

# Streamlined Doctors in Training Interface

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## Implementing the Interface

### How do I switch the interface on?

In order to utilise the Interface, a Service Request should be raised on the ESR Helpdesk.

**Please raise a Service Request under the following offering: Request a Service – Junior Doctors Interfaces.**

### How will I know who to contact if any issues arise?

In the first instance, please review the supporting material available on the My ESR Hub (<https://my.esr.nhs.uk>) to support local investigations into any issues you may identify or questions you may have. The resources can be found in 'Explore Resources' > 'ESR Functionality Guidance' > 'Doctors in Training'.

The ESR-NHS0111 – The Streamlined ESR and Deanery System Interface Guide contains a Support Diagram in Section 6 which may be of use, along with detailed guidance on how the interface operates.

If your query relates to the ESR system, notifications received within ESR or setup within ESR, please raise an SR with the ESR Service Desk.

If your query relates to DPNs, data quality or local processes, please contact your local HEE Office/Deanery.

In addition, please see the link below for captivate sessions that will walkthrough key ESR and Doctors in Training activities:

<https://www.roadmapeducation.online/esrlearning/DIT%20Captivates.zip>

## General – About ESR

### How can our trust make use of the ESR Recruitment Module, as we do not currently use this functionality in Medical Staffing/HR?

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 Medical Staffing Officer Notification Role to the appropriate users and no additional setup is required to begin using the module, though some local training may be required.

## General – About the Interface

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

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

## **How will ESR deal with Trainees rotating between different departments/wards within one NHS Organisation and ensure the costing of this is handled correctly and transferred to the general ledger?**

The Interface process supports internal rotations. If a trainee is staying with the same employer, but moving to a different post, the interface can be used and 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. Further information about this process can be found in our e learning module: Junior Doctor (Doctors In Training) Interface – Hiring an Existing Employee.

## **When should I expect my placement applications to be received in ESR before a rotation?**

HEE prepare the vast majority of placements within the Trainee Information System (TIS) to be released around 12/13 weeks before a placement start date. This means you should receive the majority, if not all, of your placements in ESR at this point in time. Please contact your local HEE Team if you do not believe this has happened.

Note: the interface looks at the projected start date of the placement to determine when to start sending applicants from TIS to ESR i.e. 12/13 weeks prior to the projected placement start date. Applicant data will continue to flow from TIS to ESR up until 2 days before the projected start date of the update, thereby capturing any updates to positions or applicants as necessary.

## **How will I know which placement applications have been successfully processed by the interface and which may have been rejected?**

Once set up, ESR staff with the Medical Staffing Officer (MSO) role will receive ESR workflow notifications that detail which applicants have been successfully received (ready to hire) and also which have been rejected by the system, with the reason why included. The rejections may then need to be direct hired in ESR at the earliest opportunity.

## **What happens if I received late notification of a new starter from the HEE Local Office/Deanery i.e. the day before they are due to commence work?**

You will need to use ESR's Direct Hire Functionality as it would be too late for the applicant record to be transferred automatically via the Interface. It is important to note that the applicant record has to exist in ESR 2 days before the projected start date. Applicants in ESR cannot be hired on the same day as they are received (on the day their applicant assignment is created) as an overnight process has to be run before this is possible. To support this, HEE have applied validation in TIS to only export applications up until 2 days before their projected hire date.

## Deanery Post Numbers (DPNs) and ESR Position Management

### What is the link between Deanery Post Numbers ESR Positions?

In order for the interface to work correctly you must apply the correct Deanery Post Number (DPN) to each training position within ESR. **Please note that there should be a one to one mapping between the position number and the DPN.** The same DPN should not be assigned to multiple position numbers. These are duplicate positions and ESR will produce a weekly notification where duplicate positions exist in a VPD prompting MSOs to tidy these up.

### Does this mean we have to create a unique position for each employee, even if they are on the same role on the same organisation?

No, as above, the 1:1 relationship is between the ESR position and the DPN. Multiple trainees can accommodate a single ESR position – if they are sharing a training post.

### Where do I get the DPN details from?

Your local HEE Office will provide details of DPNs relevant to your NHS Organisation. Alternatively, HEE may grant you access to obtain the DPN information directly. Please contact your local HEE Office for queries around this.

### Who is responsible for inputting the DPN details into ESR?

The Workstructures Lead is responsible for input of the DPNs into ESR.

### In order to set up my positions correctly for the interface, I need to un-bucket my current positions within ESR. How can I manage establishment controls without using bucketed positions?

It is entirely possible to maintain establishment controls using un-bucketed positions following your normal process. Whereas previously you may have had one bucket position with an establishment of 10 and an actual headcount of 6, for example, you could now have 5 positions which correspond to the DPNs provided by your local HEE Office. 4 of those positions could have an establishment and actual of 1, while the other position could have an establishment of 6 and an actual of 6. This can be altered as required.

You will be able to report on these positions within BI as before.

Position

Name 231995|01 Staff Nurse Band 6|N2C|Maternity

Open  Under Review  Approved Future Actions

Position Details **Hiring Information** Work Terms Additional Detail Budgets

Start Date 01-JAN-2008

Date Effective Name 231995|01 Staff Nurse Band 6|N2C|Maternity

Type None  Permanent  Seasonal

Organization & Job

Organization 104 Midwifery Team Proposed End Date

Job Nursing and Midwifery Registered|Staff Nurse Proposed End Date

Hiring Status

Status Active Start Date 01-JAN-2008 Proposed End Date

Location 104 ESR Hospital Status

Effective Dates From 13-FEB-2020 To Further Info [ NH ]

Extra Information Valid Grades Others...

Position

Name 231995|01 Staff Nurse Band 6|N2C|Maternity

Open  Under Review  Approved Future Actions

Position Details **Hiring Information** Work Terms Additional Detail Budgets

FTE 1 Headcount 1 Bargaining Unit

Earliest Hire Date Fill by Date  Permit Recruiting

Proposed Entry Salary

Payroll 504 MonthlyT01 Salary Basis

Grade NHS|XR06|Review Bod Step Grade/Scale Rate

Value Grade Rate Range

Probation

Duration Duration Unit

Overlap

Duration Duration Unit

Proposed Layoff

FTE Date

Extra Information Valid Grades Others...

Entering a total FTE to be used as a funded/budgeted value for the position will enable establishment control by providing reporting details of the Funded versus the Actual FTE values. Where a one to one relationship between the position and the employee is being utilised, the establishment entered should be as '1'.

### Do I need to un-bucket ESR Positions for Bank staff?

No, this is not necessary as you will not be using the interface to manage your Bank staff. This will continue to be managed locally.

### How should we manage GP trainee posts?

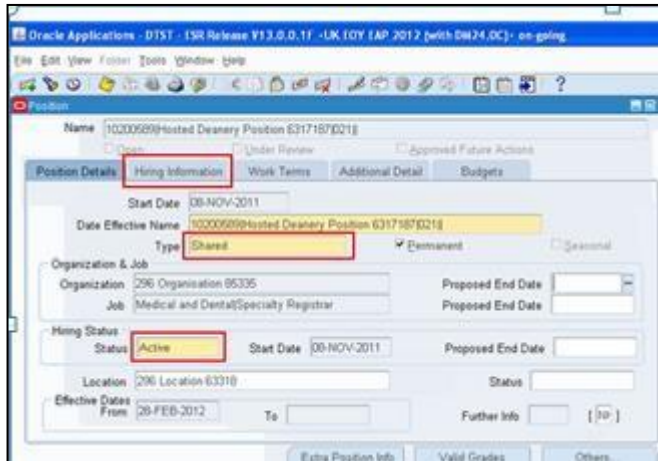
GPs are generally out of scope for this implementation, but would encourage you to discuss this with your local HEE Office to clarify.

### Does the interface support job shares?

Yes, the interface supports job shares. In this case the position will need to be set up in ESR as a **shared** position. The example is shown below. The position will be associated

with a single DPN. In HEE, the post (DPN) could be allocated to multiple individuals who are working on a less than whole time basis. Hence more than a single applicant record could be received for a single ESR position number and a single DPN.

**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. It is advised to setup positions with a type as either 'shared' or 'none'.



## 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 Interface process. Consequently, it will not be possible to transfer information via the interface into or out of ESR for this position or any trainee due to occupy this post.

## How do I remove a position from the interface?

Based on the instructions provided above, please find some step by step descriptions on how to action both options:

## Option 1 – end date the position

1. Use the Position Description navigation path to open the Position form.
2. Retrieve the relevant Position using the Find a Position instructions.
3. Make sure the details showing are for the required Position record.

Position

Name 11153347|AFC Staff Nurse|N6A|General Medicine

Open  Under Review  Approved Future Actions

Position Details Hiring Information Work Terms Additional Detail Budgets

Start Date 01-JAN-1951

Date Effective Name 11153347|AFC Staff Nurse|N6A|General Medicine

Type None  Permanent  Seasonal

Organization & Job

Organization 050 Hospital A Proposed End Date

Job Nursing and Midwifery Registered|Staff Nurse Proposed End Date


Hiring Status

Status Active Start Date 01-JAN-1951 Proposed End Date 31-DEC-2100

Location 050 Location\_A Status

Effective Dates From 01-JAN-1951 To Further Info [ NH ]



Extra Position Info Valid Grades Others...

4. Click in the  icon in Status field within the Hiring Status area and select either Eliminated or Frozen.
  - Eliminated– the position is no longer in use and will not be required in the future. A position cannot be reactivated when it has been eliminated.
  - Frozen– no new incumbents can be placed in the position.
5. If the position has been set up by mistake or never approved, use the Delete status – do NOT use this status in any other circumstance.
  - Deleted– A position can only be deleted before its Start Date and cannot be reactivated when it has been deleted.
6. The following option box will appear.

Choose an option:

Keep history of existing information

Correct existing information

7. Click on the appropriate button – normally Update would be the choice.
8. Click in the Proposed End Date field and enter the required end date.
9. Click on the  icon to Save the record.
10. Click on the  icon to Close the form.

## Option 2 – remove the DPN

1. Go into your local Workstructures URP. Search for the position:

Position

Name 231995|01 Staff Nurse Band 6|N2C|Maternity

Open  Under Review  Approved Future Actions

Position Details Hiring Information Work Terms Additional Detail Budgets

Start Date 01-JAN-2008

Date Effective Name 231995|01 Staff Nurse Band 6|N2C|Maternity

Type None  Permanent  Seasonal

Organization & Job

Organization 104 Midwifery Team Proposed End Date

Job Nursing and Midwifery Registered|Staff Nurse Proposed End Date

Hiring Status

Status Active Start Date 01-JAN-2008 Proposed End Date

Location 104 ESR Hospital Status

Effective Dates From 01-JAN-2008 To Further Info [ NH ]

Extra Information Valid Grades Others...

2. Click on “Extra Information” and then on “Medical and Dental Post Details”

Extra Position Information(231995|01 Staff Nurse Band 6|N2C|Maternity)

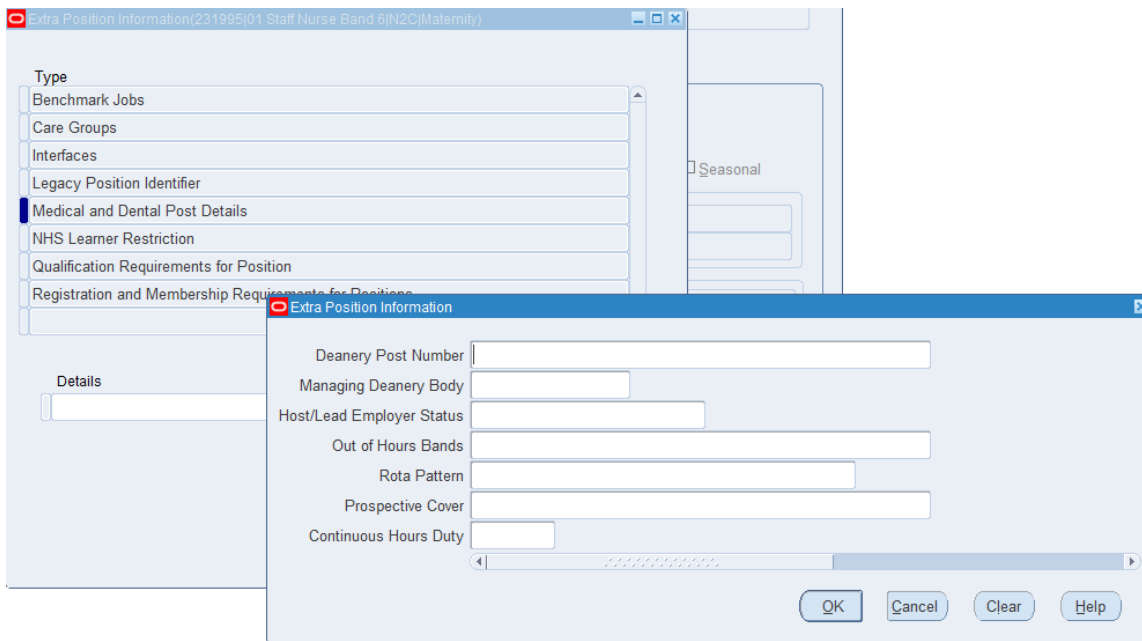
Type

- Benchmark Jobs
- Care Groups
- Interfaces
- Legacy Position Identifier
- Medical and Dental Post Details
- NHS Learner Restriction
- Qualification Requirements for Position
- Registration and Membership Requirements for Positions

Details [ NH ]

3. Click in the “Details” bar and then remove the DPN from the “Deanery Post Number” field to make sure it is blank. This way, there can’t be a DPN associated with that position. Feel free to remove all the other information as well. Click OK.





## What happens to the Deanery Post Number once the applicant leaves their post?

The HEE Local Offices/Deanery across England and Wales employ the principle that the Deanery Post Number is applied to the post and **not** the person. Therefore, when a person leaves a post, the Deanery Post Number 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 doctor is assigned to that position.

## 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 Deanery Post Number (DPN).

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

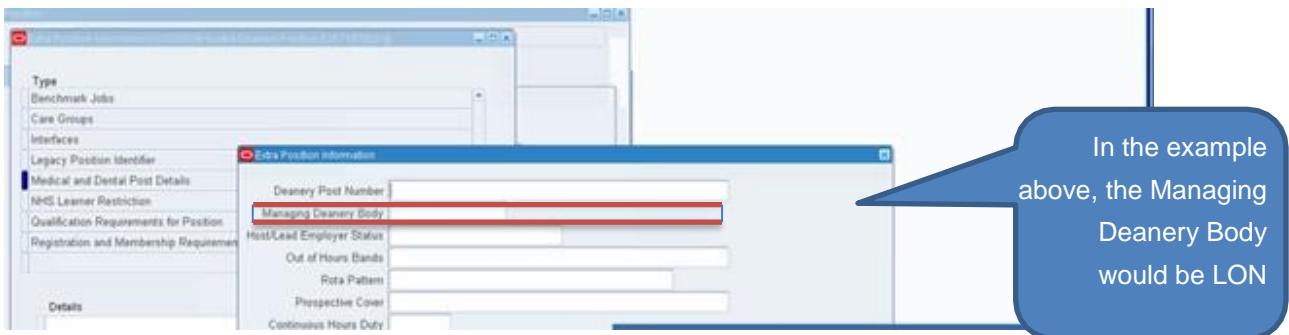
No. LAT posts are recognised training positions and appointments are made by the HEE Local OFFICE/Deanery. The position must be given a Deanery Post Number (DPN) in order for the interface system to operate. LAT applications will be created via the interface as per the usual process for all recruits 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 the HEE Local

Office/Deanery System and also reporting at local, regional and national level will always receive and/or reflect the appropriate data.

**How will the interface work when a training post is managed by an HEE Local Office/Deanery with a different Deanery code to that within the training number e.g. 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 Deanery Post Number is currently recorded. This will allow the interface to post the vacancy file to the correct HEE Local Office/Deanery System. When this field is completed, the interface will override the DPN and use the Managing Deanery information as the destination for the vacancy file. In the example above, the Deanery Post Number field should be completed with the East of England Post number, but the London Deanery value should be selected in the Managing Deanery field, 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; 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.

**Where a DPN is being shared by two part-time members of staff, how do we setup a position to accommodate two different pay scales i.e. MS03 and MN37?**

Allocation of a pay grade is executed at the hire stage. As long as multiple grades are set up against the ESR position, it is possible for the user to hire the new starter in the default paygrade (for example MS03) or select an alternative (for example MN37)

**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 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.

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

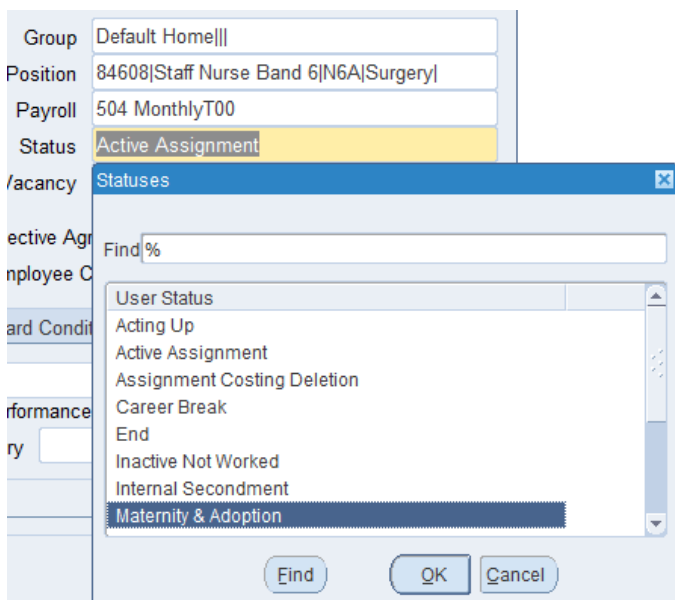
Users will need to enter the Workplace Organisation Code ('Workplace Org') on the position DFF for those positions that are paid by their Employing Authority, but where the work is actually undertaken on a location managed by another Employing Authority. This additional data item satisfies not only the Data Warehouse requirement to be able to report on a person's actual Workplace Organisation as distinct from their Employing Organisation, but also NHS Digital reporting requirements, NHS Improvement Model Hospital activity unit costs and for calculating NHS Litigation Authority premiums.

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/ host organisation may wish to create an honorary (non-paid) record in ESR.

## Special Leave

### What should I do when a trainee goes on maternity, parental or adoption leave?

The trainee's assignment status in ESR must be updated to 'Maternity & Adoption' and a mechanism outside of the interface will need to be employed between HEE and the Trust to communicate information about absences.



### If a trainee is on maternity leave or sharing an ESR position, are both trainees shown against the position?

Within ESR it is possible to capture both a trainee who is on maternity, by using the 'Maternity and Adoption' status, whilst the covering trainee is also attached to the same post. However, it is important for you to discuss and agree your approach with the Local HEE Office, to ensure their approach with recording the maternity trainee on TIS fits with your approach within ESR.

### What happens where two members of staff are assigned to one DPN where one is on maternity leave and the other is providing cover, but remains on rotation, if the maternity member of staff is remaining in the current post, but the cover is moving to another? How does ESR/TIS identify which member of staff is moving and which is staying given that they both have the same DPN number?

Each trainee has their own projected start and end dates associated with their employee assignment within ESR, even in the case of a job share or flexible trainee – where multiple trainees are appointed to the same post within TIS and ESR. In the scenario described, if the flexible trainee on maternity has their end date extended, because they are not in work to fulfil their next rotation (and will remain in their original post), but the other trainee who

shares the post is due to rotate, then we would expect the projected end date for the trainee on maternity to be extended within TIS. The other flexible trainee moving forward to their next rotation will have their new appointment created within ESR by the interface creating an application record for their next post. Subsequently these changes will be highlighted by notifications within ESR. However, it is important that you discuss this scenario with your local HEE office to understand their approach to managing this data within TIS, to ensure the approaches are aligned.

## Notifications

### **Will I receive notifications automatically? How do I access notifications?**

A number of different user roles can be set up in ESR which serve different functions. One of those roles is the Medical Staffing Officer role. In order to receive notifications generated by the Interface, appropriate individual(s) need to be associated to the Medical Staffing Officer role e.g. Workforce Planning, Medical Staffing etc – the decision on who to allocate to the role should be made locally.

The interface will produce notifications around the change of start date or change of end date, notifications about withdrawals and replacements and about new DPNs created. There is a Medical Rotation spreadsheet that will also be available. This provides the current and next placement grid for the NHS organisation. Access to this is via a username and password which will need to be obtained by raising an SR with the ESR service desk.

### **What information is available about the different notifications that MSOs receive?**

An NHS ESR Workflow notifications guide is available on request. Please raise an SR with the ESR support team for the ESR NHS0060 Workflow Notifications Guide.

### **What information is available about WTE?**

ESR currently receives information about the WTE for the next placement on the notifications file from HEE. This is displayed on the Medical Rotation spreadsheet against the next placement.

### **What do I do when I am notified that an applicant hasn't loaded successfully in ESR?**

It is not currently possible for HEE to manually resend applicants that have failed to load successfully into ESR via TIS, on the first attempt. As a consequence, this applicant will have to be directly hired into ESR and details of applicants manually entered into ESR. Where you see a repeated occurrence of issues, which cause applicants to fail to process successfully within ESR, please notify your HEE local office so that steps can be taken to improve the data quality and minimize unsuccessful loads.

### **What if the MSO role in ESR is receiving notifications for non-medics?**

If the MSO role is receiving notifications that are not appropriate, please consult the ESR User Manual and the ESR Workflow Notification Guide (ESR NHS0060 Workflow Notifications Guide) and set up roles accordingly. The ability to set users into roles lies with individuals that are set up with System administrator access in ESR in your organisation.

### **What happens if an MSO does not know how to progress a notification?**

MSOs could reassign the notification to an individual better placed to action it.

## Information flows between TIS and ESR

### **On the interface from TIS to ESR, how will TIS know the position numbers needed for each Trust?**

Once the interface is enabled, ESR automatically sends them a daily extract of your ESR position details, where there is a Deanery Post Number captured within the position record. This is the link we use to enable the interface process, subsequently allowing trainees to flow back into ESR.

### **When TIS sends training data to ESR, does it send trainee details to both the employing body and the training body?**

The interface process is designed to accommodate a feed to both host and lead employer. However, it is dependent on the DPN being captured in both ESR VPDs for the Lead and the Host Employers. Where this setup is undertaken a trainee record will flow out to both employing authorities.

### **What application status does the applicant have when created in ESR? Is it automatically set at Offer Accepted?**

No, it is set to 'Preferred Applicant'.

### **Does NI number and date of birth transfer into ESR from TIS?**

If this data is present in TIS at the point of transfer, both Date of Birth and National Insurance Number will be transferred into ESR.

### **Can I run the IAT at the pre-employment stage and how will this impact the IAT Dataset for Statutory and Mandatory Training? For example, would this cause a need for the L&D department to input the information manually for training completed after the initial IAT process has been run?**

The IAT process should be run at the pre-employment stage to facilitate transfer of the pre-employment data set such as OH imm's and checks and Statutory and Mandatory training. Updates to Statutory and Mandatory training that take place after the pre-employment IAT has been run are sent via notifications to the "Multi-Employer Comp Update" role who can then accept or reject them, which updates the trainee's record as appropriate.

### **What is the Person Updates functionality? What does this mean for me?**

The TIS/ESR interface originally operated predominantly inbound to ESR: ESR received applicant information from TIS for Doctors in Training, but it did not feedback information about these trainees to TIS (HEE). Whilst operating in this mode, the only data that was being shared by ESR with TIS (outbound) was data about the ESR position, and not information about the individual occupying that position.

The Person Updates functionality allows data about employed doctors in training to be

synchronised between TIS and ESR. This means that ESR exchanges a wider set of information with TIS (HEE), including: personal information, address details, professional registration details and absence details, among others upon hire. The functionality became available from November 2020 with a small proportion of person updates and will continue implementation to achieve full capability early in 2021.



## Using TRAC with the Streamlined DiT Interface

**My organisation uses TRAC for the management of Doctors in Training pre-employment checks. Can I still use the interface between ESR and TIS?**

Yes, it is possible to use both interfaces at the same time, but certain steps should be taken to prevent duplicate applicant records being created in ESR.

Currently, some NHS Organisations have deployed a workaround solution to automate the transfer of pre-employment checks from TRAC to ESR, while also using the interface between ESR and TIS.

This involves creating dummy requisitions and vacancies in ESR which will transfer to TRAC via the E-Recruitment interface. The Trust then upload a Doctors in Training file to TRAC and carry out the pre-employment checks. Because the Trust has created a dummy ESR vacancy, the applicant records for these trainees are passed back to ESR via E-Rec. At the same time, TIS is sending applicant records via the Streamlined Doctors in Training interface.

Therefore, **duplicate applicant records** are created in ESR. This approach is shown below and should **NOT** be followed. The red box indicates the part of the flow which is not recommended.

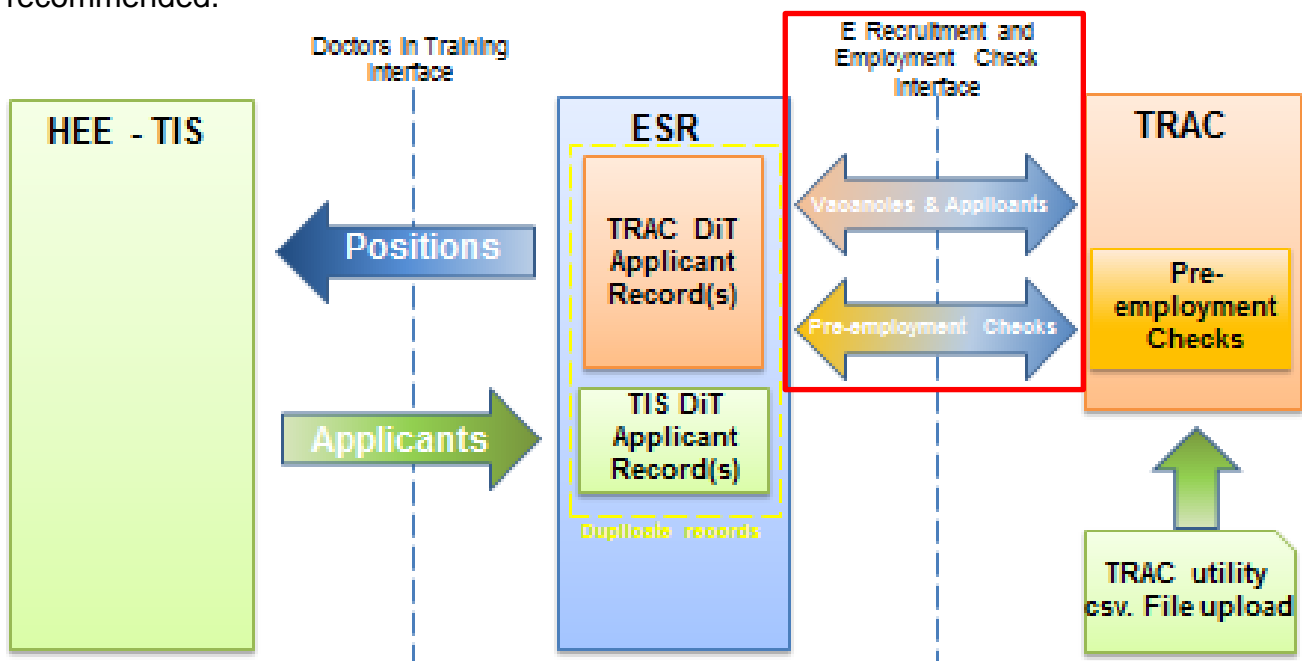


Figure 1: Incorrect approach which results in duplicate records. This is NOT recommended.

The manipulation of the E-Rec interface, as described above, should not be taking place for Doctors in Training. The schematic shows that NHS Organisations should be processing the applicant records provided to ESR from TIS only. Separately, they may upload a spreadsheet of the DiT details into TRAC, where they can carry out and record all the necessary pre-employment checks – but these cannot be pulled back into ESR via the

e Rec interface process.

The result of this approach is that only one applicant record will be created within ESR (from TIS) and Trusts can still use TRAC for pre-employment checks. The disadvantage is that there is no automated transfer of the information from TRAC into ESR – they would either need to add this information manually in ESR, or solely keep it in TRAC. Whilst this is offered as an interim solution, it is acknowledged that further time will need to be invested, if the employer chooses to input the data into ESR too.

Consequently the NHS ESR Central Team recommends that all employment checks are captured within ESR, so an alternative is to capture these at source within ESR.

The recommended approach is illustrated in the schematic below.

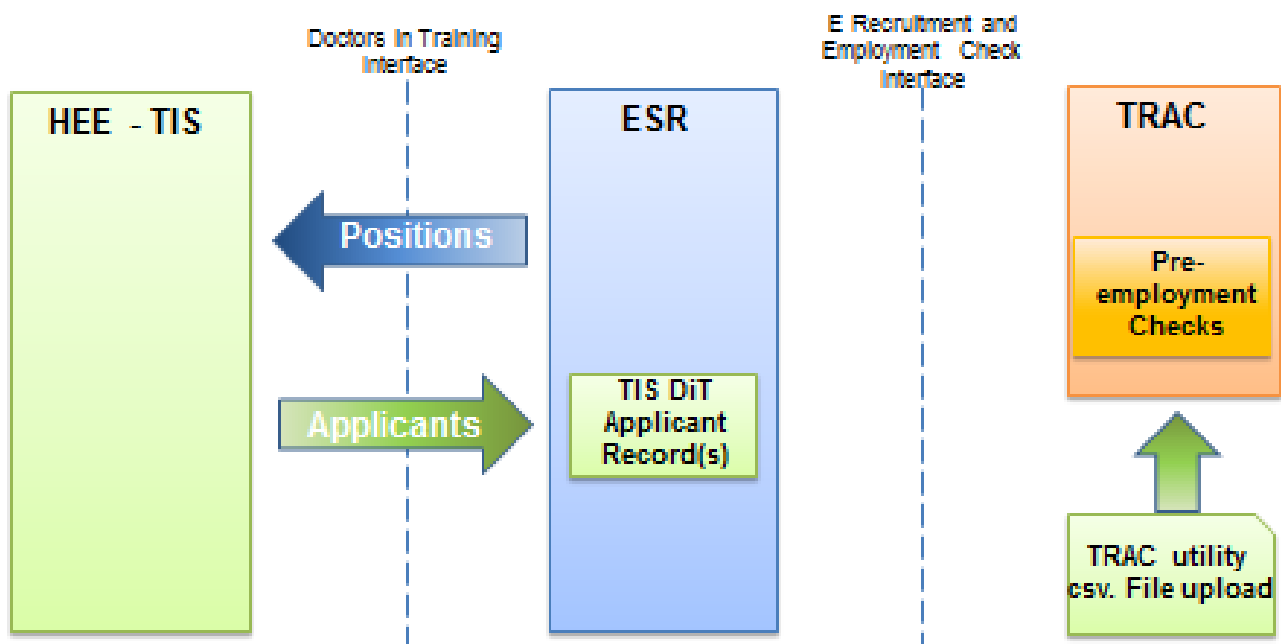


Figure 2: Recommended approach to use interface feeds for both TIS and TRAC.

## Following on from above what are the issues that a trust could face if they are moving to the recommended approach?

Duplicate applicant records may exist historically which will need to be tidied up. A report of duplicate applicant records can be made available on request from the Trust. Additionally, business processes may need reviewing to ensure compliance with the recommended approach.



## Electronic Staff Record

