THE ELECTRONIC STAFF RECORD PROGRAMME

NATIONAL HEALTH SERVICE

ESR-NHS0078 - HR BEST PRACTICE

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1.1 Change Record

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3 INTRODUCTION

3.1 Background

Following the successful implementation of ESR within England and Wales it is recognised that many Organisations would benefit from additional support and education on how to use the functionality using best practice processes. In order to deliver maximum benefit from using ESR this document is designed to outline the HR and Recruitment best practice to identify critical areas of ESR functionality and recommend the processes and reports which support this.

This document is periodically revised by the NHS Central Team and subsequently reviewed and approved by members of the National HR & Recruitment Special Interest Group prior to being re-published.

3.2 Purpose

The purpose of this document is to detail the best practice approach to managing the recruitment and HR processes using the ESR system. It covers:

- Establishment control through Workstructures Administration
- Recruitment processes including use of third party e-recruitment systems
- Inter Authority Transfer (IAT) process and Occupational Health details
- New starters
- Changes to records
- Leaver processes
- Terminations
- Re-Hires
- Reports supporting each stage
- Data Standards
- Interfaces that can be used to enhance the core ESR functionality and streamline business processes (e.g. the ESR interface to CIS).

This document is not intended as a full user guide on how to use each element of the HR best practice. Full instructions on how to run each of the reports and processes listed in this document can be found in the ESR User Guide which can be accessed via Kbase. [Click here to access]
4 HR BEST PRACTICE

4.1 Introduction

The methodology behind HR best practice has been approached in two ways:

- The flow of processes and system interaction that should be followed to drive the most efficient use of ESR.
- The nationally recognised best practice guides and recommendations that have been incorporated, such as the NHS Employers guidance on NHS Employment Check Standards.

Within this best practice guide each area of functionality has been identified and described separately, however, as ESR is an integrated system there are elements of functionality which will need to be understood and used throughout ESR. Best practice must also ensure that all users of ESR understand the data they are responsible for entering and interpreting; therefore users need to receive appropriate training and have access to guidance materials, supported by local procedures.

Underpinning ESR best practice is the timely population of high quality and validated data at the point of entry. This enables accurate management information to be available across NHS organisations to support business planning and decision making.

Furthermore, in light of the publication of the Francis Report (2013), organisations will be required to focus on all aspects of recruitment, appraisal, training & development and performance management. It is our belief that ESR can support information provision to give timely information in key areas, allow analysis and identify trends and deliver training and identify gaps in workforce training needs. It is crucial therefore that ESR functionality is utilised and that accurate data is entered into ESR using the recommended HR Best Practice.

Many of the data items and List of Values used within ESR are driven by formal NHS requirements, with which all organisations should comply. These values are detailed in the National Workforce Data Definitions document [Click here to access].

4.2 Workstructures

4.2.1 General note

The workstructure details must reflect the way in which you wish to record and report upon your organisation. Details should be determined through collaboration, particularly between HR and Finance, but taking into account the needs of Payroll and the organisation’s management tiers. Changes to workstructures may also have implications for NHS CRS (Care Records Service) Access, where organisations have activated the ESR interface to CIS (Care Identity Service). Please refer to the ESR Integrated Identity Management web page [Click here to access] for further details regarding the ESR interface to CIS. In addition changes may also affect the Streamlined Deanery Interface. This is used to transfer trainee doctor applicants around the NHS via their Deanery/LETB.

4.2.2 Key Points to remember:

- Set-up of ESR Workstructures is critical to reporting (see Organisations Section below)

4.2.3 Location

The Location should be used to identify a physical site and its address, Payslip delivery points and premises where training takes place; whether this is internal or external to the Employing Authority.
Location names must be prefaced with the 3-digit Employing Authority identifier, also known as the Virtual Private Database (VPD) code. If creating a location that will be a payslip delivery address, a ‘z’ must be used as part of the naming convention to identify this in the assignment Paypoint List of Values. (e.g. 123 z Newtown General Hospital). The Location Name should not include the Site Code (e.g. ‘01’) as this is entered on a separate field on the Location form, making it possible to report on separately.

4.2.4 Key Points to remember

☑ As it is this field by which payslips are distributed some thought needs to be given on how best this might operate in a particular organisation. For example adding each Ward or Department would facilitate payslips being distributed more effectively across an organisation.

4.2.5 Organisations

An Organisation is used to group staff together for reporting and security purposes via the hierarchy in which it resides. It also enables the financial Charitable Marker and Cost Codes to be attached to different groups of employees.

The hierarchy should reflect the structure of the Employing Authority in terms of its Directorates, Divisions, Clinical Management Teams, Wards, Departments, etc. as this will determine the output of any organisation-based reports.

Once a new Organisation is created it must immediately be attached to a parent Organisation within an existing Organisation hierarchy, otherwise it will not become visible to users after the overnight Security List Maintenance process has been run.

Separate Organisation Types should be used to enable other functionality:

- For Bank positions; so that the Bank Administration module can locate them.
- For Widowers; to ensure correct headcount reporting as they will not be treated as employees. The value entered for the Organisation Type field should be ‘Service’.

More than one Organisation Classification (HR and Training Centre) can be attached to an Organisation.

Organisation names should be prefixed with the 3-digit Employing Authority identifier, as this is key to ensuring they appear within the intended hierarchy. Refer to Local Procedures for any additional naming convention requirements.

Ensure that the ‘From’ date is entered as the date the Organisation is valid from and consequently the date from which a Position can be attached to the Organisation. Should an organisation be no longer required, population of the End Date and Organisation End Date Reason is required.

Organisations that are no longer required should be end dated rather than deleted, as this will ensure that historic reporting on the Organisation is possible. If an Organisation is deleted, you will lose all historic records on an employee’s record, equally it won’t appear in any reports, current or retrospective

The Enabled checkbox must be ticked to allow employees to be attached to a HR Organisation and to allow a Training Centre to be visible for use within the Oracle Learning Management (OLM) module of ESR.

The ‘Hosted Org Yes / No’ field can be utilised to highlight Organisations which are being hosted for an external body. In order to separately identify each Hosted Organisation it is also necessary to use the ‘Location’ and/or ‘Site’ details. Hosted records can then be counted separately from the Host’s total which might otherwise appear inflated. (e.g. Business Services Authority hosts the NHS ESR Central Team organisation.) This is particularly important for Data Warehouse Users to understand correct workforce metrics.

The CRS Organisation NACS Code (see *NACS description below) must be assigned at the top-level ‘Trust’ organisation to cascade down through the organisational hierarchy. This is mandatory when the interface between ESR and the Care Identity Service system is enabled (England Only).
It is possible for NACS codes to also be entered at lower levels of the organisational hierarchy if this configuration is required by the interface. Please refer to the following guidance for further details regarding the amendment of the CRS Organisation NACS Code in ESR: [Click here to access]

Any amendments to the CRS Organisation NACS code held in ESR must be completed with care, as this will result in the interface initiating amendments to CRS access rights via the interface. Where the ESR interface to CIS has been activated, organisations must ensure that ESR positions linked to NHS CRS Access Control Positions are amended to ensure that the ESR positions are linked to NHS CRS Access Control Positions defined at the new/target NACS code, prior to the CRS organisation NACS code being amended in ESR. It is recommended that organisations raise an SR for guidance from the NHS ESR Central Team before completing this activity.

For ‘Trust’ Organisations there is a field ‘Auto User Creation’ – Trusts can use this to set whether new starters (or applicants whose record is set to ‘Offer Accepted’) will automatically have an ESR User account created for them with the details of the accounts created being sent via notification to a Role Holder. Where Organisations choose to opt to set up either “e-learning User”, “learning user”, or “employee self-service” URPs only then no smartcard would be required to access these accounts and a User Name and Password is generated. All other URP combinations will require a smartcard to be produced. Organisations going through an NHS Reorganisation should take account of UN1403 which reminds users of the access implications for Employee Self Service and/or e-Learning on ESR when staff is moved from one organisation (VPD) to another. Click here to access User notices on Kbase.

*NACS: National Administrative Codes Service. These are codes allocated by NHS Health and Social Care Information Centre that provide a unique identification record for any organisational entity at almost any level, be that an NHS Trust, or one of its hospitals. Used by IT systems to identify locations reliably, quickly and easily. The NACS coding structure provides a picture of the NHS’ organisational hierarchy, and the links between the various organisations at different levels. Each VPD will have an equivalent NACS code at the highest organisational level.

4.2.6 Cost Centres

Another key data item is to set the default Cost Centre for the Organisation. Every employee placed into a Position associated with the Organisation will “inherit” the default cost centre. Cost centre should not normally be added to an assignment record unless the costs for a particular assignment need to be proportioned across two or more cost centres.

4.2.7 Key Points to remember:

☑ New cost centres are set up through the XXX Local HRMS Systems and User Administration URP [Click Here to refer to the relevant section of the ESR User Manual for instructions on how to do this]
☑ Refer to Local Procedures to identify correct coding methodology.
☑ Full guidance on the allocation of financial codes is available in the Finance Best Practice Guide held on Kbase [Click here to access]

Please note that the Copy Hierarchy facility visible within Diagrammer is disabled; ESR utilises the date-tracking facility of the Diagrammer to maintain a correct history of organisational changes. This is done by saving the new hierarchy to a chosen date. [Click here] for more details.

When a formal merger of employing authorities takes place a process exists to combine multiple VPD hierarchies into one new hierarchy. Please raise an SR for further details on this process.

4.2.8 Positions

It is essential that the correct ESR Position is selected when reassigning staff or appointing a new member of staff. For organisations that have activated the ESR interface to CIS, the employee’s position in ESR also controls access to CRS Access Controlled Systems e.g. clinical/ ESR systems (England Only) via the link that can be established to an appropriate NHS CRS Access Control Position. If in doubt you should consult the organisations Registration Authority Manager (RAM), your organisation’s Information Governance Lead or e-mail esr.smartcard@nhs.net for further guidance from the NHS ESR Central Team. Follow local procedures for requests for new positions or amendments. This will ensure data integrity and accurate links to reporting, financial and other clinical systems.
In most instances, it suits to allow more than one person to be assigned to a “bucket” Position. However, Doctors in Training must each be assigned to a separate Position as the Deanery Post Number (DPN) identifies an individual in a particular training placement. It is not possible to enter multiple DPN’s against a single Position, so each position must relate to only one person at any one time (except for job shares and those on/coversing maternity leave). The Deanery Interface guidance explains this and related items in more detail and is available on Kbase [Click here to access].

Additional position requirements such as Disclosure and Barring Service (DBS) formerly known as the Criminal Records Bureau (CRB) and Professional Registration requirements must also be entered. A position can also be identified as ‘Eligible for OH processing’ and ‘Exposure Prone Procedure’ for Occupational Health purposes. Entering this data enables immunisations and checks data to be transferred securely as part of the Inter Authority Transfer (IAT) process and also enables gap reporting by comparing the position requirements against the attributes held by the assigned individuals. In addition this information supports the ESR link to the DBS Update service, ensuring that only eligible position holders, subscribed to the Update service are checked. The Workplace Org Code field satisfies the Data Warehouse users requirement to be able to report on a person’s actual Workplace Organisation as distinct from their Employing Organisation.

Enter the total FTE to be used as a funded/budgeted value for this position. This will enable establishment control by providing reporting details of the Funded versus the Actual FTE values.

Whilst this is not considered good practice it is possible to set up multiple valid grades for a Position. If this option is considered agreement will need to be reached with finance colleagues as this will have a direct impact on the use of subjective codes, ledger and budget reports. In particular this will be necessary when setting up Deanery positions where incumbents can be on varying grades throughout the rotational period. Administrators will need to liaise with the appropriate Medical Personnel staff to agree the appropriate default grade for the position.

Position Hiring Status can be used to assist with Establishment Control, by using the values of Proposed, Active, Frozen and Eliminated as appropriate. A ‘frozen’ post can be re-activated by updating the status

Subjective codes should be set at Position level, so that associated employees will have this value defaulted to their assignment, ensuring accurate financial cost information is applied in the costing process.

**Locum and Fixed Term and Fixed Term Positions – Medical and Dental Staff**

To ensure consistency in the way the Locum and Fixed Term Medical and Dental workforce are categorised and reported on in ESR, a Data Standard has been agreed by the National HR SIG and the Workforce Information Review Group (WIRG). All Locum and Fixed term positions and the associated staff assigned to them should therefore be recorded as detailed in section 4.5.3. [Click here]

4.2.9 **Key Points to remember:**

- With the exception of Trainee Doctors (see Section 4.3.2) multiple employees within the same department of the same job type (e.g. Grade/Band/ Occupation Code) should be allocated to the same Position.
- The allocation of ESR Positions to employees may also provide access to NHS CRS applications where the ESR interface to CIS has been activated. The definition, maintenance and assignment of positions should therefore consider the implications for the ESR interface to CIS and access requirements to NHS CRS applications.
- The NHS CRS Access requirements associated with an ESR Position can also be considered as part of the vacancy establishment control process.
- The Occupation Code, Job Role (along with its associated Staff Group) and also the Area of Work are key fields that are used within many ESR and Data Warehouse reports both as outputs and as selection parameters. It is crucial therefore that the relevant user guides are referred to when allocating these values. These guides are available for download:
  - Occupation Code Manual: [Click here to access]
  - Guidance on the allocation of Staff Groups, Job Roles and Areas of Work [Click here to access]
- Note that once Staff Group/Job Role values have been saved against a Position they cannot be altered locally. If a change is necessary, either because of a mistake or a change to the national value set, this can only be achieved by raising an SR asking to make use of the Mass Update of Job Role functionality which the NHS Central Team will provide assistance with.
4.3 Recruitment

The ESR recruitment module enables organisations to undertake the full recruitment cycle from the raising of a requisition through to the acceptance of an offer. This module is an integral part of the employee life cycle and is complemented by the establishment control element described above.

Whilst it is possible for all recruitment episodes to be undertaken in ESR alone, the module is enhanced when linked with the e-Recruitment interfaces detailed below, resulting in a more efficient and timely recruitment process.

Refer to the User Manual for details on how to undertake the full recruitment process including ‘Housekeeping’ duties required at the end of a recruitment episode.

4.3.1 Key Points to remember

- Ensure that there is an internal process to link recruitment and Workstructures.
- Ensure that the Recruitment and HR URPs are allocated in accordance with best practice on the segregation of duties.
- Allocate the ‘Employment Checklist Role’ to the appropriate HR person. This notifies the role holder when medical clearance within the ESR Occupational Health module has been given.
- Allocate the ‘Employment Checklist Role’ to the appropriate HR person. This notifies the role holder when medical clearance within the ESR Occupational Health module has been given.
- Use the relevant e-recruitment interfaces to support and enhance the recruitment process.
- Use the ESR NHS Mandatory Employment Checklist to record the six pre-employment checks detailed on the NHS Employers Website [Click here to access]. The ESR interface to CIS can then be used to prepare Smartcards for applicants at offer accepted stage. This is particularly beneficial where significant numbers of Staff members start at an organisation at the same time (e.g. junior doctor rotation).
- Run the Inter Authority Transfer (IAT) Process at the ‘Offer Post Conditional’ status to ensure that any occupational health data can be transferred for those posts flagged as ‘Eligible for OH processing’. This also ensures that any National Statutory and Mandatory competencies that the person has is also transferred at the pre hire stage to enable an accurate assessment of training and induction needs. This also enables early sight of pre-employment data in support of contractual information.
- Run the appropriate reports detailed in Section 5 to support the recruitment cycle.
- Complete the recruitment process correctly by ensuring that vacancies are closed at the end of the recruitment cycle and unsuccessful applicants have the status of their unsuccessful applications set to ‘Terminate Application’. This is to ensure that they become an ex-applicant and are included in the monthly national applicant purge process 13 months later.

4.3.2 e-Recruitment and ESR

There is an increasing use of third party electronic recruitment systems within the NHS to streamline recruiting practices (e.g. Approximately 95% of Trusts are using NHS Jobs. To facilitate the transfer of information between ESR and a third party system it is recommended that Organisations utilise the e-recruitment Interface. Below is a high level overview of how ESR interfaces with e-recruitment systems:
Most NHS organisations use the e-recruitment interface to support their recruitment cycle. This two-way interface enables vacancy and application data to be transferred between a third party system and ESR. At the end of the recruitment process on the e-recruitment system, key information on all applications received can be transferred to ESR to enable the continuation of the recruitment process up to and including the creation of the new employee record. Data on all applications received is also used in support of reporting requirements.

Trusts that have made the best use of e-recruitment systems have reported a number of benefits including:

- Facilitates equality reporting
- Reduced advertising spend
- Lower recruitment administration costs
- Data entry at source of application, thus reducing data entry time in the NHS
- Faster recruitment processes

4.3.3 Key Points to remember:

☑ Users should refer to their Local Procedures for the management of applications through to uploading the ‘preferred applicant’ to ESR
☑ Users should refer to their Local Procedures in respect of Equality and Diversity reporting

4.3.4 Deanery Interface

Doctors often move between NHS organisations during the period of their foundation and specialty training. This requires each of these organisations to hold HR and payroll related data for these individuals. Often training and competency information is also recorded.

Organisations are encouraged to use the Streamlined Deanery Interface to eradicate duplicate data entry and ensure that up to date information is recorded and shared with the Deanery computer systems.

The interface design allows transfer of data where training posts are managed by an external Deanery.

The Streamlined Deanery Interface replaced the recruitment and update interfaces into one integrated process. The outbound portion provides the deanery system with post information for all positions in ESR that include a Deanery Post Number (DPN). This allows the Deanery organisation to reconcile their post information against ESR. It will therefore support them in the transfer of information of Junior Doctors 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 medical trainee 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)

4.3.5 Key points to remember:

☑ Ensure that the Deanery Post Number (found under “Extra Position Info > Medical and Dental Post Details”) against the position has been populated (the Deanery Post Number is used a key identifier used for matching).
☑ Ensure that all Doctor Training Posts are set up correctly in ESR, (not bucket posts).
☑ Ensure that the appropriate medical recruiter has the Medical Staffing Officer Role allocated to them so that they can receive ESR workflow notifications.

Refer to the ‘Guide to Deanery Interface’ on Kbase for more details
4.4 Inter Authority Transfer (IAT)

The Inter-Authority Transfer (IAT) process is a critical and beneficial component of ESR. Best practice would expect a new employee to be informed that the transfer of previous NHS employment data is a part of the recruitment process/new contract. It is recommended that notification of this is included in Organisational details on the third party recruitment website e.g. NHS Jobs and in New Starter documentation.

IAT is an automated process that removes the manual procedures associated with paper based NHS Staff Transfer Forms, and reduces the data entry needed following the appointment of staff from another NHS organisation. The IAT process revolves around each employee's Portable Data Set (PDS) which will accompany an individual from one NHS Employer to another. This includes previous employee HR information, Occupational Health data, national training/competencies and some payroll/pensions information.

In addition, the IAT process also enables a standard reference request to be sent to a designated Reference Approver role holder. See section 4.4.2 below for more details.

There are two IAT processes available

1. The Automated approval process, known as Auto IAT
2. The non-automated approval process

Organisations have a choice in how they wish their data to be released and then transferred to a requesting organisation. Individual organisations can choose, at VPD level, to opt out or in of the Auto IAT process at any time.

The preference can be amended by using the XXX Local Workstructures URP and navigate to the Organisation with a type of 'Trust' and change the setting in the 'Auto IAT Approval' field on the Add'l Org. Unit details DF.

NOTE – It is strongly recommended to allow Auto IAT

4.4.1 Automated IAT

The automated IAT process enables the initiating authority to both initiate and approve the transfer of the portable data set (PDS).

This process will only be enabled where a 100% match has been found against the NI number, DOB and Last Name or Professional Registration Body and Number of the individual AND where the source trust/s has not 'opted out' of the Auto IAT process.

The IAT Initiator at the requesting NHS organisation will be able to initiate and approve their own requests, enabling the pre hire data such as occupational health and statutory and mandatory competencies to be transferred to the appropriate role holders at the point of approving the request. On average the approval process for Automated IATs takes approximately 30 minutes.

The following diagram illustrates the automated IAT process. Where the Auto IAT process is not possible then the IAT Approver at the approving NHS organisation will have to undertake the matching and approval process manually.

NHS Organisations are advised to use the Auto IAT process where possible to support the recruitment process, facilitating the speedy transfer of data to avoid delays for new employees. This is especially important where large numbers of junior medical doctors transfer to other NHS organisations as part of their training programmes.

The diagram below illustrates the Auto IAT process:
Note: As shown in above diagram

- **IAT Initiator** = the Requesting Employing Organisation
- **IAT Approver** = the Previous Employing Organisation

### 4.4.2 Sending a Standard Reference Request via IAT

IAT enables the IAT initiator to actively opt for the inclusion of a Standard Reference request as part of the IAT process without affecting the normal IAT process. This allows the initiating Organisation to ensure the applicant's approval to request the reference data has been gained.

The reference template replicates the template outlined in NHS Employers guidance and will send the standard reference to designated reference approver role holder/s in the source organisation for review and approval or rejection.

The following flowchart gives a high level overview of how the process will work. Refer to the IAT Guide on Kbase for more detail about the process. [Click here to access]
4.4.3 Benefits of IAT

The IAT process has been designed specifically for the NHS and builds on the principle that many of the starter and leaver movements within the NHS are transfers between NHS Organisations. The IAT process has a number of benefits, including:

- Removes the need to complete and send paper based Staff Transfers Forms.
- Enables data related to immunisations and checks and national statutory and mandatory competencies to be transferred prior to the person hire date supporting the pre-employment checks and induction process.
- Reduces the staff transfer processing costs at Trust level by automating the process.
- Reduces the delay in obtaining information about existing NHS staff following transfers.
- Improves the range and quality of data transferred between Trusts.
- Facilitates the earlier production of Contracts of Employment as a result of more timely and accurate data transfer.
- Ensures the employee is paid correctly from the first day of employment as previous service/salary is transferred providing a better quality service to the new employee.
- Enables the standard reference request to be sent at the applicant stage in order to support the recruitment decision.

4.4.4 Key Points to remember

- Embed the IAT process into the recruitment procedure.
- Start the IAT initiation process as early as possible e.g. whilst the Applicant stage.
- Ensure that there are robust local procedures for responding to the incoming IAT requests where your organisation has chosen to ‘Opt Out’ of the automation of IAT or where a 100% match cannot be made for the person.
- An IAT Initiator and an IAT Approver role must be set up in both the Previous and Requesting Employing Authorities. It’s critical that coverage is provided for planned and unplanned absence to deal with Non-Auto IAT requests.
- Set the supervisor field in the assignment record of every user that has been given the IAT Approver Role. If a notification has not been responded to by the IAT Approver, after 6 days the notification will move to the IAT Approver’s supervisor. This does not apply for the Automated IAT process.
- Include the automated reference request process into current recruitment practice.
Assign the appropriate personnel into the Reference Receipt and Reference Approver roles
Ensure prospective employees are aware of the automated reference process in place

4.4.5 Useful Reports for IAT

A number of IAT specific reports are available. These are:

- IAT Tracking Report – tracks the status of initiated IAT’s.
- Full PDS Report – details of all data items transferred in the PDS, excluding Occupational Health information.
- PDS Exception Report – details of data provided by source trust but not updated on transfer, excluding Occupational Health information.
- NHS IAT Audit Report - enables an NHS organisation to report on both Inbound (IATs requested) and Outbound (IATs received) in a defined period and whether these were undertaken by the Auto IAT process or not

For more detailed information refer to the IAT user guide available on Kbase:- [Click here to access]

4.5 New Hires

A critical element of good HR practice is to ensure that the new joiner process is both effective and efficient. Ensuring that the right people are placed into the right position on time and with all the relevant checks and induction processes complete is essential to maintaining an effective workforce. The ESR interface to CIS ensures that new starters are issued with Smartcards in a timely manner and provided with the correct access to NHS CRS applications on the individual’s first day in the role. There are a number of activities which can be captured on ESR, assisting in the reporting and recording on the New Hire process.

The HR best practice guidance document recommends the use of the recruitment module to assist with the administration of the recruitment process and tracking of any employment checks that have to be undertaken. The new hire process completes the actions initiated in the recruitment phases and should include updates to the employment checklist and any contractual requirements agreed with the new employee. Where a new employee has gone through the recruitment process and has an applicant record in ESR then it is important that the successful applicant is hired from their application and not added to ESR as directly hired via the HR functionality. This creates a duplicate record for the person and will cause complications in other parts of ESR, such as OLM.

It should also be remembered that the validation of data when entering a new starter is a key aspect of HR best practice. (Refer to Local Procedures and compliance with Minimum Data Standards)

The hire process can be broken down into a number of key tasks that need to be completed before the employee starts and also once they have joined the organisation.

4.5.1 Considerations at Hire stage

When hiring an employee, there are a number of important considerations before completing the process. If these are not completed correctly they may cause issues at a later stage and can lead to under/over payments and incorrect information on the employee’s record.

There are two routes through which a person can be hired:

1. The person has gone through the recruitment process and is an applicant. This includes where they either are an applicant only or are an existing employee that has gone through a recruitment process and is therefore an employee.applicant

In this scenario ensure that they are hired from their application record. Their application will be visible in the HR URP once they have a status of ‘Offer Accepted’. This status must be in situ at least one calendar day before they can be hired.

2. The person has not gone through a recruitment process and is to be directly hired into their position.
One main issue faced on new hire is where the applicant is an employee already in the organisation. If this is the case, consideration must be given to the treatment of the existing position, including whether the new job is additional or a replacement for the current job. The answer will dictate what option you should choose when hiring an internal applicant. Always ensure you are clear on the right approach, if it’s a replacement position or additional.

If you hire an applicant with an existing primary employee assignment, you will be asked if you want to update the primary assignment.

![Image](image_url)

If you select Yes, you will be asked: "Do you want to retain the values of the employee primary assignment for the fields that are not defined in the applicant assignment?"

- If you answer ‘Yes’, then only fields that have values entered for them in the applicant assignment will be used to update the primary assignment. Fields that have no value entered in the applicant assignment will remain as they are in the employee assignment. For example, if you have defined Employee A as a supervisor for the employee assignment but not set up a supervisor for the application assignment, when you choose ‘Yes’, Employee A will remain as the supervisor for the new employee assignment.

- If you answer ‘No’, then all values in the applicant assignment, including the null values, will be used to update the primary assignment. For example, if you have defined Employee A as a supervisor for the employee assignment but not set up a supervisor for the application assignment, when you choose No there will be no supervisor defined for the new employee assignment.

Note: Where a Deanery applicant who is also an existing employee, is being hired into a new primary position (as opposed to creating a secondary assignment) then the user will be given a prompt to ask if they wish to retain the Grade and Grade Step from the current primary assignment on the new hire assignment.

If the user clicks ‘Yes’ then these values will be retained as those on the primary assignment prior to the hire being initiated ensuring that their salary scale and step are retained and not changed to the default grade of the position.

For example: Dr Singh is on MN37 point 3 in his current position. He is hired into his next rotational post at the same organisation via the Deanery interface. His new post’s default grade is MN25. When he is hired, the prompt is raised because he is an existing employee in a position with a DPN number where the default grades differ between his current grade and the new position. The user who hires him into his new post, selects ‘Yes’ at the prompt. The doctor is hired into his new position but his MN37 point 3 salary has been retained.

Refer to the User Manual for more information.

Ensure that you have agreed the process you should follow with your HR and/or Payroll team.

Another common issue is where changes to the hire date are required. This often causes a number of issues and in many cases can be avoided with observation of the correct date track date when hiring an applicant or adding a direct hire. However, where a genuine start date changes and the manager and new employee have agreed this, ESR can generally be amended providing there have been no payroll actions performed. The payroll department will need to be informed so they can re-input information into the new record. Where payroll actions are preventing the amendment, liaise with your payroll department to check whether it’s feasible to remove these changes. Where payrolls have been run it will be necessary to make manual adjustments. For further advice on how to deal with changes to hire date refer to the ESR Infopoint [Click here to access].

Note: You cannot reverse hire an existing employee who has been hired from the recruitment module.
On hire, always click into the Descriptive Flex Field (DFF) items for both the employee and the assignment. These contain information that will then default such as the Occupational Sick Pay scheme and also the number of incremental points that will be progressed as part of a normal incremental process. Other items of note on the DFF that should be completed are Continuous Service Dates (3 and 12 months) - which will have effects on maternity and sickness entitlements and NHS Service dates. Date of Birth Verification is required for NHS Pensions purposes and also for ensuring Employees reaching State Retirement Age have their National Insurance Contributions stopped at the relevant time. This field must be populated with the date that the person's DOB was verified and not their actual DOB.

It is critical that you select the correct Occupational Sick Pay scheme depending if the person is a Bank worker or substantive employee. This must also be checked where changes are made between substantive employment and Bank only contracts.

If applicable for the employee select the appropriate NHS Occupational Maternity Pay Scheme.

The Aggregate Service Years and Days fields are designed to allow for the capture of additional NHS service that will affect the Annual Leave entitlement against the Annual Leave Hours/Days Accrual Plans. If left blank, entitlement for the hours based plan is derived from the Latest Start Date. If left blank, entitlement for the days based plan will look to see if there is a date entered in the Continuous Service Date value on the accrual plan and if that is blank, will then default to using the Latest Start Date. Where employees do have previous NHS service either at their current employer or at other relevant organisations, then the correct number of Aggregate Years and Aggregate Days additional service needs to be recorded.

For example:

Rebecca Jones commences employment on 1st April 2014. She is on the AFC T&Cs and the NHS Hours accrual plan is attached to her assignment. She has worked at previous NHS organisations for an aggregated period of 4 years and 6 months. Therefore, her Aggregate Years will be 4 and her aggregate days will be 182 (based on the six month period of previous employment 1/10/2013 – 31/03/2014). This ensures that her entitlement would increase correctly once she has reached the 5 year mark 6 months after her start date with her new organisation (01/10/2014).

Recording Benefits Entitlements

The following fields on the additional person DFF should be completed where relevant to record the dates that any of the following statutory benefits were paid to the employee. This enables the new employer to establish any new dates that they need to enter into their own record for the employee where necessary to ensure that no overpayments are made, for example, should the employee be made redundant again at another NHS employer:

- **CSD 1 Week Date** – to identify Redundancy entitlements. This will set a marker from which the 104 week qualifying period for redundancy pay is calculated from. This needs to be identified and established by the employing Trust for all new starters to identify any who take unpaid time between employments.
- **Loss of Office Payment Date** - to show that payments (Redundancy, VSS, MARS) have been paid up to and including that date
- **Loss of Office Reckonable Service Date** - to act as a marker from which any future reckonable service for redundancy or loss of office payment is calculated from in conjunction with the CSD 1 week field above that would commence from the same date
- **NHS Pensioner (Yes/No Flag)** - to identify employees who have received/are in receipt of benefits from the NHS Pension Scheme. This helps to ensure that the employee is not made a member of the NHS Pension Scheme if they are not entitled to be
- **Date NHS Pension benefits paid to** - linked to the redundancy rules to ensure that reckonable service and continuous service are correctly established for any future redundancy calculations

- All fields except CSD 1 Week will be copied over as part of the IAT process.
- All fields will appear on the Inter Authority Transfer – Portable Data Set Request Authorisation Notification. The CSD 1 Week will be for information only and not copied over as part of the Portable Data Set.
On the Assignment DFF, information on fixed term contracts can be entered, such as the end date, which will feed expiry notifications and reports when these dates are approaching. This date does not automatically end date the fixed term contract; it is recorded simply as a source of information. A decision must be made locally how to manage these terminations both on ESR and contractually.

For any individual assignment where an Exit Questionnaire notification is required, the ‘Exit Questionnaire Required’ field of the assignment descriptive flexfield should be updated with the value of ‘Yes’ prior to the termination being entered.
It is advisable to complete this field at the hire stage as this cannot be retrospectively actioned once the termination details have been entered.

4.5.2 Key points to remember

☑️ Always complete the recruitment process by hiring the new employee from their successful application. Ignoring the application and direct hiring causes duplicate records to exist in ESR and breaks the link between recruitment and employee data. In addition any pre IAT data such as statutory and mandatory competencies transferred to the applicant record will not be available in the employee record.

☑️ Agree the process to follow when hiring an existing employee into a new position.

☑️ Ensure that any other simultaneous applications in place have been updated to the correct status.

☑️ Ensure that a person's legal name is used as this may have implications for interfaces such as Pensions and Professional Registrations and the ESR interface to CIS. This is also important with the introduction of Real Time Information (RTI) to improve the operation of PAYE. If a person is known by a different name then this should be recorded in the 'Known As' field on the person details form.

☑️ Employees should normally be appointed to the minimum point of the payscale, unless previous experience is eligible towards incremental credit.

☑️ Ensure the Date of Birth Verification field is populated with the date that the employee’s DOB was verified by the employer.

☑️ Attach the correct annual leave accrual plan to each assignment that the employee has and populate the aggregate service years/days fields to derive the correct entitlement.

☑️ It is important to hire in a timely manner as it is only after hire that certain actions are possible: e.g. use of CRS Smartcards, amendment of self-service data.

Supervisor field - The value entered in this field determines the Self Service supervisor hierarchy and the recipient of workflow notifications and alerts regarding the employee. Therefore it is important that consideration is given to the supervisor structure within an organisation prior to populating this field.

In addition, if the Supervisor's Assignment number is not populated on the Employee's Assignment, the Manager will not be able to see the employee through Manager, Supervisor or Administrator Self Service URPs.

If a supervisor is terminated, the hierarchy below that supervisor will not be available to the Managers above the supervisor that has been terminated. This means that as part of the leaver process there is a need to link the employees below the terminated supervisor to another supervisor in the hierarchy so they can be displayed correctly.
Trusts must decide how to populate this field and keep it up to date i.e. should it hold the individual’s line manager or should it be the departmental manager? Consideration will also need to be given where implementing Administrator Self Service, as the Administrator will be required to be in the employee’s Supervisor field on the assignment, rather than the line manager.

4.5.3 Appointing Locum or Fixed Term Medical and Dental Staff

As stated in section 4.2.8. The following Data Standards apply when setting up Locum or Fixed Term positions for M&D staff and hiring staff into these positions.

Criteria 1: Locum Medical and Dental Staff Ad-Hoc (Zero FTE)

<table>
<thead>
<tr>
<th>Occupational Code</th>
<th>Pre-fix ‘1’: Hospital based Locum or Pre-fix ‘2’: Community and Public Health based Locum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position Title</td>
<td>Pre-fix free text with ‘Locum Ad Hoc’</td>
</tr>
<tr>
<td>Assignment Category</td>
<td>Locum</td>
</tr>
<tr>
<td>Contracted Hours/Session</td>
<td>= Zero</td>
</tr>
<tr>
<td>FTE (Contracted)</td>
<td>= Zero</td>
</tr>
<tr>
<td>Contract Duration</td>
<td>No End Date</td>
</tr>
<tr>
<td>Contract Reason</td>
<td>Not applicable</td>
</tr>
<tr>
<td>Contractual Status</td>
<td>‘Worker’</td>
</tr>
</tbody>
</table>

**NOTE:** Although, Ad Hoc, zero hour locums do not have contract end dates, these appointments should be reviewed every 12 months, as a minimum, to ensure they are still required by the Trust / Health Board

Criteria 2: Fixed Term Medical and Dental Staff (with Contracted FTE)

<table>
<thead>
<tr>
<th>Occupational Code</th>
<th>Pre-fix ‘1’: Hospital based Locum or Pre-fix ‘2’: Community and Public Health based Locum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position Title</td>
<td>Pre-fix free text with ‘Locum Fixed Term’</td>
</tr>
<tr>
<td>Assignment Category</td>
<td>Fixed Term Temp</td>
</tr>
<tr>
<td>Contracted Hours/Session</td>
<td>&gt; Zero</td>
</tr>
<tr>
<td>FTE (Contracted)</td>
<td>&gt; Zero</td>
</tr>
<tr>
<td>Contract Duration</td>
<td>Fixed Term / Temp Contract End Date</td>
</tr>
<tr>
<td>Contract Reason</td>
<td>Select appropriate category from ESR List of Values ①</td>
</tr>
<tr>
<td>Contractual Status</td>
<td>‘Employee’</td>
</tr>
</tbody>
</table>

Criteria 3: Fixed Term Medical and Dental Staff (Junior M&D and Fixed Term Appointments for Service)

<table>
<thead>
<tr>
<th>Occupational Code</th>
<th>No Pre-fix required – use standard Occupation Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position Title</td>
<td>Pre-fix free text with: ‘FTAS’ (Fixed Term Appointment for Service) ② or ‘LAS’ (Locum Appointment Service) ③</td>
</tr>
<tr>
<td>Assignment Category</td>
<td>Fixed Term Temp</td>
</tr>
<tr>
<td>Contracted Hours/Session</td>
<td>&gt; Zero</td>
</tr>
<tr>
<td>FTE (Contracted)</td>
<td>&gt; Zero</td>
</tr>
<tr>
<td>Contract Duration</td>
<td>Fixed Term / Temp Contract End Date</td>
</tr>
<tr>
<td>Contract Reason</td>
<td>Select appropriate category from ESR List of Values ①</td>
</tr>
<tr>
<td>Contractual Status</td>
<td>‘Employee’</td>
</tr>
</tbody>
</table>

**NOTE:** LAT (Locum Appointment for Training) are fixed term attachments on the Deanery Training Scheme and are treated the same as other training attachments. They use the same ESR Position Number linked to Deanery Post Number as other Deanery appointed trainees to enable the interface between the Deanery system and ESR. As with all other Medical & Dental staff in training they hold a Fixed Term Contract. However, the fixed term reason will be ‘Training Contract - LAT’
ESR Fixed Term Temp Contract Reason List of Values

Employers can use Trust Grade doctors either ‘Trust Grade Doctor - Career Grade level’ or ‘Trust Grade Doctor - Specialty Registrar’ or ‘Trust Grade Doctor – Foundation Level’ to cover fixed term vacancies

LAS are managed in ESR as Fixed Term Appointments

4.5.4 Update NHS Employer Mandatory Employment Checks

The NHS is required to meet the NHS Employment Check Standards (July 2013) or all staff, volunteers, contractors etc. providing NHS services. Responsibility for these checks generally sits with the HR department.

The six checks that must be undertaken are:

- Verification of Identity
- Right to Work
- Professional Registration and Qualifications
- Employment History and References
- Criminal Records
- Occupational Health

More detailed information about each of the six mandatory checks is available: [Click here for access]

As many of the employment checks are designated as Pre-Employment, they will have been undertaken in the recruitment process when making the applicant a conditional offer of employment. However, some checks also need to be completed on new hires. It is recommended that identification; qualification and registrations details are also checked as part of the hire process. Checking of identity for all new joiners is a key requirement within the safer recruitment practices recommended by NHS Employers, as well as providing the evidence to meet the national e-GIF (e-Government Interoperability Framework) Level 3 standards required for identity checking (see section below on CIS). e-Gif sets out the government’s technical policies and specifications for achieving interoperability and information systems coherence across the public sector. The e-GIF defines the essential pre-requisites for joined-up and web enabled government. It is a cornerstone policy in the overall e-Government strategy.

Within ESR the functionality to record the types and documents checked is available on the Verification of ID forms (recruitment and hire), which can be accessed from the main NHS Employer Mandatory Employment Checks form. These must be completed as part of the recruitment and or appointment process. (Refer to Local Procedures and compliance with Minimum Data Standards).
4.5.4.1 Care Identity Service (CIS) (ESR interface to CIS)

The Centre for the Protection of National Infrastructure (CPNI) sees identity verification as the most fundamental of all pre-employment checks. It should be the first check performed and an application should not progress until the employer is satisfied that a person's identity is proven.

If an employee requires access to the NHS Care Record Service (CRS) clinical systems then their identity will need to be validated to e-Gif level 3 by a Registration Authority (RA) Agent who themselves have been authenticated to e-Gif level 3.

Integrated Identity Management (IIM) combines the currently separate processes within Registration Authority and Human Resource teams, for capturing and managing employee identity. Care Identity Service (CIS) software, made available by NHS HSCIC, is faster and more efficient and supports an electronic, paperless system for the NHS.

An interface between the ESR solution and CIS is in operation to support IIM. HR functions currently update ESR when changes are made regarding an employee's assignment. The ESR interface to CIS is triggered by such changes and automatically updates an individual's access rights to NHS computer systems linked to the NHS Spine; reflecting the needs of their new position. The interface enables NHS organisations to manage access control via a single point of data entry, i.e. the change to an employee’s position within ESR, thereby generating further savings for the NHS.

Combining and integrating these two parallel activities into a single Integrated Identity Management (IIM) via the ESR interface to CIS has been proven to deliver the following benefits:

- Improvements in information governance;
- Reduction in the costs of managing employee identity;
- Elimination of unnecessary duplication of activities between and within HR and RA functions;
- Allows organisations to activate a new employee's access to a Smartcard immediately, and to suspend it immediately when they leave. Having this capability ensures prompt and appropriate access to clinical systems.
- Organisations using IIM can move organisational boundaries more easily, making restructuring both faster and simpler;
- Smartcards can be prepared in advance of hire date whilst ensuring access to NHS CRS systems is not provided until the applicant has been hired.
- Supports the NHS Care Record Guarantee and commitment to protecting patient confidentiality.

The e-Gif level 3 validation is applied when the verification of ID forms have been completed and the name of the RA Agent who verified identity is specified. In order to ensure that they appear in the list of values (LOVs), all RA Agents will need to be assigned to the NHS CRS RA Agent supplementary role.

Where an NHS organisation has contracted out responsibility for undertaking identity checks for its staff then an External Shared Service person record must be set up and linked to the User Account in the relevant VPD. If they are also undertaking RA Agent responsibilities for that VPD then they must also be assigned to the NHS CRS RA Agent supplementary role to ensure their name appears in the LOV.

The e-GIF flag can be set in ESR via the Recruitment verification of ID form where the applicant is at ‘offer accepted’ status and via the hire verification of ID form where the employee has been hired. The ESR interface to CIS then allows for a search to be performed identifying if the user already has an NHS CRS Smartcard or requires one to be prepared. There are three scenarios;

1. **The person does not already have an NHS CRS record and requires one creating**
   In this scenario a ‘create NHS CRS person request’ can be submitted which will result in a new user record being created in NHS CRS using the person details already held in ESR.

2. **The person has a closed NHS CRS record that needs to be re-opened**
   In this scenario a ‘Re-open NHS CRS person request’ can be submitted which will result in the closed user record on NHS CRS being re-opened.

3. **The person has an open NHS CRS record**
   In this scenario the ESR employee record can be associated to the NHS CRS User Record at hire.

Once the person concerned has been found, created or re-opened the final step is to ‘Associate’ the ESR person record with the NHS CRS user record. This activity can only be completed at the hire stage.
Following the ‘Associate’ a user in CIS cannot make any changes to the person details in CIS, any name changes in ESR overwrite those in CIS. Additionally, the ESR interface will ‘control’ access rights for all employees on ESR who are assigned to an ESR position which is linked to an NHS CRS Access Control Position.

The ESR interface will ‘control’ access rights for all employees on ESR who are assigned to an ESR position which is linked to an NHS CRS Access Control Position. Following this, the employee’s access rights to NHS CRS are controlled by the access rights defined by the Access Control Position which is linked to the employee’s assigned ESR position/s. ESR control is only released when an employee leaves (and is terminated on ESR) or no longer has an active ESR position that is linked to an NHS CRS Access Control Position or no longer has an active assignment to an ESR position linked to an NHS CRS Access Control Position.

To ensure ESR users are aware of any errors that are returned from CIS, two workflow roles are available to receive notifications if a NHS CRS “Request to Reopen an NHS CRS User” or “Request to Create New NHS CRS User” returns an error from CIS:

4.5.5 Key points to remember

- Ensure that External Shared Service (ESS) user accounts have a person record linked to their user account
- Ensure that Registration Authority (RA) Agents are assigned to the NHS CRS RA Agent Supplementary Role, including External Shared Service (ESS) people.
- Ensure that appropriate staff are assigned to the relevant NHS CRS error roles
- Allocate the appropriate (with RA) User Responsibility Profiles to Registration Authority (RA) Agents (URPs)
- There may be a requirement to respond urgently to requests for access to Clinical Systems via CRS Smartcard for reasons of patient care

4.5.6 Completion of IAT

As noted earlier, Inter Authority Transfer (IAT) is a key benefit of ESR. The NHS has many employees who will move between different NHS organisations and having the ability to maintain a single record of their qualifications, training, absence history (for Occupational Sick Pay purposes) and national competencies is essential. Whilst it is recommended that IAT is initiated in the recruitment process (at the conditional offer stage) the transfer of the Portable Data Set (PDS) can only be completed once the applicant has been hired. Once you have created the employee record by hiring the applicant, the IAT Initiator(s) within your organisation can perform the PDS copy and bring forward from a previous employer the employee’s record. The reports allow for the full reporting on a new employee’s IAT record and exceptions not copied during the IAT process.

4.5.7 Data Validation and Quality

A key aspect of ESR is the ability to report from a central source on a wide range of workforce information. However these reports can only be of use if the data quality within ESR is managed. A number of reports are available to assist with data quality, for example the ESRBI NHS Data Quality Dashboard which covers a number of key areas. It is intended that the ESRBI report will be extended over time to cover additional areas in line with local and national requirements.

The drive for improving data quality is also supported by the use of the WOVEN validation process developed in collaboration with the Health and Social Care Information Centre (HSCIC).

In addition information is available via the HSCIC website relating to the National Workforce Data Set (NWD) and Workforce Minimum Dataset. [Click here to access]

Data validation on a new hire is also important to ensure information such as their supervisor, the grade step, any entitlements are entered as elements and that the allocation of the correct Payroll is made. At the point of new hire, it will be necessary to place the employee on a payroll and also to check the correct financial codes have been applied. Checking this information is correct here will save time at a later point.
Users should refer to their local procedures.

Users within Wales are required to monitor compliance against the All Wales MDS Standards implemented on the 1 April 2011.

4.5.8 Allocation of Elements

The allocation of certain, often contractual, entitlements must be completed prior to payroll processing and will include for example any other allowances, annual leave entitlements and pension contributions.

Annual Leave recording is becoming important in the NHS with annual returns required on the taking of leave and where leave is undertaken. ESR is assisting in this with the availability of a number Annual Leave reports and the ability for employees using Employee Self Service to request annual leave from their Supervisor. Annual Leave elements have been built to allow for the recording, in hours or days, annual leave allocated to an individual and track what has been taken. If these accrual plans are not set up against each assignment that an employee has, the reporting and self-service elements will not work.

4.5.9 NHS Pensions & HMRC considerations for a New Joiner

ESR has different field validation rules to those utilised by the NHS Pensions and HMRC systems for New Joiner activity. Consequently, it will be necessary to carry out additional checks on the person data to ensure data quality and accuracy. The introduction of HMRC Real Time Information improved the operation of PAYE and requires accurate information to be recorded in the appropriate fields. Users should be aware that for each new assignment created, there is a potential of creating a new Pension record. Therefore, the following data items require particular attention:

**Last Name (Surname)** – Ensure that the full legal last name is entered in the Last Name field on ESR; Be careful – when checking against some official documents where last names might be presented first; Make sure characters are allowable such as only using letters/spaces/ hyphens and apostrophes. Ensure that titles and first names are not inadvertently held in this field. If so this should be amended before first payment is made. Double-barrelled last names can be entered so long as a hyphen or space separates the two names where appropriate.

**First Name (Forename)** – Ensure that the full legal first name is entered with the correct spelling in the First Name field on ESR; Use David, not Dave or Margaret, not Maggie unless that is their legal first name. If the employee has a middle name, ensure that it is entered full in the Middle Name field on ESR. Do not record it in the First Name field; Be careful – when checking against some official documents where last names might be presented first.

This field must be completed and should be more than one character in length. If not correct this should be amended before first payment is made. Double-barrelled first names can be entered so long as a hyphen or space separates the two names as appropriate.

**Known as** – If a person is known by another name, then enter the ‘known as’ name into the ‘Known as’ field on the tab on the person form. Do not enter the known as name in brackets on the last name/first name fields.

**Title** – Ensure that the correct Title is recorded in the Title field in ESR; do not enter the Title in the Last Name, First Name or Middle Name fields. If missing, refer to the HR department.

**National Insurance Number** - Ensure that the NINO held against an employee, in the NI Number field on ESR, is correct. A NINO begins with two letters, followed by six numbers and then a final letter which will be A, B, C or D;

The ESR solution does validate entry for invalid formats – including invalid prefix and suffix;

If you do not know the correct NINO, leave the field blank on ESR. Do not ‘make up’ a NINO or use a default NINO.

**Date of Birth** – Check to see if the date of birth is within the expected range. Employees should be within the permitted age parameters for NHS Pension Scheme membership. Where a date is obviously wrong please ask HR to verify and correct. Also, make sure Dates of Birth are Verified and marked accordingly on
ESR as shown below. Ensure that the date of birth held is not a default date or one that has been ‘made up’.

**Date of Birth Verification** – Part of the employment check list includes checking Passports etc. Therefore, Employing authorities are expected to complete this detail for a New Joiner. If the DOB cannot be verified then under Employment Law there must be a question mark over the legal employment of the person and you could be subject to possible penalties. The verification is essential for NHS Pension purposes and also for correct automatic cessation of National Insurance Contributions on reaching state Retirement Age.

The date of verification must be entered on the Additional Personal Details form for all New Joiners.

<table>
<thead>
<tr>
<th>Additional Personal Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruitment Source</td>
</tr>
<tr>
<td>NHS Organisation</td>
</tr>
<tr>
<td>Date of Birth Verified</td>
</tr>
<tr>
<td>CSD 1 Week</td>
</tr>
<tr>
<td>CSD 3 Months</td>
</tr>
<tr>
<td>CSD 12 Months</td>
</tr>
<tr>
<td>NHS Entry Date</td>
</tr>
<tr>
<td>Loss of Office Payment Date</td>
</tr>
<tr>
<td>Loss of Office Reasonable Service Date</td>
</tr>
<tr>
<td>NHS Pensioner</td>
</tr>
<tr>
<td>Date NHS Pension Benefits Paid To</td>
</tr>
<tr>
<td>Maiden Name</td>
</tr>
<tr>
<td>NHS CRN Preferred Smartcard Display Name</td>
</tr>
<tr>
<td>WTR Opt Out</td>
</tr>
<tr>
<td>WTR Opt Out Date</td>
</tr>
<tr>
<td>NHS OSP Scheme</td>
</tr>
<tr>
<td>NHS OMP Scheme</td>
</tr>
<tr>
<td>Legacy Employee Number</td>
</tr>
<tr>
<td>Legacy Payroll Number</td>
</tr>
<tr>
<td>Pension SD Number</td>
</tr>
<tr>
<td>Proj New Starter NIF Sent Date</td>
</tr>
<tr>
<td>Latest Hire NIF Sent Date</td>
</tr>
<tr>
<td>Aggregate Service Years</td>
</tr>
<tr>
<td>Aggregate Service Days</td>
</tr>
</tbody>
</table>

**Date Commenced** – Please check for reasonableness and where obviously wrong arrange for HR to correct.

**Pension NHS Element** - This element is used to provide NHS Pensions with appropriate data concerning the employee’s scheme membership and can affect benefit entitlement. It is therefore essential that the following fields are reviewed and amended as required:

- **Capacity Code (and Deduction Banding)** – ESR sets to a default of Nurse and 9.3% - This will need to be reviewed and amended as appropriate
- **Override Pen Start Date** – only complete if employee has overlapping NHS Pension service with a previous NHS Employer
- **Opt Out** – This should be left as ‘No’ unless a valid opt-out (SD502) form has been received.
- **Opt Out Reason** – This should be left blank unless a valid opt-out (SD502) form has been received.
- **Opt Out Date** – This should never be completed.
- **MHO Status** – Relates to Mental Health Officer Status. The default is None but should be changed where appropriate.
• Employment Type – This is linked to the Capacity Code and certain validation rules apply.

Details of how to complete this element are contained in the ESR – NHS Pensions Interface Guide available on Kbase. It is essential that HR and Payroll collaborate on the completion of this element.

Note – In many organisations this will be completed by Payroll and not HR. It is critical you ensure clear responsibility is defined.

National Insurance Contributions – Do not forget to change the NI Contribution letter where the employee opts out or is not a member of a contracted out scheme.

SD Number – The SD Number is held on the Person form in ESR and is updated by the pension inbound interface. NHS Pensions have advised that there are quite a high number of errors caused by incorrect SD Numbers being entered on New joiner Records. For example, someone who previously had a refund from the Scheme would not have retained that SD Number. Although SD Numbers now stay with the person NHS Pensions have requested that these are not entered on ESR for New Joiners. The inbound pension interface will populate the information on ESR.

Added Years – IAT Process – The IAT process will provide details of employees who paid Added Years with their previous employer. Please ensure your Trust uses the IAT facility to transfer this information.

Standard Hours – NHS Pensions will reject any record with standard hours / sessions of zero unless the Assignment is Bank or Locum.

ESR to NHS Pensions New Joiner Interface Frequency

The ESR to NHS Pensions New Joiner interface is forwarded at the end of each pay period and pensionable assignments paid for the first time in that period will be included. Normally the New joiners Interface files are processed within a few days of the end of the pay period and the inbound interface will populate ESR with the SD Number, Employment ID and Scheme Identifier.

Assignment type of “Locum”

NHS Pensions require that any assignment of type “Locum” must have values set on their pension element as follows:

• Capacity Code of 3
• Employment Type of either 2 or 3

Any other entry is regarded as an error by NHS Pensions.

Users within Wales are reminded to apply the Wales National Definition for ‘Locum’ as identified in section 4.5.3.

Please note: Entries for any record that do not meet the above validation requirement will cause the NHS Payroll Run to fail and will be highlighted on the Payroll run with the following error message:

**APP-XXH-50019: Employee is not eligible to receive this element. ACTIONS: 1) Select another element, 2) Modify selected criteria or 3) Create a valid condition.**

Payment of Ad hoc Salary

There is a growing practice for Employing Authorities to agree a payment in advance and treat this as an ad hoc payment. Account should be taken of the Standard hours / Sessions for the Grade and the number of hours/ sessions required as part of that contract. This detail is essential for information to be passed onto NHS Pensions. Simply agreeing a one off fee of £500 will lead to the pension record being rejected.

This type of situation is among the top five errors in respect of the new joiners interface.

Refer to User Notice - UN1441 regarding Pensions Interface Fatal errors.
Questions to ask a New Joiner

1. TN1/2013 informed you about the New Employee Questionnaire. This questionnaire is to be completed by all employees as part of the induction process so that you can determine their eligibility to join the Scheme. It was updated in January 2013 to meet the requirements of Auto Enrolment to assist you in determining the employee’s status and it is therefore advised to use the latest version which can be found on the NHS Pensions website [Click here to access].

2. Employees should return the completed form to you to action and retain, there is no need for it to be forwarded to NHS Pensions. If the employee is eligible to join the Scheme their new pensionable employment will become active on our records once the joiner form is received.

3. There is also a need to capture the employees Tax situation to help HMRC allocate the correct Tax Code. Employees should be asked to confirm if this is their first employment in the tax year; or if this is their main paid employment; or, if they are employed elsewhere and this is their secondary position.

4.5.10 Systems Access for New Joiners

There are a number of considerations for a new joiner in relation to system access, including whether they need ESR access in a professional, managerial or employee capacity. If any of these access rights are required, then an ESR user account will be necessary. ESR access is provided through:

ENGLAND: NHS CRS Smartcards and the allocation of a card through the Registration Authority Process will be required for the ESR access. From the perspective of best practice the ESR interface to CIS should be used to perform the Registration of individuals and prepare Smartcards. User accounts with access to the following URP only are currently exempt from Smartcard and can be accessed via ESR username and password:

- Learning User
- E-learning User
- Employee Self Service
- Employee Self Service (Limited Access)
- Supervisor Self Service (Limited Access)

Designated Registration Authority (RA) Agents should be allocated the relevant URP (with RA)* responsibilities which are replicas of the basic URP but also provide RA Agents access to the Registration functionality enabled via the ESR interface to CIS. This enables the completion of the verification of identity checks so that employees can be given the appropriate position based access to NHS CRS clinical systems. Refer to section 4.5.3.1 above for further details.

The list of RA URPs is:

- RA Workbench
- HR Administration (with RA)*
- HR Data Entry (with RA)*
- Recruitment & Applicant Enrolment Administration (with RA)*

Consideration should also be given to whether the new employee requires access to the National Learning Management System (England Only) to enable access to play e-Learning content. If an organisation is using the learning management module in ESR, the new employee can benefit from access via Employee Self Service to the Organisations training catalogue as well as other features.

As stated under the Workstructures section, if desired, ESR User Accounts can be automatically created.

The New Starter Notifications can be sent to different ESR users, and systems administrators can be added to the list of role holders who receive these notifications. The notifications work on either a projected hire date or actual hire date – providing up to 14 days notification of new starters prior to their start date.

4.5.11 Induction

By using Oracle Learning Management (OLM) within ESR, ESR users can benefit from an integrated system and enable the direct booking of the applicant or new joiner on to any induction courses offered by the organisation. As a record is added to ESR, even at applicant stage, a place on the induction course can
be booked through either Manager Self Service or Learning Administration URPs. This process of planning ahead will allow the employee to attend an induction programme early on their employee life cycle, and ensures the organisation is meeting statutory and mandatory training targets, as induction should include these types of courses. Following the point of hire, as outlined above, access to the e-learning platform can be granted and any pre or post classroom learning can be undertaken.

The IAT process transfers details to the ‘Stat & Mand Competencies Nf’ Role Holder about any National Statutory and Mandatory Competencies held by an individual at the pre hire stage and where any of these have been subsequently updated before hire, IAT will update the record again in the requesting organisation ensuring that up to date information is available.

4.5.12 Assignment Changes

Adding assignment changes to ESR will be the final step following discussions with the affected parties. This potentially may include HR, the employee, the manager and finance. Assignment changes often have a resulting financial implication, such as an increase in establishment where hours are increased or decreased, or where an ‘acting up’ agreement is in place. Changes to assignment status will also grant/revoke access to NHS CRS applications as appropriate. Before adding details to ESR, it is important that locally agreed processes are followed to agree the change and ensure any contractual adjustment is made.

The assignment within ESR brings together all elements of an employee’s job within the organisation and enables the allocation of payroll and workforce information. Throughout the employee's life cycle there may be a number of requirements to amend, add or replace assignment information.

Whilst the assignment contains a number of different items which can be amended relating to an employee’s terms and conditions, such as a change in hours, an acting up period, or a change of locations within the organisation, there is a fundamental principle of ‘Date Tracking' which is key to all these changes.

Within ESR, Date Track controls the date on which amendments come into effect for the employee. It is essential that, when making changes to an assignment, users select the correct date. This can be done in two ways:

1. Entering the date when prompted on accessing a record.
2. Click the Alter effective date button on the toolbar

Once the effective date has been set the appropriate changes can be made.

The use of date tracking enables changes in the future to be made as soon as you are aware that the employee’s record needs amending.

If an organisation intends making future dated changes using Date Tracking, this should be agreed through your local audit and ESR governance group and an appropriate monitoring procedure agreed, such as running the Employee Change Event Log report. This details changes to the employee’s record, the dates applicable and the user who made the changes. This report enables the checking and monitoring of changes made to ESR within certain periods.

It is critical with the implementation of interfaces from ESR to third party systems such as Rostering, Time and Attendance, Care Records Service that changes to assignment statuses are input in a timely manner.

Where a change is to be applied from a historic date, these can be applied and any changes to pay that are affected can be included in the Retro Pay process, which when run by Payroll, will calculate arrears/adjustments to the employee's pay.

To provide a quality service to the employee and thereby reduce the risk of stress or anxiety, the payment of arrears or recovery of overpayments can be avoided by the timely input of changes to assignments. The late entry of changes is best avoided where possible.

When making changes to an employee’s assignment, there are a number of options that may apply. When saving the record, the options presented will depend on what has been changed on the assignment record.
**Update** - Updated values are written to the database as a new row, effective from the date tracked effective date, without an end date, making the details valid from this date. The old values remain effective up to and including the previous day.

**Correction** - The updated values override the old record values and inherit the same effective dates as they were before the correction.

**Insert** - The changes made will remain in effect until the effective end date of the current record. At that point the future scheduled changes take effect.

**Replace** - The changes take effect from now until the end date of the last record in the future. All future dated changes are deleted.

Details on how to use each option are explained within the User Manual. Ensure that the correct option is applied for the scenario you are processing.

Where advanced date tracking entries are part of the locally agreed procedure, before making a change to an employee’s record, a check of the Date Track History can help identify any further actions that may need amending following the change. Clicking the Date Track History Icon provides a summary and detail on the changes that have been made on the assignment. This is a useful tool when assessing changes on an employee’s record and can give a quick reference on employee history.

Managing assignment changes may also require the removal of certain changes. Within ESR, a deletion can be made to remove a specific date track change, or a series of changes. On the Assignment form clicking the delete button, will enable you to purge, or end date certain items. You may also be asked to remove the “next”, or “all” future changes where ones exist.

This again requires consideration as removing these changes will mean that on the date they were due to be applied they will not be processed. The Date Track Changes form can assist in identifying what changes require removing or which ones need to remain. When removing a date track change in ESR always date track to the day before the change is due to be made. By doing this the next change effective on the record can be removed. The delete function should only be used in exceptional circumstances and not before the implications have been carefully considered

A key aspect of ESR is to ensure that employee data is up to date and accurate. There are a number of fields which will require amending under specific circumstances. The Assignment Status field in particular requires careful consideration when other changes are being made. For example when an employee goes on secondment or Maternity leave, the Assignment Status will require updating to reflect this. The Assignment Status field is also important when an employee with multiple assignments leaves one of their positions. The Assignment Status field must be changed to ‘Terminate Process Assignment’ highlighting that they are no longer working in that Position. After all payments have been processed the assignment must be set to a status of End. This is critical to close down the assignment and remove from any payroll processing. This is usually set for the end of the next payroll processing period.

When any change is applied to the assignment form, you will be prompted to enter a reason for that change. A number of the change reasons are tracked to support the Workforce Movements Analysis Discoverer reports. Care should be given about choosing the appropriate and main reason where multiple changes are made in a one day period. If a ‘tracked’ reason is overridden at the end of the day by an ‘untracked’ reason then this will not appear in the Workforce Movements report and vice versa.

**4.5.12.1 Trainee Doctors and ‘Out of Programme’ status**

Under Modernising Medical Careers Specialist Trainees (M&D only) may request a period of ‘Out of Programme’ for up to 2 years or more for a number of reasons e.g. for clinical training, clinical experience, Research or career breaks. This has to be approved by the relevant Postgraduate Dean and is subject to certain rules.

If the trainee concerned is returning to the organisation after the period of OOP is complete then the organisation can amend their assignment status to ‘Career Break’. This enables the doctor to maintain NHS service but also ensures that they are not paid whilst on the OOP period.

Refer to the ‘Gold Guide 2010’ for more information Click here to access
4.5.13 Key Points to remember:

- Update the assignment change reasons field where appropriate. This is important to enable the Workforce Movements Analysis Reports to be accurate. These reports track a number of change reasons for the purposes of identifying promotions, acting up /secondments and workforce movements.
- Be aware of the financial impact that some assignment statuses have on pay. Refer to the User Manual for more information.
- Ensure that business processes factor in the timely notification of assignment changes, especially those that have a financial impact. For example the late notification of changes of hours can cause overpayments to be made and also delays in SMART Card access rights.
- Check whether existing elements are still applicable or are relevant to the new assignment (e.g. car parking or Doctors mess fees).

4.5.14 Multiple Assignments

When an Employee change requires the amendment to their assignment record, it may be necessary to add a new assignment. Where the employee has been recruited in to a new position you will be offered the choice to either add to their assignments or replace the existing assignment. Where an employee is taking additional jobs always ensure that the new position is added as a secondary assignment. There are further implications for the employee’s tax and national insurance contributions which must be considered when adding a secondary assignment. Although traditionally associated with a payroll function, the aggregation of the Tax and NI across multiple assignments should be undertaken using the HR responsibilities within ESR working in liaison with Payroll. It is important to set these at the point of adding a new assignment as once a payroll process has been run it is not possible to change the flags again until the beginning of the next tax year.

4.6 Terminations

It is important to manage the leaver process as effectively as the new hire stages. Ensuring the correct leaver details are entered on time helps the reduction in over payments to leavers. This includes re-assessing annual leave entitlement up to the leaving date. It is important to enter the actual leaving date for the employee and then use the ‘Annual Leave in Lieu’ elements to adjust the final payment for any outstanding or overtaken annual leave. It is NOT recommended to amend the termination date to accommodate untaken leave as this is not reflective of an employee’s contractual termination date.

Note that the ESR interface to CIS will revoke access to NHS CRS applications at the set termination date where CRS access is managed via the interface. The termination date must therefore be entered into ESR in a timely manner to ensure that NHS CRS access is revoked as appropriate.

Refer to the NHS Pensions ‘Paid Notice Factsheet’ for further details on staff with maximum service. [Click here to access]

A large number of overpayments occur in the NHS due to the late notification of termination dates. The recovery of these overpayments is time consuming and costly. Employees are required to give notice of intention to leave therefore it is essential that termination dates are entered as soon as the termination date is agreed and before the actual termination date.

With the introduction of differing interfaces e.g. Time and Attendance, Rostering, Registration Authority etc., it is critical employees are terminated ahead of their actual last contractual day so any changes are made in the third party system e.g. switching off access to clinical systems.

Note - It is important that a Final Process Date is entered also to ensure payments are not keyed into the Assignment record in error and paid.

4.6.1 Termination Statuses

In order to control whether or not an employee’s Assignment is to be processed on the payroll post termination, you must ensure that the correct Assignment status is used:

- Terminate Process Assignment – This is the default status for a leaver when using the End Employment screen and allows the assignment to be processed through a payroll once the employee
has left, ensuring any payments can be made. This should also be the status used when terminating a non-primary assignment.

**Terminate Assignment** – This marks the assignment as terminated, however it would not be processed through a Payroll. Care must be taken in using this status when there will be payments to be made following the employee leaving. NHS Organisations should refer to local procedures on the terminations process.

**Final Process Date** – This defaults to the end of the calendar month in which the leaving date falls when using the End Employment screen. When terminating a record, consideration should be given to the Final Process Date. Common practice is to change this to 2-3 months later to allow for outstanding timesheets / expenses to be paid. When this is left blank the employee remains with an assignment status of Terminate Process Assignment and will be processed by each payroll run, although no payments will be made unless manually entered. Once entered and the date is reached the terminated assignment will be given a status of ‘End’ (see below) and no further payments can be made.

**End** - This is the final setting of a leaver’s assignment and closes down the record, and no further processing will be possible. All assignments should ultimately be set to this status after completion of processing outstanding payments. The Final Process Date, as described above, does this for ended employments however the End “status” should be used to enter a “Final Process Date” for a non-primary assignment. To make the allocation of Final Process Dates easier ESR contains a mass update process which is available to Payroll Users. The Mass End Assignment process is defined in 4.6.3 below for reference.

**CRITICAL** – It is essential to use the Final Process Date / End status to prevent terminated assignments running through the payroll indefinitely and the risk of erroneous payments.

**4.6.2 Reverse Terminations**

A Termination can only be reversed if the Employee HAS NOT left the Employing Authority. If there has been any break of service between the dates an employee leaves and restarts within the Employing authority DO NOT reverse the termination but rehire the employee instead. NB Any element entries added to the record as a result of the termination, for example, a payment of annual leave owed, must also be manually deleted.

Prior to reversing a termination discuss the course of action with the Payroll team.

A termination cannot be reversed if a P45 has been issued to the employee. If the P45 has been produced but not issued to the employee, then before the termination can be reversed, the P45 magnetic report must be deleted via Payroll Super Administration>Folders>Assignment Process Results using the icon on the toolbar. Once this action has been taken and the record saved, the termination can be reversed.

If a P45 was issued manually, the ‘Manual Issue Date’ within the Tax Information form should be deleted and then the termination can be reversed.

**4.6.3 Mass End Assignment**

Use the NHS Mass End Assignment (MEA) process to identify and produce a report listing all Employees with a blank ‘Final Process Date’ as of a particular effective date, and to update the appropriate employee records with a ‘Final Process Date’, as defined in the parameters of the process.

**NB**

1. Mass End Assignment should be a joint exercise between HR and Payroll Responsibilities. Whilst HR responsibilities typically maintains the Termination form, Payroll responsibilities control payments to a leaver and have access to the process to mass update the final process date, which they can run once they have determined the date final payments will cease.

2. If a leaver record holds a Final Processing date it will not be updated by the Update process. Only records without a Final process Date recorded will be identified and updated.
4.6.4 Leaving Details

To comply with National Workforce data validation and quality standards, when a record is being terminated the person’s leaving details must be entered as these will aid Workforce Planning at local, Regional and national level and is also required by the Pensions interface. This includes the Leaving Reason, and the Destination on Leaving. If the Destination on Leaving is ‘NHS’, then enter the ‘NHS Organisation’ as this can be used to determine movements within the NHS.

If there is future dated changes on the assignment the following message will be displayed:

“You must review the future dated changes before processing the termination. “

Click Cancel and view the date track history of changes for the employee to assess how to proceed.

4.6.5 Termination Notification

Employers will need to ensure that appropriate arrangements are put in place locally to ensure that other departments are notified of leavers. A facility to inform other ESR users about leavers is provided within ESR by allocating the required recipients the Terminations Notifications Role. This will send a notification to each role holder with a list of leavers within 14 days of the current date. The allocation of roles is undertaken by the ESR System administrator. Alternatively a Leavers list can be produced as necessary and forwarded to the relevant departments on a weekly or monthly basis as appropriate.

Leavers are not automatically flagged for a Local Termination notification. The flag must be set manually on their Employee record, which can be accessed on the Extra Information form on the Person record.

4.7 Re-Hires

It is recommended that, where possible, employee records are re-used where a former employee returns to the same organisation as it gives a complete employment history. This also reduces the amount of input required on the record as the information previously entered is re-used. This includes employment and training history. Care must be taken to amend the CSD fields, where appropriate.

It should be noted that in order to re-hire, a final process date must be entered into the End Employment screen for the previous employment. This date must be after the final payroll processes for the ex-employee but before the start date for the new employment. Where payments or processes are required for the ex-employee record on or after the new commencement date, re-hiring is not possible and a new employee record will need to be created. An IAT can be requested to bring across certain information from the ex-employee record.

The table below includes some scenarios and shows whether re-hires are/are not appropriate:

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ex-Employee returns to the organisation after working elsewhere</td>
<td>Re-hire is usually possible</td>
</tr>
<tr>
<td>Employee retires and wishes to return to work after a qualifying break in service (often referred to as Flexi-retirement)</td>
<td>Re-hire is usually not possible unless the qualifying break occurs at the end of the month of leaving and it is known that all payments will have been made by the end of the month of leaving</td>
</tr>
<tr>
<td>Employee leaves but wants to join the in-house bank</td>
<td>An assignment should never be changed from substantive to bank (or vice versa) as this can cause issues with HMRC and NHS Pensions. In certain circumstances it may be possible to create a non-primary bank assignment and change this to primary the day after the end of the substantive post and terminating the substantive post as if it were a non-primary assignment.</td>
</tr>
</tbody>
</table>
Where this is not possible (for example due to aggregation), re-hire is usually not possible unless there can be a long enough break between the end of the substantive assignment and the start of the bank assignment to allow for any final substantive payments to be made.

| Employee leaves but wants to remain on the in-house bank | If the assignments are aggregated for PAYE and the employee wants their P45 to take to a new main employer, the employment will need to be ended. If the new bank employment needs to start immediately then a re-hire is usually not possible. If the assignments are not aggregated for PAYE, the bank assignment can be changed to be the primary assignment and the non-bank assignment can be terminated. |

4.8 ESR Business Intelligence

The ESR Business Intelligence (BI) application is available to all organisations either through Core URP, ESR Self Service or ESR BI Administrator URP access. A suite of NHS National Dashboards (detailed later in this document) is available to organisations and can be run by Self Service Managers based on the hierarchy available to the manager, or through Core URP or ESR BI Administrator URP users at an organisation level. It is available alongside the Discoverer Reporting solution and enables organisations to report on a variety of information held by ESR. For key performance indicators and the presentation of data in a user friendly, easy to understand format it is recommended that organisations use ESR BI in the first instance when performing standard reporting tasks in ESR. Further details can be found on Kbase.

There will be occasions when the ESR BI application may not be suitable for organisations’ reporting needs (possibly due to data not being available in the schema or a more suitable NHS National Report being available elsewhere). In such cases the further range of ESR reporting tools should be utilised.

4.9 Total Reward Statements (TRS)

During 2014 Total Reward Statements (TRS) were introduced in the NHS to support local reward strategies and as a platform to provide members of the NHS Pension Scheme with an Annual Benefit Statement (ABS).

The Statements will be provided annually to most NHS employees. They will be accessible online via secure Government Gateway and via ESR Employee Self Service.

The Total Reward Statement will include:

- **Employment details:** This is the information held on ESR and includes basic salary, overtime, allowances and participation in Salary Sacrifice schemes etc. This information is extracted from ESR following the end of the financial year and will remain static until the next annual update.

- **Local benefits and branding:** This is an opportunity for ESR employers to provide contact details for TRS queries and include details about any local benefits offered to employees including non-financial benefits. ESR Employers should ensure that local benefits and branding information is regularly maintained via the ESR ‘TRS Employer Access’ URP. This will update the statement when next viewed.

- **NHS Pension benefit information:** Employees who are in the NHS Pension Scheme should receive details about their pension benefits. The pension information within the statement will be taken from NHS Pensions systems.

Further information regarding Total Reward Statements, including functionality available to ESR employers, is available via the ESR TRS Website.
5 SUPPORTING REPORTS FOR HR

Recruitment

ESR Business Intelligence:

NHS Staff Movements Dashboard:
NHS Hires by Staff Group

6i reports:

REC 8.1.1 – NHS E-Recruitment Inbound Interface Exception Report
HUR 5.1.9 - NHS IAT Operations Tracking Report
HUR 5.1.10 - NHS IAT PDS Full Details Report
HUR 5.1.11 - NHS IAT PDS Exception Report
HUR 5.1.12 - NHS IAT Audit Report

Oracle standard reports:
REC 8.2.1 – Full Applicant Details

Discoverer reports:
NHS Recruitment Monitoring Analysis:
REC 8.3.1 – By Ethnic Origin
REC 8.3.2 – By Ethnic Origin (%)
REC 8.3.3 – By Ethnic Origin (% Progress)
REC 8.3.4 – By Gender
REC 8.3.5 – By Gender (%)
REC 8.3.6 – By Gender (% Progress)
REC 8.3.7 – By Disability
REC 8.3.8 – By Disability (%)
REC 8.3.9 – By Disability (% Progress)
REC 8.3.10 – By Age Band
REC 8.3.11 – By Age Band (%)
REC 8.3.12 – By Age Band (% Progress)
REC 8.3.21 – By Religious Belief
REC 8.3.22 – By Religious Belief (%)
REC 8.3.23 – By Religious Belief (% Progress)
REC 8.3.24 – By Sexual Orientation
REC 8.3.25 – By Sexual Orientation (%)
REC 8.3.26 – By Sexual Orientation (% Progress)
REC 8.3.13 – By Activity
REC 8.3.14 – By Activity (%)
REC 8.3.15 – By Activity (% Progress)

NHS Employment Checklist:
HUR 5.3.68 – DBS
HUR 5.3.83 – DBS Vs Position
HUR 5.3.69 – Work Permit
HUR 5.3.70 – Medical
HUR 5.3.71 – Professional Registration
HUR 5.3.72 – Qualification
HUR 5.3.73 – Illegal Working Document

NHS Vacancy Analysis:
REC 8.3.16 – Job Bulletin
REC 8.3.17 – Vacancy Progress
REC 8.3.18 – Applicants Against Vacancy
REC 8.3.19 – Interview Schedules
REC 8.3.20 – Recruitment Actions

NHS Vacant Post Analysis:
REC 8.3.27 – Vacant Posts
HR Best Practice

Human Resources

ESR Business Intelligence:

NHS Absence Dashboard:
NHS Absence Timeline
NHS Absence Occurrences by Length
NHS Absence Rate by Staff Group
NHS Top 10 Absences
NHS FTE Lost
NHS Top 10 Absence Reasons by FTE Lost
NHS Absence Occurrences
NHS Compliance Dashboard:
  NHS Learning Compliance
  NHS Induction Compliance
NHS Competencies Due to Expire
NHS Course DNA Rate
NHS Future Enrolments

NHS Data Quality Dashboard:
Assignment:
  Assignment Category should not be Null
  A person's total combined Contracted FTE should not exceed 1.28

Employee:
  Age at Date of Joining Organisation is less than 15 Years
  Date of Birth should not be Null
  Employee is indicated to be 80 years old or greater
  National Insurance Number should not contain non-random, numeric strings, or have a Null Value

Professional Registration:
  Occupation Code requires GDC Registration but the professional registration body field is blank, or the registration has expired
  Occupation Code requires GMC Registration but the professional registration body field is blank, or the registration has expired
  Professional registration body is ‘General Dental Council’ but the Occupation Code is non-dental
  Professional registration body is ‘General Medical Council’ but the Occupation Code appears to not require registration

Position:
  Occupation Code = N** (except N8* and N9*) with a Grade Code of AfC grade lower than AfC Band 5 (XN05 or XR05)
  If Occ Code is Medical & Dental then payscale must start with K, L, M, Y or Z
  If Staff Group is Medical & Dental then payscale must start with K, L, M, Y or Z
  If Occ Code is not ‘Medical and Dental’ Grade Code should not start with K, L, M, Y or Z
  If Staff Group is not ‘Medical and Dental’ Grade Code should not start with K, L, M, Y or Z
  Staff Group is ‘Registered Nursing and Midwifery’ with a Grade Code of AfC grade lower than Band 5 (XN05 or XR05)

Staff Movements:
  NHS Org (On Leaving) should not be Null if the Destination on Leaving is NHS Organisation
  Reason for Leaving should not be Null

Equality and Diversity:
  Religious Belief should not be Null
  Sexual Orientation should not be Null
  NHS Management Overview Dashboard
NHS Pay Bill Dashboard:
NHS Pay Bill Summary
NHS Monthly Pay Bill
NHS Total Monthly Pay Bill

NHS Staff in Post Dashboard:
NHS Staff in Post
NHS FTE by Employee Category
NHS Headcount vs Establishment
NHS FTE vs Establishment

NHS Staff Movements Dashboard:
NHS Staff Movements
NHS Leavers by Staff Group

NHS Staff Requirements Dashboards:
NHS DBS Check KPI
NHS Work Permit KPI
NHS Appraisal Review KPI
NHS Prof Reg KPI
NHS Work Permit by Staff Group
NHS DBS Checks by Staff group
NHS Prof Reg by Staff Group
NHS Appraisal Reviews by Staff Group
NHS Appraisal Review Expiry

6l reports:
HUR 5.1.1 – NHS Professional Registrations and Memberships
HUR 5.1.2 – NHS AfC Increments Due for a Given Date Range
HUR 5.1.3 – NHS AfC Increments Due for a Given Date Range (Multi Layout)
HUR 5.1.4 – NHS Payslip Address Report

Oracle standard reports:
HUR 5.2.1 – Assignment Status
HUR 5.2.3 – Full Person Details
HUR 5.2.4 – Full Assignment Details
HUR 5.2.5 – Full Work Details
HUR 5.2.6 – Head Count Details
HUR 5.2.7 – Job and Position Skills Matching
HUR 5.2.8 – Multiple Assignments
HUR 5.2.9 – Organisation Hierarchy
HUR 5.2.11 – Salary Review
HUR 5.2.17 – Terminations
HUR 5.2.18 – Worker Organisation Movements
HUR 5.2.19 – Worker Summary
HUR 5.2.20 – Requisition Summary Report

Discoverer reports:
NHS Datetrack Changes & Highlights Analysis:
HUR 5.3.1 – Employee Changes and Highlights
HUR 5.3.2 – Assignment Changes and Highlights
HUR 5.3.4 – Element Entry Changes and Highlights
HUR 5.3.5 – Other Changes and Highlights

NHS Employee Update Analysis:
HUR 5.3.6 – Employee Update

NHS Employee Change Event Log:
HUR 5.3.7 – Employees

NHS Workforce Movements Analysis:
HUR 5.3.123 - Staff Promotions
HUR 5.3.124 - Staff Secondments and Acting Up
HUR 5.3.125 - Staff Movements

NHS Workforce Movements Monitoring Analysis:
HUR 5.3.126 - Gender
HUR 5.3.127 - Ethnic Origin
HUR 5.3.128 - Age
HUR 5.3.129 - Disability
HUR 5.3.130 - Sexual Orientation
HUR 5.3.131 - Religion or Belief
HUR 5.3.132 - Pay Band
HUR 5.3.133 - Staff Group

NHS HR Dashboard - Staff in Post:
HUR 5.3.91 - Staff in Post by Staff Group
HUR 5.3.92 - Staff in Post by Occ Code
HUR 5.3.93 - Staff in Post by AfC Band

NHS HR Dashboard - Statutory Employment Checks:
HUR 5.3.96 Registrations by Body
HUR 5.3.98 DBS by Staff Group
HUR 5.3.99 DBS by Occ Code

NHS HR Dashboard - Starters:
HUR 5.3.100 Starters by Staff Group
HUR 5.3.101 Starters by Occ Code
HUR 5.3.102 Source of Recruitment by Staff Group
HUR 5.3.103 Source of Recruitment by Occ Code

NHS HR Dashboard - Leavers:
HUR 5.3.104 Leavers by Staff Group
HUR 5.3.105 Leavers by Occ Code
HUR 5.3.106 Reason for Leaving by Staff Group
HUR 5.3.107 Reason for Leaving by Occ Code
HUR 5.3.108 Destination on Leaving by Staff Group
HUR 5.3.109 Destination on Leaving by Occ Code

NHS HR Dashboard - Turnover Rate:
HUR 5.3.110 Turnover Rate by Staff Group
HUR 5.3.111 Turnover Rate by Occ Code

NHS HR Dashboard – Vacancies:
HUR 5.3.112 Vacancies by Staff Group

NHS Labour Turnover and Stability Analysis:
HUR 5.3.8 – Staff List in Grade Details
HUR 5.3.9 – LOS by Ethnic Origin
HUR 5.3.10 – LOS by Gender
HUR 5.3.11 – LOS by Disability
HUR 5.3.12 – LOS by Age Band
HUR 5.3.84 – LOS by Religious Belief
HUR 5.3.85 – LOS by Sexual Orientation
HUR 5.3.13 – Labour Turnover Rate
HUR 5.3.14 – Stability Percentage

NHS Leavers Analysis:
HUR 5.3.15 – List of Leavers
HUR 5.3.16 – By Ethnic Origin
HUR 5.3.17 – By Gender
HUR 5.3.18 – By Disability
HUR 5.3.19 – By Age Band
HUR 5.3.86 – By Religious Belief
HUR 5.3.87 – By Sexual Orientation
HUR 5.3.20 – By Leaving Reason
HUR 5.3.21 – By Destination
HUR 5.3.22 – By LOS

NHS Missing Organisation, Position and Vacancy Data Analysis:
HUR 5.3.23 – Missing Organisation Data
HUR 5.3.24 – Missing Position Data
HUR 5.3.25 – Missing Position Reference Data
HUR 5.3.26 – Missing Vacancy Data

NHS Missing Person and Assignment Data Analysis:
HUR 5.3.27 – Missing Person Data
HUR 5.3.28 – Missing Assignment & Contract Data
HUR 5.3.29 – Missing Absence Data
HUR 5.3.30 – Missing Workforce Movement Data

NHS Organisation Profile Analysis:
HUR 5.3.31 – Staff List by Organisation Summary
HUR 5.3.32 – Staff List
HUR 5.3.33 – Job Sharers Summary
HUR 5.3.34 – Job Sharers
HUR 5.3.35 – Retirements Due
HUR 5.3.36 – Fixed Term Contract
HUR 5.3.88 – Staff List (Detail)

NHS Organisation Profile Monitoring Analysis:
HUR 5.3.37 – By Ethnic Origin
HUR 5.3.38 – By Ethnic Origin, By Gender
HUR 5.3.89 – By Gender
HUR 5.3.39 – By Disability
HUR 5.3.40 – By Age Band
HUR 5.3.90 – By Religious Belief
HUR 5.3.91 – By Sexual Orientation
HUR 5.3.41 – By LOS
HUR 5.3.42 – By FT/PT
HUR 5.3.43 – By ASG Category
HUR 5.3.44 – By Detail
HUR 5.3.92 – By Gender by FT/PT

NHS Positions Analysis:
HUR 5.3.93 – Position Summary
HUR 5.3.94 – Position Detail
HUR 5.3.95 – Organisation Summary
HUR 5.3.96 – Organisation Detail
NHS Property Items:
HUR 5.3.97 – Employees with property items
HUR 5.3.98 – Employees without property items

NHS Recalled Leavers By Reason Code Analysis:
HUR 5.3.99 – Recalled Leavers By Reason Code

NHS Starters Analysis:
HUR 5.3.46 – New Starters List
HUR 5.3.47 – By Ethnic Origin
HUR 5.3.48 – By Gender
HUR 5.3.49 – By Disability
HUR 5.3.50 – By Age Band
HUR 5.3.100 – By Religious Belief
HUR 5.3.101 – By Sexual Orientation
HUR 5.3.51 – By Recruitment Source
HUR 5.3.52 – By Main Staff Group
HUR 5.3.53 – By Detail