ELECTRONIC STAFF RECORD

AA-9150 – Organisation Merge User Guide

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Contents

1   <u>Introduction</u>

1.1   <u>Scope and Purpose</u>

This document is intended for use by Employing Authorities (EA) to assist in their understanding of the process and the steps involved in merging Employing Authorities.

2   <u>Merge Process</u>

2.1   <u>Background</u>

2.1.1   Merge Event

A Merge Event covers the merge of one (or more) 'source' employing authority (EA) into a single 'target' EA. It covers the period from when ESR Support is first notified of the potential merge to when consolidation of the merged employing authorities is complete. There will be 2 parallel activity streams during a Merge Event – technical and business.

- The technical stream deals with changing ownership of ESR data from source to target EA and is owned by the ESR Provider;

- The target NHS Organisation business stream covers the handling of Critical Areas (that cannot be automated) plus any additional required consolidation of the merged data within the target EA.

Note: all required actions in this document belong to the target EA unless otherwise stated.

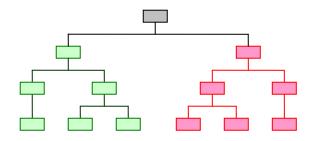### 2.1.2 'Default' Merge Event

A default Merge Event provides a minimum merge where data ownership is transferred from source EA to target EA as part of the technical stream, and the Critical Areas work is carried out in the business stream. For a 'default' Merge Event, a reduced preparation period is required.

Following the merge technical update, all source EA data and structures are owned by the target EA, but retain source EA names. The technical update includes compulsory changes required to enable the ESR Supplier to change the source EA trust ID to that of the target EA (see Critical Areas section).

The merge technical update delivers a new, primary organisation hierarchy headed by a new 'Trust' type organisation directly above the pre-merge source and target hierarchies. The new organisation of type 'Trust' created will have a default name of 'nnn Merged Trust' (where nnn = target EA VPD Number).

Pre-merge organisation hierarchies:

Post-merge organisation hierarchy:

Note: each EA <u>must</u> have one, primary organisation hierarchy for the merge technical update to complete successfully.

Continue 'As Is'

At this point, it is possible to <u>continue as is</u>. That is, other than the organisation hierarchy and any critical area changes, everything appears untouched post-merge i.e. historical pay runs, locations, users, responsibilities, elements, learning classes, workflows, GRR details, etc. As a result of the new organisation hierarchy, those source and target EA responsibilities that had access to all of their respective EA pre-merge data, will have access to all post-merge target EA data.

Merge Streams

The stages of a Merge Event are detailed here and explained in the following sections:

	Technical Stream	**Business Stream**
	ESR Merge Team	**Target NHS Organisation**
	• Potential Merge Notified	• Potential Merge Notified
	• Merge Confirmed	• Merge Confirmed
	• Timetable Agreed	• Timetable Agreed
	• Critical Areas	• Business Consolidation
	• Technical Rehearsal & Sign-Off	
	• Technical Update	
		• Consolidation Updates

2.2   **Potential Merge Notified**

The lead EA will raise a service request to notify ESR Support of a potential merge and to request a slot in one of the ESR programmed Merge Events. The dates of these events will be provided by ESR Support via the SR, if required. Where possible, the SR should include details of the Source and Target EA's.

2.3   Merge Confirmed

ESR Support will request approval from the NHS ESR Central Team for the requested merge slot. . The allocation will be confirmed to the lead EA via the service request.

Subsequent to the allocation, the following questions will be asked of merging EA's:

- **What is the position regarding the use of PBAC (Position Based Access Control) within the Source and Target EA's**

  Where the Source Trust utilises PBAC and will continue to do so following the Technical Merge, it is important that IBM are advised as a configuration change may be required to enable this

- **Will the target Organisation have more than one payroll provider after the merger?**

  Where multiple payroll providers will be accessing the target Organisation post merge, written confirmation is needed from a relevant Executive Board member to acknowledge that the operational and data security implications have been agreed and signed-off by source and target Employing Authorities. In addition, plans should be in place to consider whether the organisation progresses to one provider in the future.

Important: It should also be noted that the delivery of Payroll Related outputs will be to one address only and this should be agreed between all parties as part of the Project.

2.4   Merge Timetable Agreed

The ESR Merge Team will agree a timetable to manage the Merge Event and notify the merging EAs.

Please note that the ESR Provider will aim to run live Merge Events at the end of a calendar month when all payroll processing should be complete. For this reason, no supplementary payroll runs should be planned in the payroll period leading up to the merge.

2.5   Critical Areas

As stated previously, the merge technical update transfers ownership of the source EA data to the target EA. To facilitate this there are a number of critical areas to be addressed by the target EA merge team, in liaison with the source EA. These are detailed below. It must be determined what, if any, changes are required and the corresponding actions carried out (see appendix A checklist).

The critical area review is to be documented and discussed with the IBM merge team.

2.5.1   e-Recruitment Interface*

For ' 3rd Party website' vacancy types, details are interfaced to the Applicant Tracking System application in order that the vacancies can be advertised, and applications taken, nationally. The e-Recruitment interface segregates vacancies and applicants on a trust basis within ESR, within the Applicant Tracking System application, and for all files exchanged between the two systems.

When a vacancy is sent via e-Recruitment it is held against the Trust ID for the EA from which it originated and any interface from the Applicant Tracking System application to ESR will use that Trust ID to obtain a match. As Trust ID for source EA s will be changed to target EA Trust ID value during the merge technical update, any data returning via e-Recruitment with the source Trust ID will fail as that Trust ID will not exist against any data in ESR. **Note:** This will cause the whole file to fail, not the individual records that contain the source Trust ID

Required Actions

1. All such vacancies in the source EA must either be closed or not have been opened, prior to the merge technical update i.e. they should not have been interfaced to the Applicant Tracking System application, or if they have, then they must be closed prior to the merge technical update;

2. If source EA uses recruitment activity type ' 3rd Party website' and target EA does not, then inform the Applicant Tracking System application provider of the fact.

2.5.2   NHS Local GL Mapping

The NHS Local GL Mapping functionality allows an EA to convert cost codes (based upon the National Chart of Accounts) to local-specific values using functionality within the ESR application:

- Custom form 'GL Cost Account Mappings' to maintain Local GL Mappings within the ESR application;

- Concurrent process NHS-to-ESR Local GL Mapping Inbound Interface to upload new Local GL Mappings, rather than manually entering data using the custom form.

The GL Mapping information held is against the EA 'Trust' type organisation. During the NHS Merge Organisation Hierarchies Process the target EA 'Trust' type organisation is replaced, invalidating this data.

There is a lesser issue regarding the LOV data used when inputting element and input value values on the 'GL Cost Account Mappings' form. It is built following pay runs. The NHS Full Trust Merge Process will delete all such existing data held against the source and target EA - these will automatically be re-built from target EA pay runs post-merge.

Required Actions

1. Where the source and target EA have distinct, separate, legal entities which are to continue following the Merge Event, then all pre-merge GL mappings can continue to be used post-merge. IBM will submit the NHS Merge Organisation Hierarchies Process with a default value of 'Source and target trusts' for the 'Retain Local GL Mappings for 'parameter. The following action is required:

   Source EA's carry out any required 'sweep up' costing runs against historic data before the merge technical update as this will not be possible afterwards.

2. Where the source and target EA share one or more legal entities, which are to continue following the merge, then it is highly likely that duplication will occur in the target EA following the merge, causing the 'GL Cost Account Mappings' form to error. The following actions are required:

   a. Compare source and target EA mappings and

      If it is confirmed that no duplication exists, no action is required as the ESR Merge Team will submit the NHS Merge Organisation Hierarchies Process with a default value of 'Source and target trusts' for the 'Retain Local GL Mappings for 'parameter.

      If it is confirmed that there is duplication:

      i. Carry out any required 'sweep up' costing runs against historic data before the merge technical update as this will not be possible afterwards;

      ii. Extract all existing source and target EA 'NHS Local GL Mapping' entries, required for a mapping exercise to determine what post-merge target trust mappings are needed (avoiding duplication);

      iii. Advise the ESR Merge Team that all existing (pre-merge) source and target EA mapping entries are to be deleted. The ESR Merge Team will submit the NHS Merge Organisation Hierarchies Process with a run value of 'None' for the 'Retain Local GL Mappings for' parameter;

      iv. Any new GL mappings are then loaded to the target trust following the merge technical update.

2.5.3   ESR Generic Absence Inbound Interface

This generic interface upload is initiated by an EA user and processes files whose name contains the relevant Trust ID e.g. filenames 'AB_123_%.DAT' for EA with Trust ID 123. The process validates that file assignment numbers are present in the uploading EA, rejecting them with errors if they are not.

Required Actions

1. Ensure that 3rd party files inbound to the source EA(s), received with original Trust ID values, are processed prior to the merge technical update;

2. Determine post-merge requirements and advise 3rd parties of changes required to reflect the post-merge Trust ID changes i.e. in file names. Confirm with IBM when complete.

2.5.4   ESR Generic T&A Inbound Interface

Notes as per ESR Generic Absence Inbound Interface section above.

In addition, there is a facility which allows T&A data to be unloaded from ESR (if unprocessed). The data created by the unload facility is tagged with the ID of the file from which the data was loaded into ESR. There is a further facility to reload this unloaded data.

Required Actions

1. Ensure that 3rd party files inbound to the source EA(s), received with original Trust ID values, are processed prior to the merge technical update;

2. Determine post-merge requirements and advise 3rd parties of changes required to reflect the post-merge Trust ID changes i.e. in file names. Confirm with IBM when complete;

3. The unload/reload facility will not be available for any source trust T&A files processed prior to the merge technical update (due to the change in Trust ID). Therefore, if required, it must be run prior to the merge.

2.5.5   NHS_TRUST_IDENTIFIER_QC

During the NHS Merge Organisation Hierarchies process all organisations of type 'Trust' are changed to type 'Division' and a new organisation of type 'Trust' created with some default configuration taken from the pre-merge target EA, namely:

- 'Location';
- 'Location Address';
- 'Add'l Org. Unit Details':
    - 'Organisation End Date Reason';
    - 'Welsh Organisation Translation';
    - 'Agenda for Change Effective Date';
    - 'Foundation Trust Effective Date';
- 'Additional Organisation Information': 'Costing Information'.

Required Actions

1. Determine post-merge requirements against default values left by the NHS Merge Organisation Hierarchies process and document changes required as a result of the Merge Event, considering the following areas:

   a. Default 'Trust' type configuration;

   b. Shared Service Centres;

   c. Shared Training;

2.5.6 Payroll Banking

There may be a need to change bank details immediately following the merge technical update, where a new account is being utilised or the source EA payrolls' bank and BACS details changed to those existing target ones. Only one bank account for each Monthly and/or Weekly Payroll is permitted. All changes can be tested during the technical rehearsal.

Required Actions

1. Determine any Merge Event banking requirements. The ESR Merge Team will raise an SR on behalf of the lead EA, requesting details of any changes to the business bank account from which salaries are to be paid.

2. For new bank accounts ensure that the EAs sponsoring Bank has confirmed the new Service User Number (BACS ID) is active and notify IBM via an SR at least 15 working days in advance of the change.

2.5.7 Shared Service Centres (SSC)

The SSC solution allows one EA to provide services (utilising ESR functionality) to other EAs, without being restricted by the trust ID based VPD security.

To enable an EA to act as a SSC provider, certain configuration changes are required by the ESR Merge Team. Once complete, the EA will appear in the list of values for the 'Shared Service Centres' field of the additional organisation information type 'NHS URPs Allocated to SSCs'. Any EA may then allow another EA SSC provider access to their own responsibilities by configuring these values against their 'Trust' type organisation, thereby becoming a SSC customer.

Required Actions

If you have an existing SSC arrangement in either Source or Target EA, it is essential that you raise an SR, notifying the ESR Merge Team of your current arrangement and your post-merge requirement. This should be done ahead of the Rehearsal phase of the merge (see section 4.6) so that, where possible, the post merge set up can be tested.

In addition to any configuration changes that the ESR Merge Team may be required to make, merging EA actions might be necessary. These actions are dependent upon how the functionality is being used.

Examples are:

1. <u>Source EA is a SSC customer</u> - requires actions to:

    a. Update Merge Event target EA organisation information type 'NHS URPs Allocated to SSCs' to hold provider EA and responsibilities to be allocated (to be carried out after the NHS Merge Organisation Hierarchies Process);

    Note: the provider EA will have access to all Merge Event target EA data i.e. for source and target EA.

    b. Remove organisation information type 'NHS URPs Allocated to SSCs' entries for Merge Event source EA (to be carried out after the NHS Merge Organisation Hierarchies Process).

2. <u>Source EA is a SSC provider for a non-merging customer EA</u> - requires actions to:

    a. Advise SSC customer EA to update organisation information type 'NHS URPs Allocated to SSCs' to hold target EA as provider EA with relevant responsibilities to be allocated;

3. <u>Merge Event target EA is a provider for a non-merging customer EA</u> – no actions required.

2.5.8   Shared Training

Shared Training functionality allows an EA to provide training to, and receive training from, other EAs on a many-to-many ratio, without being restricted by the trust ID based VPD security.

Where such an arrangement exists in either the Source or Target EA's, configuration changes may be required by the ESR Merge Team and/or Merging EA's to maintain the required post-merge position. Accordingly, the shared training requirements must be considered for each Merge Event.

Required Actions

If you have an existing Shared Training arrangement in either Source or Target EA, it is essential that you raise an SR, notifying the ESR Merge Team of your current arrangement and your post-merge requirement. This should be done ahead of the Rehearsal phase of the merge (see section 4.6) so that, where possible, the post merge set up can be tested.

The actions required when merging EA's using this functionality is dependent upon how it is being used by them. Examples are:

1. <u>Source EA is a customer</u> - requires actions to:

    a. Update provider EA 'Shared Training Customers' flexfield to hold the Merge Event target EA;

b. Update Merge Event target EA 'Shared Training Provider' flexfield to hold provider EA (to be carried out after the 'NHS Merge Organisation Hierarchies Process' during which a new 'Trust' type organisation is created in the target EA);

c. Remove provider EA from 'Shared Training Provider' flexfield attached to source EA pre-merge 'Trust' type organisation (to be carried out after the 'NHS Merge Organisation Hierarchies Process' during which the source trust 'Trust' type organisation is changed to 'Division' type).

2. Source EA is a provider for a non-merging customer EA - requires actions to:

a. Update Merge Event target EA 'Shared Training Customers' flexfield to hold the non-merging customer EA of the pre-merge source EA (to be carried out after the 'NHS Merge Organisation Hierarchies Process');

b. Update customer EA 'Shared Training Provider' flexfield to replace Merge Event source EA with Merge Event target EA;

c. Remove non-merging customer EA from 'Shared Training Customers' flexfield attached to source trust's pre-merge 'Trust' type organisation.

3. A Merge Event target EA is a provider for a non-merging customer EA - requires actions to:

a. Update Merge Event target EA 'Shared Training Customers' flexfield to hold the non-merging customer EA (to be carried out after the 'NHS Merge Organisation Hierarchies Process');

b. Remove non-merging customer EA from 'Shared Training Customers' flexfield attached to target EA pre-merge 'Trust' type organisation.

Note: that learning event booking workflows differ, dependent on whether they are within a single EA (standard enrol functionality) or between EA (Shared Training functionality). This will be reflected during a Merge Event.

2.5.9 Tax References / XML Files

ESR is required to exchange tax information with HMRC using XML files.   These are bi-directional and include, amongst others, outbound submissions of FPS files and the receipt of P6/P9 data.

Both inbound and outbound files are identified and allocated to a particular EA by PAYE Reference. During the Technical Merge process, the ESR Merge Team will make the appropriate changes to reflect the fact that, post-merge, source trust PAYE References are owned by the target EA. This will ensure that subsequent files are allocated to the correct EA.

Required Actions

As the mapping of source EA PAYE References to trust ID will change following a merge:

1. All inbound XML files for source EA employees should be applied prior to the merge technical update

2. Any outstanding outbound XML files for source EA's should be submitted to HMRC prior to the merge technical update.

2.5.10 NHS Pensions

During the merge technical update the NHS Pensions Merge Interface Submit Process extracts all merged source EA assignments that will have previously been sent with source EA Trust ID (VPD Number) and sends to NHS Pensions. This data provides pre- and post-merge Trust IDs and information to identify the merged source EA assignments and employees.

Please note that the merged source records will be treated as always having been with the new EA Trust ID (VPD Number). It is not possible to treat them as starting from the merge date only.

Required Actions

NHS Pensions is responsible for successfully testing their own systems and being fully prepared for the merge technical update. Files from the Technical rehearsal can be provided upon request, but cannot be automatically transferred to NHS Pensions.

1. The merge technical update will affect data interfaced to the NHS Pensions i.e. changing pre- and post-merge Trust IDs. NHS Pensions to be notified of any planned further consolidation which may affect data interfaced to them.

2.5.11 Delivery of Payroll Related Outputs

Following the technical merge, payroll related outputs (centrally printed) will be delivered to one agreed delivery address. This will default to the delivery address of the Target EA unless the ESR Provider is notified otherwise.

Required Actions

Consider the post-merge payroll output delivery address. The ESR Merge Team will raise an SR on behalf of the lead EA, requesting details of any changes required.

2.5.12 Suppression of Printed Payslip/P60

Section 2.5.5 refers to the creation of a new top level 'Trust' type organisation. This will replace the 'Trust' type organisations within each of the source and target EA's, which will be amended to 'Divisions'.

As a result, any configuration held at 'Trust' organisation level that is still required post-merge will need to be replicated within the newly created 'Trust' organisation, i.e. 'nnn Merged Trust'

Required Actions

1. If the suppression of printed payslips/P60's is to apply across the newly merged organisation, this will need to be set against the new 'nnn Merged Trust' organisation.

2.5.13 Pension Auto Enrolment Scheme Rules

Pension Auto Enrolment Scheme Rules are set against a PAYE Reference. The Technical Merge process will drop the Scheme Rules held against those PAYE References owned by source EA's. These Rules are not recreated automatically as it will be a local decision to determine whether the source EA Rules are still to apply post-merge, or if the target EA Rules differ, these are to be applied across the newly merged organisation.

Required Actions

1. Post-merge, the appropriate Scheme Rules should be set up against those PAYE References previously owned by source EA's

2.5.14 Local Competencies

Local competencies will remain once the Technical Merge process is complete and each will retain its pre-merge VPD Identifier.

However, it should be noted that, if any source or target EA has local competencies set at 'NHS Business Group', these will remain at that level in the newly merged organisation and will therefore apply to all employees in the group.

The same position will arise where local competencies are set at 'Job' level.

Required Actions

1. Consider whether any changes are required to the setting of local competencies, either prior to the Technical Merge or once this has completed.

2.6   Technical Rehearsal

The ESR Merge Team will conduct a rehearsal of the merge technical update (in a test environment), to confirm that the processes complete successfully.

This rehearsal period will usually commence around 3 weeks prior to the live event. Merging EA's will be given access to the test environment and will be expected to participate in the rehearsal.

When the live merge technical is run, merging EA's will be required to sign off the process, having confirmed that ESR accurately reflects the post-merge data & structures for employees of the target EA. The Rehearsal period offers an opportunity to view the effects of the merge technical update and to identify the reports and processes that you will need to confirm that the environment is holding the expected information after the merge. You should then be able to repeat these during the live event so that you can sign off the process.

The merge technical Update will not take place unless the technical Rehearsal has completed to the satisfaction of the IBM merge team.

2.7   Technical Update

The merge technical update consists of a number of seeded and custom procedures and reports. No other ESR processes will run during the merge technical update.

2.7.1   Contact Details

The Merge Event will commence overnight on the Friday of the designated weekend.

The period of time required to run the processes will vary, dependent on the total number of merging EA's included in the event. EA's are expected to have staff on

site during the Saturday or Sunday in accordance with the Merge Timetable, to run the relevant processes/reports and confirm acceptance of the merge.

This timetable will be communicated following completion of the Merge Rehearsal processes.

Out of hours contact details will be requested by IBM in advance of the live Merge Event taking place

2.7.2   Inclusion in Live Technical Merge Event

Merging EA's will be included in the Live Merge Event unless the ESR Merge Team is notified in writing that they wish to withdraw. Such notification should be provided by updating the relevant Tracking SR, prior to the day that the live merge is due to commence.

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2.7.3   Sign-Off

It is expected that sign off of the live merge is made by telephone call and followed up via e-mail within the designated period in the Merge Timetable. ESR Merge Team contact details will be provided prior to the commencement of the merge.

Each merging EA should agree who is to provide the necessary sign off to the ESR Merge Team.

2.8   Other Considerations

2.8.1   Business Preparation

The target and source EA are responsible for ensuring staff are informed throughout the Merge Event. The ESR Merge Team will provide information to a nominated Primary contact at each EA, who should then cascade this to all interested parties.

2.8.2   Data Warehouse (DW)

The ESR Data Warehouse meets a need for central strategic reporting. It extracts data from ESR Apps at assignment level but identifies that data by trust level organisation i.e. assignment with ESR organisation '*nnn* Bank Workforce - Medical Staff Obs & Gynae' will be held against organisation '*nnn* Sample University Hospital NHS Trust' in ESR DW. This extraction updates ESR DW current and historic data to reflect the Merge Event trust ID changes, this occurs in

the next scheduled DW monthly load following the merge technical update in ESR.

2.8.3 Reconciliation

The technical update will be audited to enable the ESR Merge Team to confirm that data pre- and post-merge for affected EA is not corrupted by the event.

The source and target EA should complete their own audit activity by running a set of HR and Payroll reports and processes pre- and post- merge technical update in both the source and target EA. Although this is not a mandatory exercise, EA's are required to sign off acceptance of the merge to confirm that they are satisfied with the outcome of the process.

The following is a suggested minimum to be used for the reconciliation of Payroll and HR data. These should be submitted using the '*nnn* HR Administration' and '*nnn* Payroll Super Administration' responsibilities:

-
- NHS Payroll Run (Monthly
- NHS Gross to Net Report
  NHS Merge Validation - Staff Details Report

The reconciliation reports will further verify that ESR accurately reflects the post-merge data & structures for employees of the target EA, based on the combined source and target EA pre-merge data & structures.

Note that ESR BI Analyses should not be relied upon for reconciliation purposes, as these will not have been updated to reflect the Technical Merge during the Sign Off period.

Further, ESRBI is not available in the test environment that is used during the Rehearsal phase of the merge process.

2.8.4 Support

Prior to the commencement of the Technical Merge Rehearsal phase, 2 conference calls will be offered. The first will give information pertinent to your particular Merge Event. An opportunity will then be provided to ask questions, which will be answered during the second call.

  Subsequent to these calls, EA merge teams and users with questions or concerns should raise them as service requests with IBM Customer Support. The SR text should commence with 'F.A.O. Merge Support Team'.

2.8.5 ESR Service Desk

As the number of ESR Service Desk accounts allowed per EA is limited, post-merge changes may be required. If necessary, the ESR Merge Team will raise an SR on behalf of the lead EA to request details of the users to be enabled within ESR Service Desk.

2.8.6 Workflows

Open workflows are not interrupted by the merge technical update. However it is illogical to allow IAT workflows to or from the source EA to continue through a merge. All such workflows to be completed prior to the merge technical update.

Other Interfaces

Recruitment and Attendance interfaces are specifically referenced in section 2.5 of this Guide. However, where the Employing Organisation has other interfaces in use at the source and/or target organistion, due consideration needs to be taken to assess the impact of the merge activity on those interfaces. Where necessary, the NHS Systems Integration Team should consulted by the logging of a separate SR.

3 <u>Business Consolidation</u>

The target EA is responsible for any further consolidation of merged EA data. Planning for this may begin once the merge decision is taken. They may choose to keep the completely new range of source EA (s) information, moved as a result of the merge, to complement their own localised reference data, or to map the moved source EA assignments to their own existing ones, or create additional reference data.

The scope of this consolidation exercise will vary depending on the amount of localised reference data that exists within each EA involved in the Merge Event, and the degree to which it is to be consolidated. This process is variable in length, and is expected to be carried out under Transfer of Undertakings (Protection of Employment) (TUPE) regulations.

They will be applied after the merge technical update. This may be a staged approach e.g. changing payroll bank details immediately, followed by further staged changes where required e.g. renaming source EA reference values to conform to target EA naming standards for payrolls, grades, amending organisation hierarchies, etc. It is possible for the target EA to continue using source EA values indefinitely following the merge i.e. source EA payrolls, organisations, responsibilities, etc. remaining unchanged (see section 5.2 Payroll Consolidation)

The following details what is to be considered, this work will require the same planning and procedures to carry out as for a non-merged EA (see Appendix A checklist).

3.1 Points for Consideration

3.1.1 Post Merge Payroll Processing and Interlocks

Interlocks will occur whenever a person has more than one aggregated assignment across payrolls, irrelevant of whether the payrolls are weekly or monthly.

Where there are multiple payrolls within a VPD, with the same Normal Payment Date in the Payroll Calendar, payrolls can be run in any order but must not be processed at the same time. Each payroll must be allowed to complete before the next payroll is processed.

When a payroll is run an employee is given a processed id number, the payrolls will then need to be processed in this order.

Should two payrolls be run simultaneously then the assignment in the first run will be set to unprocessed assignment awaiting processing. When the second payroll starts to run this will cause an interlock stopping the second assignment being processed in the second payroll run.

Where there are multiple payrolls with different Normal Payment Dates, then the payrolls MUST be run in Paydate order.

3.1.2 Duplicate People

Within the NHS, more than one EA may employ an individual i.e. individual EAs may have their own versions of a person record e.g. if a person were employed by three separate EAs, three person records would exist. The outcome of a merge may therefore mean that multiple person records occur for the same individual in the target EA post-merge.

Required Actions

It is recommended that any such duplicate people be dealt with following the technical update. One suggested way that any such duplicates are handled in the target EA:

1. They must first be identified. It is suggested that the NHS Staff in Post Dashboard > Staff List analysis is used for this purpose.

2. Post-merge:

a. End employment of the duplicate person with the shortest effective period using leaving reason of 'Merged Organisation - Duplicate Record', destination on leaving of 'NHS Organisation' and NHS organisation of target EA Trust ID;

b. Do not issue P45 to employee, however HMRC will be advised via Real Time Information (RTI);

c. Create secondary assignment against remaining person to replace terminated assignment(s);

d. Update remaining person with any other relevant information from terminated person e.g. training details.

3.1.3   GL Costing Interfaces & Payroll Legal Entities

The GL Costing Interfaces generate costing records using the set-up in Oracle Payroll, generating GL codes from the NHS Chart of Accounts. Any further processing or analysis is performed after the file has left the Oracle apps server. ESR NHS provides an intermediate server (HUB) that is hosted within the ESR Provider domain. On this server, further translation and analysis processing is required before the data can be transferred to the target GL systems. For example, many of the GL systems have local chart of accounts and therefore the GL codes from ESR have to be mapped to these, with mappings held at legal entity level.

The GL interface creates flat data files conforming to a file naming convention that produces unique filenames. This file is then transferred to a destination server, determined by the filename, which includes the Legal Entity Code. For this, a temporary mapping facility is available on the GL Interface Hub.

The Payroll Legal Entity is defined against each Payroll Definition (held in the NHS Cost Allocation flexfield). Entity values are picked from an LOV based on value set 'NHS Trust Identifier'. An EA may have more than one legal entity - which may be used concurrently by another EA.

Required Actions

1. Source and target EA payroll legal entities are unchanged by the technical update and as a consequence, no changes are required to NHS HUB mappings. However, any legal entity code changes required for the Merge Event (e.g. change source EA payroll values to be the same as target EA) will require amendments to NHS HUB mappings. An SR should be raised, marked F.A.O NHS System Integration Team, advising of any such requirements.

3.1.4   Renaming Reference Data

Following the merge technical update all source EA reference data is owned by the target EA, but retains source EA names. It will be possible to continue as is, other than vacancy names, but the target EA may prefer to rename values to reflect the EA in which they now reside. Vacancies are updated and created

using the 'Requisition and Vacancy' form, which is customised to ensure that 'Vacancy Name' must begin with the first 3 characters being equal to the owning trust ID.

The restricted viewing of data between EA s has been applied to numerous items, the majority of whose names contain the 3-digit trust ID. Folders exist for some items, making update or replication a semi-automated task. When amending reference item names, any conflict e.g. duplication, within target EA is to be resolved during data mapping. If performed in-house by the target EA, the relevant responsibility must be used to update these items.

Value Set Values - locally extensible flex values and translated values cannot be amended, but descriptions can. Post-merge, references to source EA values can be changed to refer to existing or new target EA values. If source EA values are to be end-dated, care must be taken to ensure end-dated values are not being referenced, particularly in respect of costing values.

NHS_TRUST_EXTENSIBLE_VALUESET lookup holds all extensible value sets.

Note: that if changing organisation costing value set values, be aware that organisations are not date-tracked i.e. once organisation costing values are changed, they come into effect immediately as only one (non date-tracked) version of an organisation is held.

Lookups - locally extensible lookup codes cannot be renamed, but meanings can. Post-merge, references to source EA codes can be changed to refer to existing or new target EA values. If source EA values are to be end-dated, care must be taken to ensure end-dated values are not being referenced. GRR entries that reference NHS_SCHEME local lookup values should not be end-dated as this would require that all related element entries are amended.

NHS_TRUST_EXTENSIBLE_LOOKUP lookup holds all extensible lookups.

Grades - the 'NHS Grade Flexfield' has three segments ('Trust ID', 'Payscale', 'Payscale Description') and it is possible to amend source EA entries (post-merge), resulting in the first two segments being duplicated. This could result in erroneous GRR conditions and must be avoided (see GRR section).

Generic Rate Retrieval (GRR) - allows the user to populate rates for, and restrict access to, benefits based on multiple conditions. As per other locally extensible lookup values, NHS_SCHEME values cannot be renamed, but changing source EA GRR entries to target EA NHS_SCHEME values is not advisable. Instead, existing source EA GRR should remain post-merge. In time the source EA values will become defunct as fewer references are made to them, at which time they may be end-dated.

Note: there are implications for end-dating localised reference data which must be considered carefully, particularly during a Merge Event when large numbers may be changed. In addition to the notes given above, to end-date any items that continue to be linked to current assignments may give unexpected results e.g. end-date an organisation that is held against an assignment, will show that organisation in the assignment form, but if the organisation field is entered, that value will no longer be available. For this reason the safest means of consolidating merged reference data is not to end-date obsolete values, but to

update their description or meanings to show that they should no longer be allocated. Then, after a safe passage of time, the obsolete values can be end-dated.

3.2   <u>Payroll Consolidation</u>

Merged EA's may wish to consolidate their payrolls under a single PAYE Reference, subsequent to the completion of the Technical Merge. This will generally require a transfer of employees between existing PAYE References, or to a new Reference provided by HMRC.

Since the inception of Real Time Information (RTI), HMRC will only accept notification of such employee movements via a Full Payment Submission (FPS). This would normally involve the processing of leaver and starter records in ESR.

To avoid the volume of manual effort that this would require, a process has been designed that will notify HMRC of leaver information, without the need to enter such records in ESR. This process is known as the NHS RTI Additional FPS XML Process (Change of PAYE Reference). New Starter information is sent to HMRC in an FPS submission when the employee is first paid on the receiving payroll.

HMRC will only accept the output files from the above process at the end of a tax year. With this in mind, merging EA's may wish to continue processing their existing payrolls immediately following the Technical merge, with a view to conducting a consolidation exercise after the final payroll processes for the current tax year are complete.

Further details of this facility will be outlined during the conference call that will precede the Merge Event and guidance will be provided to EA's that utilise the process.
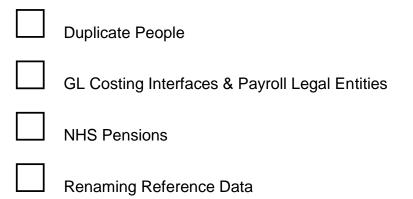
4 Appendix A: Merge Event - User Checklist

Merge Event users to tick boxes below to confirm that each area has been addressed.

4.1 Critical Areas

☐ e-Recruitment Interface

☐ NHS Local GL Mapping

☐ ESR Generic Absence Inbound Interface

☐ ESR Generic T&A Inbound Interface

☐ 'Trust' Type Org. Configuration

☐ Payroll Banking

☐ Shared Service Centres (SSC)

☐ Shared Training

☐ Tax References/ XML

☐ Delivery of Payroll Related Outputs

☐ ESR Generic Outbound Interface

☐ Suppression of Printed Payslips/P60

☐ Pension Auto Enrolment Scheme Rules

PUBLIC

☐   Local Competencies

4.2   <u>Business Consolidation</u>

☐   Duplicate People

☐   GL Costing Interfaces & Payroll Legal Entities

☐   NHS Pensions

☐   Renaming Reference Data

5   Appendix B: Frequently Asked Questions

5.1   Merge Event

Q: Can we still go ahead with the rehearsal and then decide not to go forward with the live Merge Event?

A: Yes - Merging EA's will be included in the Live Merge Event unless the ESR Merge Team is notified in writing that they wish to withdraw. Such notification should be provided by updating the relevant Tracking SR, prior to the day that the live merge is due to commence.

5.2   Changes to PAYE Reference

Q: Do we have to have one PAYE reference for the newly merged VPD? If so, from what date should this occur?

A: You should discuss this with HMRC. However, if any transfers of employees to a new or existing PAYE Reference are to be made, the timing of this can have a significant impact on the effort involved. Please see section 5.2 'Payroll Consolidation' for detailed information on this.

5.3   Payroll Processing

Q: What is the impact on payroll processing for the period prior to the Merge Event?

A: None, although no payroll processing should occur between the running of your pre and post merge reports, as this is likely to affect your reconciliation. . For this reason, no supplementary payroll runs should be planned in the payroll period leading up to the merge.

 The ESR Provider aims to run live Merge Events at the end of a calendar month when all payroll processing should be complete

5.4   Employee Data

Q: Leavers - where do 'leavers' sit pre and post merge?

A: As the technical merge does not move any data, leavers will remain where they were before the merge and will be available to view in the Target VPD.

Q: Leavers - how can the Target VPD see a complete set of leavers for both Source and Target EAs post-merge?

A: You would identify these in exactly the same manner as you would prior to the merge.

Q: Duplicate employees - We have a number of employees who have records on both the Source EA and Target EA. After the merge, we will continue to run separate payrolls for a period of time. Are there any actions we need to take post merge in order to avoid any issues for these employees i.e. interlocks?

A: As the individuals on these payrolls will have separate employee numbers, there will be no risk of interlocking issues arising amongst these.

Q: Should we take any action with regard to those employees who have records in both Source and Target EA?

A: Section 3.1.2 'Duplicate People' deals with this question in some detail.

Q: Mass UK Employee Assignment Update Form - Whilst we can see how this form may be used to move source assignments to a target payroll for consolidation of payrolls, post technical merge, how can we change payment methods on source assignments to those of the payment methods of the target EA?

A: If payments on both the old and the new payroll are made from the same business bank account, it is possible to add the payment methods from the old payroll to the permitted methods on the new. If the accounts are different, the payment method on the transferring assignments must be changed manually.

5.5   Other Data

Q: Will all of the Source EA value sets and table values be added to the Target EA's value set listings and table value listings? i.e….grades / cost centres /subjective codes/GRR

A: Yes, these will be available in the Target EA.

Q: Organisation Payment Methods - do these need re-naming post merge

A: No changes are required following the Technical Merge. However, there may be considerations prior to any subsequent Business Consolidation.

Q: Localised Reference Data - will duplications be highlighted or do we have to report ourselves. If so how is this done for the following: Assignment Sets; Element Links; Element Types; Salary Basis; Tables etc?

A: It is not feasible that local duplications can be recognised by the merge process. It is not essential that potential duplicates are removed, however, this will be part of Target VPD housekeeping if you decide to do so.

5.6   Reports

Q: Will any locally created content in the ESRBI shared folder be available to us after the Technical Merge?

A: . Any local BI content in the source EA that will be required after the Technical Merge can be archived prior to the Event. Once the merge is complete, this can be unarchived in the new target EA folder.

Archiving is discussed in the following document on Infopoint:

https://www.infopoint.esr.nhs.uk/files/ESRBI-ET2000%20v22.0.pdf

Please note that ESR BI is not available in the Rehearsal environment.

5.7   OLM

Q: OLM implications – can an employee moved to the Target EA readily be put onto a Source EA' OLM course?

A: The Source EA courses should be visible in Target EA after the merge and you should be able to enroll employees onto them in the usual manner. This can be tested in the Rehearsal environment.

5.8   Shared Service / Training Centres

Q: We are a SSC providing payroll to all 3 VPDs - with full access from a shared access- do we need to do anything?

Q: We have a Shared Training arrangement with another VPD. Is any action required?

A: For either of the above, please raise a SR detailing the set up as it exists presently and your requirements after the merge so that we can advise you accordingly.

5.9   GL / Interfaces / Pensions

Q: We currently have an Outbound T&A interface on one of the VPDs - what are the implications for this?

A: There are no implications due to the merge.

Q: Can you clarify the requirements for the Pensions Agency - what action do we need to take?

A: The Technical Merge process will notify NHS Pensions Agency of any changes arising from the merge, however, it is recommended that you also discuss this with the Agency yourselves.

Q: Can you confirm what will happen to the Source and Target EAs GL mappings as part of the merge process, in terms of where we have different mappings for the same elements on both VPD's.

A: There will be no change as a result of the merge process