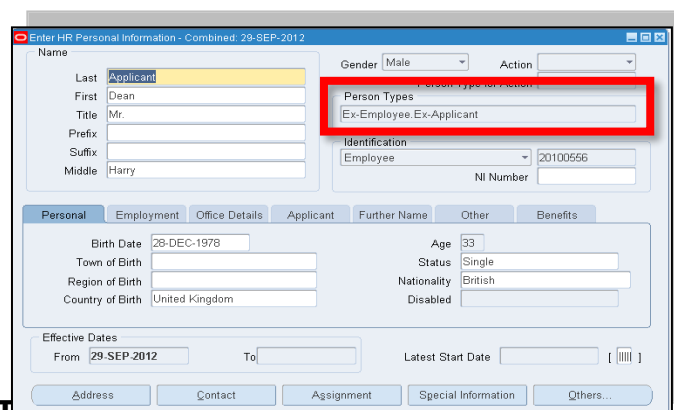
The user will be presented with the 'Terminate' screen. The user should enter the relevant termination dates, ensuring the **Actual** termination date is completed and select an appropriate reason for leaving (the field and the list of values options are highlighted by the red box).



Once the reason for leaving and other appropriate details including completing the Additional Period of Service Details form in the flexfield (red box) have been completed, the user should click on the **'Terminate'** button (shown above near the red arrow). The user will be asked if they wish to continue with the termination. If they are happy to proceed, they should click on the **'OK'** button.



The termination is now complete. If the user date tracks ahead of the termination data in the Enter and Maintain screen, they are able to see the new person type of 'Ex Employee.Ex-Applicant' for the DIT (as shown in the example below within the highlighted 'Person Type' field).



### 5.3.6. Terminating an Appointment/Applicant

Where a DIT withdraws from an appointment into a placement, the MSO will receive the Update to Medical Rotation – Applicant Withdrawn notification. The user is then required to end the

application appropriately. This is an important step as it also ensures that the 'New Starter Notification' is **not** sent to the MSO role in error 5 days before the projected hire date.

The user should access the applicant record within the Recruitment and Applicant Enrolment URP using the following navigation (as described in previous sections).

**Navigation > Recruitment and Applicant Enrolment URP > Enter and Maintain > Application**

The screenshot shows a web application window titled "Application: 21-FEB-2012(Terminate, Mrs. Applicant)". It contains several input fields and buttons. The "Received Date" is set to 15-FEB-2012 and "Projected Hire" is 25-FEB-2012. The "Status" is "Shortlisted 1st Interview". At the bottom, there are three buttons: "Interview", "End Application" (highlighted with a red box), and "Extra Information".

The user should click the 'End Application' button, as shown at the bottom of the screenshot above.

The screenshot shows a web application window titled "Terminate Applicant: 15-FEB-2012(Terminate, Mrs. Applicant)". It has fields for "Received" (15-FEB-2012) and "Terminated" (15-FEB-2012). The "Reason" is set to "Other" and "Status" is "Terminate Applicant". A red arrow points from the "Reason" field to the "Status" field. At the bottom, there are "Terminate" and "Reverse Termination" buttons.

The user will be presented with the Terminate Applicant form (shown above). The termination date should be entered in the 'Terminated' field, and the Reason of 'Other' in the 'Reason' field.

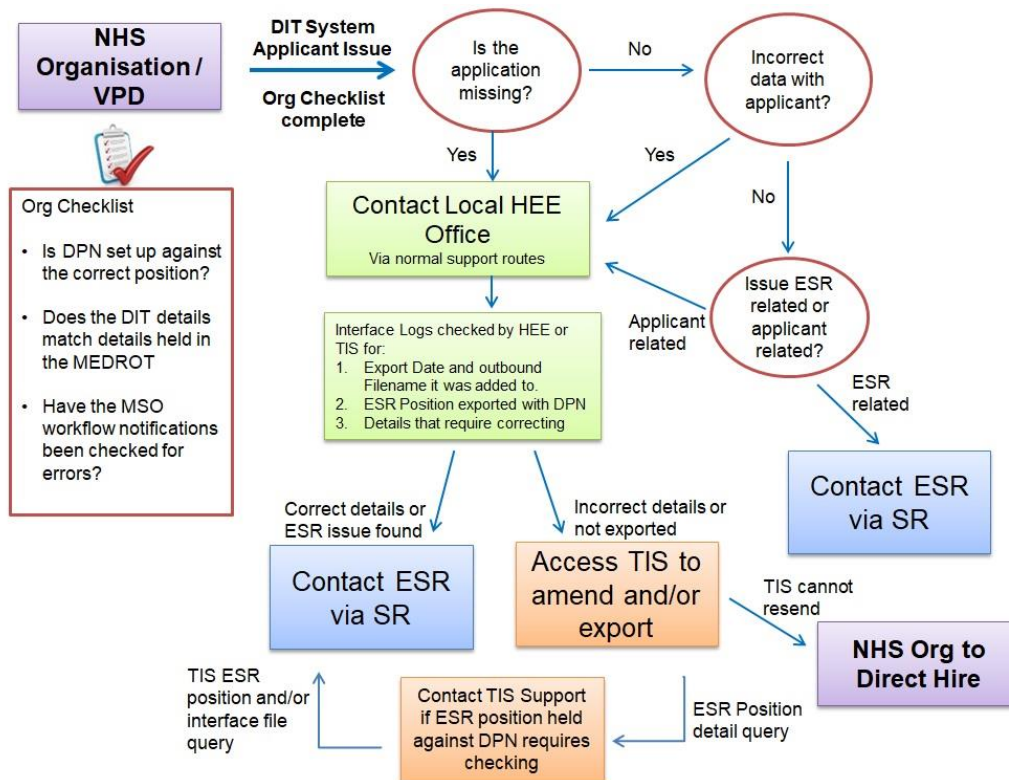
The screenshot shows a web application window titled "Enter Recruitment Personal Information: 22-FEB-2012". It has fields for "Last" (Terminate), "First" (Applicant), and "Title" (Mrs.). The "Person Types" field is set to "Ex-Applicant" and the "Identification" field is set to "Applicant". A red arrow points from the "Person Types" field to the "Identification" field. At the bottom, there are tabs for "Personal", "Employment", "Office Details", "Applicant", "Further Name", and "Other".

As this is associated with the 'Terminate Applicant' form, the user is able to select 'Ex-Applicant' (as shown in the example above) and the user is changed to 'Ex-Applicant' (as shown in the example above).

## 6. ESSENTIAL INFORMATION AND QUICK REFERENCE TROUBLE-SHOOTING GUIDE

In most instances issues with the interface are due to data quality within ESR or the DIT System. As such, these issues can generally be resolved by the user. Consequently users are expected to investigate issues with the interface themselves before contact the HEE / HEIW / ESR Support Teams.

The diagram below provides an overview of key considerations when an issue is encountered and a flowchart of decision routes for those considerations between ESR and HEE:



### 6.1.1. Useful information for Welsh ESR Users

As described earlier, the system used by HEIW is Intrepid. The following section is relevant to users in Wales.



Within the Intrepid system, it is important for the administrator to familiarise themselves with the three main sections of the ESR Interface Main Menu before embarking on use of the interface.

The Heading –

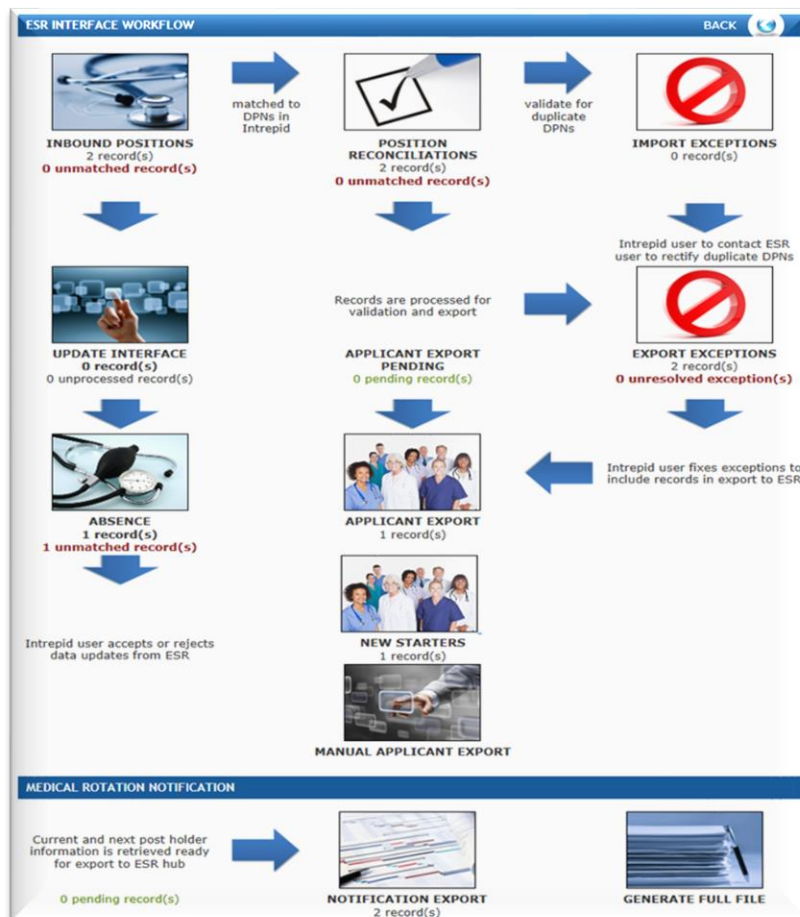
Displays key processing information, such as last processed date etc.



The Workflow –

Displays the ESR process workflow and provides an interactive view to underlying data.

Key items include the Export Exceptions and Import Exceptions which highlight problems to the Intrepid User. There is also a Manual Applicant Export function, which can be used to resend the applicant record.



### 6.1.1. Useful information for English ESR Users

The following section is relevant to users in England where the HEE managed TIS system is in use.



## Hints

The TIS system has 4 exception reports, which aid the TIS user in resolving problems with the interface process. These reports detail Missing Mandatory fields within TIS; Unmatched Deleted DPNs received from ESR; Unmatched Pending DPNs received from ESR and the Applicant Confirmation File Warnings.

The screen shot below shows an example of the reporting functionality in TIS, specifically error reports.

EOE - Missing mandatory fields				EOE - Unmatched Deleted DPNs				EOE - Unmatched Pending DPNs				EOE - APC Warnings			
ID	Tisplacementid	Recordtype	Esvacancyid	ID	Recordtype	Positionid	Deletechangein	ID	Recordtype	Positionid	Deletechangein	ID	Recordtype	Esvacancyid	Esvacancyyr
2.986	554,515	DA	-	10,240	POR	1,468,726	D	12,338	POR	674,914	C	24,907	DA	26	-
2.967	556,689	DA	-	10,365	POR	4,879,849	D	12,381	POR	1,304,654	C	25,323	DA	44	-
2.997	552,273	DA	-	10,472	POR	5,357,129	D	12,392	POR	1,350,930	C	25,324	DA	129	-
3.051	557,366	DA	-	10,484	POR	5,646,136	D	12,393	POR	1,351,023	C	27,455	DA	8	-

### 6.1.2. MSO Notification: Duplicate and Erroneous positions

It is observed that there could be instances of duplicates i.e. more than one ESR positions attached to a single DPN for a VPD in ESR. This could be caused due to user error. Hence a notification will be provided to the medical staffing officers at the VPD to inform where this is the case.

It can be actioned as appropriate on ESR by the MSO i.e. by selecting the duplicate position and either removing the DPN from the Position description, setting an effective end date for the position or deleting it. The notification will be issued to the MSO.

In addition to this, and in order to ensure the quality of information that is entered around DIT positions, a notification will be generated where DPNs / Position titles are found to have erroneous information.

#### Duplicate and/ or Erroneous Doctor in Training Positions in ESR:

The following table presents examples of duplicate and erroneous positions that have been observed in ESR. Duplicate positions are multiple positions associated with a single DPN. Those

which are not required should be End Dated or the DPN removed (therefore removing the association).

Erroneous positions are those where the DPN and/or position title contains erroneous characters or is not in the expected format. In this scenario please review and correct the positions listed below as appropriate.

<b>Duplicate Positions</b>		
<b>Training (Deanery) Post Number</b>	<b>Position Number</b>	<b>Position Title</b>
EOE/R2A00/003/SPR/001	8736325	Specialty Registrar
EOE/R2A00/003/SPR/001	3846736	Specialty Registrar
EOE/R2A00/084/SPR/001	9583632	Specialty Registrar (Core Trainee)
EOE/R2A00/084/SPR/001	2374633	Specialty Registrar (Core Trainee)
<b>Erroneous Positions</b>		
<b>Training (Deanery) Post Number</b>	<b>Position Number</b>	<b>Position Title</b>
<b>DNM/SUPERNUMERARY</b> Minimum of 4 parts required	3846736	3846736 D-Specialty Registrar (Sup) 080 Clinical Radiology
<b>MAN/TOBECONFIRMED</b> Minimum of 4 parts required	9583632	9583632 D-Specialty Registrar (ST3+) 091 Neurology
<b>EOEXRCX00/052/FY7/701</b> First part must have 3 characters	2374633	23746333 D-Specialty Registrar (Sup) 080 Clinical Radiology

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## 7. IMPLEMENTATION CHECKLIST

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The answer to each of the questions below should be yes, in order to proceed with the implementation of the interface process.

- Have you informed the HEE of your intention to activate and use the Streamlined ESR DIT Interface?
- Does the Medical Staffing Officer (or other individuals responsible for the recruitment of DITs) have access to the Recruitment Administration URP and do they know how to use it?
- Have you set up all ESR positions relating to the DITs by entering the DPN into the position descriptions? You can raise the Mass Update Service Request (SR) to add DPNs to ESR positions if this involves over 100 positions.
- Have you ensured that the DPN / posts and positions are 'Active'? Also, the ESR positions are set to 'shared'.
- Have you altered all of your training posts, which were previously established as 'Bucket Posts' to individual posts?
- Have you allocated the new 'Medical Staff Officer' Notification role to someone within your Trust?
- Have you raised an SR with the NHS ESR Systems Integration Team to notify them of your wish to go live with the Streamlined DIT Interface?
- Have you confirmed your approach on rotating Doctors internally?
- Have you added the Workplace Organisation Code onto your ESR Positions where you host on behalf of another NHS Trust, such as a Lead Employer arrangement?
- Have you agreed the use of the Pre-employment IAT for rotating DITs externally during their training programme?

Have you received notification from your partner HEIW / HEE region of the posts you will be hosting on their behalf?

Are you aware which HEIW / HEE region manages each of your training posts?

For example, sometimes, training posts are managed by a HEIW / HEE region which sits outside of your Geographical Area, but the post has a local DPN. **All DPNs which are managed in this manner, i.e. a local training post managed by a non-local HEIW / HEE region must be managed by ensuring that the ESR Position form holds the correct managing HEE region details.** This will ensure the Update interface file is sent to the correct region in order to update DIT information.

Has an agreement been reached on management of training post which require training outside of the organisation?

For example a programme run and hosted within your trust, but part of that training involves a placement off site

or

Only part of the programme is run within your organisation, but then the remainder of the placement and pay arrangements are managed by an external trust.

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## 8. FREQUENTLY ASKED QUESTIONS

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### 8.1. BUSINESS PROCESS

- ***How can our trust make use of the ESR Recruitment Module, as we do not currently use this functionality in ESR?***

The Recruitment module is available to all Employing Authorities as part of the whole ESR solution, and can be utilised at any time. The local ESR Administrator is able to allocate the Recruitment and Applicant Enrolment Administration URP and MSO Notification Role to the appropriate users and no additional setup is required to begin using the module, though some local training may be required.

- ***Do I have to ask the NHS ESR Systems Integration Team to switch the functionality on?***

In order to utilise the Streamlined DIT Interface process, the ESR NHS Systems Integration Team requires a Service Request to be raised on the ESR Helpdesk. This will prompt the team to start the implementation process for the Streamlined DIT Interface process. Please refer to the Implementation Checklist section.

- ***Does the Streamlined DIT Interface process require users to create a vacancy and requisition recruitment activity?***

The streamlined process does not require ESR users to create a vacancy, vacancy requisition and recruitment activity in order to initiate the interface. The streamlined interface process uses the position number and identifier as a matching key to allow the transfer of information automatically. A user can still create a vacancy if that is what your local process determines and organisations that have not upgraded to the new process will still need to create a Vacancy/Vacancy Requisition.

- ***What happens for a DIT if their post sits within a University or Hospice (or other NHS site)? Will these appear in ESR?***

Users will now need to enter the Workplace Organisation Code ('Workplace Org') on the position DFF for those positions that are paid by their Employing Authority but where the work is actually undertaken on a location managed by another Employing Authority. This additional data item enables users to comply with the following annual Medical & Dental Workforce Census requirement:

Please ensure all re-charge doctors who are directly paid by your organisation are included. In the case of Lead Employer arrangements it is necessary for the Lead Employer to create an Employee Record and the local organisation may wish to create an honorary (non paid) record in ESR. (Further guidance on this approach is provided separately).

- ***How will the interface affect Lead Employer trusts, where the training posts are physically based at a different NHS Organisation?***

It is now possible to record whether you have a host arrangement for a training post within your ESR VPD. This information enables HEE / HEIW to share information with the lead and host employers.

- ***What happens if I received late notification of a new starter from the HEE / HEIW the day before they are due to commence work?***

Use ESR's Direct Hire Functionality. It is important to note that applicants in ESR cannot be hired on the same day as their applicant assignment is created, as an overnight process has to be run before this is possible.

- ***What happens to the Deanery Post Number once the applicant leaves their post? Is it recycled?***

HEE / HEIW employ the principle that the DPN is applied to the post and **not** the person. Therefore, when a person leaves a post, the DPN will continue to apply to that post but is no longer associated with that particular individual. The DPN reference is therefore re-used when the next DIT is assigned to that position.

- ***How will ESR deal with the issue of DITs rotating within one trust? For example working in three different departments/wards within a trust over a year and how the costing of this is to be handled to ensure that the correct information is transferred to the general ledger?***

The Streamlined DIT Interface process supports internal rotations process. If a DIT is staying with the same employer, but moving to a different post, the new functionality should be utilised. The Streamlined DIT Interface process will create an application for an existing employee. The ESR user may then hire the trainee into the new post on the projected hire date.

- ***I understand that it is proposed that the Deanery Post Number must be linked to a position on ESR. Is this correct? If so, how can I do this?***

In order for the interface to work correctly you must apply the correct to each training position within ESR. Please refer to earlier sections for further details.

- ***What action should our organisation take if a Deanery Training Post is removed?***

Using the Local Workstructures Admin URP, there are two options that your ESR Workstructures Lead may pursue. They may either:

- Deactivate the post by moving to the appropriate date (using the date tracking tool) and add an End Date to the position – The user should ensure that there is no one actively employed in the post prior to end-dating the post. The benefit of this approach is that you will retain the history that the position was a Deanery Training Post and no-one can be inadvertently allocated to it.

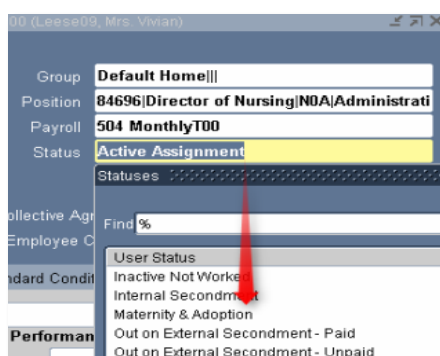
Or

- Retain the position as an active post and simply remove the reference to the Deanery Post Number, Managing Deanery Body field and Host/Lead Employer Flag. The advantage to this approach is that the post may still be occupied by other non-training employees.

Both options will result in the post being removed from the Streamlined DIT Interface process. Consequently, it will not be possible to transfer information (via the DIT Interface) into or out of ESR for this position or any trainee who may be due to occupy this post.

- ***What should I do when a DIT goes on maternity, parental or adoption leave?***

The DIT's assignment status in ESR must be updated to 'Maternity & Adoption'. This status is then subsequently picked up by the outbound portion of the interface, notifying HEE / HEIW that the person has gone on leave. This enables a replacement to be recruited against the original DPN using the recruitment interface.



- ***Should we create a new position for Locum against Service (LAS) positions?***

Yes; as LAS positions are not recognised training posts, organisations are advised to create and recruit to a new position for this scenario. Many of the LAS position details may be copied from the original training position but the LAS position must be given an Occupation Code and a Subjective Code which identifies it as a Locum post and it must not be given a DPN.

- ***Should we create a new position for Locum against Training (LAT) positions?***

No. LAT posts are recognised training positions and appointments are made by the HEE / HEIW. The position must be given a DPN in order for the interface system to operate. LAT applications will be created via the Streamlined DIT interface as per the usual process for all recruits to recognised Medical & Dental training posts.



Although it is not necessary to create a new position, you should ensure that the Locum version of the appropriate Occupation Code and Subjective Code is applied to the position for the period in which it is filled by a Locum as this information is used in local, regional and national analyses. Remember to update the Occupation Code and Subjective Code whenever a subsequent assignment is made to the position. If the position is no longer being used for a LAT appointment then the Occupation Code and Subjective Code should be changed back to the non-Locum version. This process will ensure that HEE / HEIW and also reporting at local, regional and national level will always receive and/or reflect the appropriate data.

- ***What should we do when two people are allocated to the one position i.e. a job share?***

It is possible for ESR to hold two or more employee records (assignments) against the same Position with a single DPN, as long as the position type is 'shared' in ESR Workstructures (**Note:** A post set up as 'single incumbent' will not allow two people to occupy the same post). This approach should be employed to accommodate Flexible Trainees. However, it is advised that the Trust are careful when they set up these records, to ensure the correct number of hours and remuneration are applied to the Employee assignment.

- ***How will the interface work when a training post is managed by a HEE / HEIW region with a different Deanery Body code to that within the DPN? For example, an East of England post which is actually managed by the London Deanery.***

In this event the Managing Deanery Body field in ESR should be populated. The Managing Deanery Body field is held in ESR on the same form where the DPN is currently recorded. When this field is completed, the interface will override the DPN and use the Managing Deanery information to allow the interface to report the position and person information outbound via the correct regional file. The Trust must ensure the Interface is activated for both regions to include all information outbound to the DIT System and allow all applications to be received inbound.

In the example above, the DPN field should be completed with the East of England Post number, but the London Deanery value should be selected in the Managing Deanery field thus allowing London Deanery to receive the interface updates.

- ***Currently our Trainee posts have many different pay scales that could be applicable to one Deanery post. Is it possible to specify multiple pay scales (i.e. mark valid grade on the position set up)?***

Yes, it is possible to set up a Position with a number of valid pay scales (Grades); with the appropriate one being selected for each Assignment in order for the person to receive the correct payment. This flexibility in ESR means that it is not necessary to create a separate

version of the Position for each possible Grade that may be required. However, it is important to consult with your Finance Team, as this will have a direct impact on the use of subjective codes, ledger and budget reports.

- ***If a trainee occupies a post that does not contain a Deanery Post Number, but in the next rotation is allocated to a post that does have a DPN, will the existing employee record be matched with the new applicant record?***

ESR will match existing records by comparing the all existing records in the VPD and the:

- Date of Birth matches
- Surname matches (case insensitive)
- First name matches (case insensitive)
- National Insurance Number (where provided)
- GMC Number

If a match is found, an applicant assignment will be created against the existing employee record.

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## **9. USEFUL CONTACTS AND OTHER INFORMATION**

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<b>Name</b>	<b>HEE / HEIW Region</b>	<b>Deanery</b>	<b>HEE / HEIW Region Code</b>	<b>DIT System</b>
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<a href="mailto:James.harris@hee.nhs.uk">James.harris@hee.nhs.uk</a>	HEE West Midlands	West Midlands	WMD	TIS
<a href="mailto:TISsupport.North@hee.nhs.uk">TISsupport.North@hee.nhs.uk</a> (Lynn Bradley) <a href="mailto:Laura.Sams@hee.nhs.uk">Laura.Sams@hee.nhs.uk</a>	HEE North East	Northern	NTH	TIS
<a href="https://lasepgmdesupport.hee.nhs.uk/support/home">https://lasepgmdesupport.hee.nhs.uk/support/home</a>	HEE Kent Surrey & Sussex	Kent Surrey & Sussex	KSS	TIS
<a href="mailto:ThorburnTI@cardiff.ac.uk">ThorburnTI@cardiff.ac.uk</a>	Health Education and Improvement Wales	Wales	WAL	Intrepid
<a href="mailto:imsupport.south@hee.nhs.uk">imsupport.south@hee.nhs.uk</a>	HEE South West	Severn	SEV	TIS
		South West Peninsula	PEN	
<a href="mailto:imsupport.south@hee.nhs.uk">imsupport.south@hee.nhs.uk</a>	HEE Thames Valley & Wessex	Wessex	WES	TIS
		Oxford	OXF	
<a href="mailto:Gwilym.williams@hee.nhs.uk">Gwilym.williams@hee.nhs.uk</a>	HEE East Midlands	North	EMD	TIS
<a href="mailto:David.short@hee.nhs.uk">David.short@hee.nhs.uk</a>	HEE North West	North Western	NWN	TIS
		Mersey	MER	
<a href="mailto:Helan.raynor@hee.nhs.uk">Helan.raynor@hee.nhs.uk</a>	HEE Yorkshire & Humber	Yorkshire & Humber	YHD	TIS
<a href="mailto:James.harris@hee.nhs.uk">James.harris@hee.nhs.uk</a>	HEE East of England	East of England	EOE	TIS
<a href="https://lasepgmdesupport.hee.nhs.uk/support/home">https://lasepgmdesupport.hee.nhs.uk/support/home</a>	HEE London	London	LDN	TIS

**NHS ESR Systems Integration Team Contact:**

[ESR.interfaces@nhs.net](mailto:ESR.interfaces@nhs.net)

To report an issue with ESR or request activation or mass update, please raise a service request with the ESR Service Desk.

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## 10. APPENDIX

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### 10.1. APPENDIX 1 - ESR AND TIS USER JOURNEY FLOW DIAGRAM

