ESR Supporting the CQC Regulations

The Care Quality Commission (CQC) can use data within ESR, as reported by yourselves, to inform its intelligent monitoring of your organisation, which in turn can be used to inform its inspections. ESR is the recognised workforce solution for the NHS and provides the necessary evidence to support NHS organisations in meeting some of the regulatory requirements of quality and safety.

By using ESR, NHS Leadership teams can assure the CQC and your board that staffing levels are safe and that your workforce is qualified, skilled and competent.

CQC Regulations

The following regulations are supported by the ESR solution:

Regulation 5: Fit and proper persons (Directors)
Ensure that people who have director level responsibility for the quality and safety of care, and for meeting the fundamental standards are fit and proper to carry out this important role

Regulation 17: Good Governance
Ensure that providers have systems and processes that ensure they are able to meet other requirements in this part of the Health and Social Care Act 2008 (Regulated activities) Regulations 2014 (Regulations 4 to 20A)

Regulation 18: Staffing
Ensure that providers deploy enough suitably qualified, competent and experienced staff to enable them to meet all other regulatory requirements described as part of the Health and Social Care Act 2008 (Regulated activities) Regulations 2014.

Regulation 19: Fit and proper persons (employed)
Ensure that providers only employ 'fit and proper' staffs who are able to provide care and treatment appropriate to their role and to enable them to provide the regulated activity.

The table on the following page summarises the relevant CQC regulations, and details how ESR can help support NHS Leadership teams and Trust Boards in meet the regulations using ESR functionality.

Regulations	Meeting the Regulation	ESR Functionality *
Regulation 5: **Fit and proper persons (Directors)** Ensure that people who have director level responsibility for the quality and safety of care, and for meeting the fundamental standards are fit and proper to carry out this important role.	Carry out all necessary checks to confirm that persons who are appointed to the role of Director (or similar senior level role, whatever it might be called) in an NHS Trust or NHS Foundation Trust are of good character, and have: • The appropriate qualifications and are competent and skilled • A caring and compassionate nature and appropriate aptitude • The relevant experience and ability (including an appropriate level of physical and mental health, taking account of any reasonable adjustments) • Appropriate personal behaviour and business practices • Not been responsible for, or known, contributed to or facilitated any serious misconduct or mismanagement in carrying on a regulated activity	• Oracle Learning Management (OLM) and Competencies • Talent Management • Business Intelligence (BI) – Dashboards and Reports • Disclosure and Barring Service (DBS) Interface
Regulation 17: **Good Governance** Ensure that providers have systems and processes that ensure they are able to meet all other requirements in this part of the Health and Social Care Act 2008 (Regulated activities) Regulations 2014 (Regulations 4 to 20A)	Have oversight of planning, delivery and monitoring of all care and treatment, what action is taken to mitigate risks to the quality and safety of care and treatment, and what action is taken in response to issues raised by monitoring activities. This includes ensuring that it has access to all relevant information about its service(s), including information about the experience of service users and others, which is necessary to manage the risks to service users if it is not meeting the requirements of the regulations. • Take timely and appropriate corrective action where there is a risk of a regulatory breach occurring, or where a regulatory breach has occurred • Securely maintain appropriate and accurate records as follows: • Records about all aspects of the care and treatment of each service user • Relevant records about persons it employs for designing and delivering care and treatment. • Any other records which may be appropriate for managing the carrying on of regulated activities. • Continually evaluate and make improvements to the systems and processes that are used to achieve the above	• Oracle Learning Management (OLM) and Competencies • Business Intelligence (BI) – Dashboards and Reports • Self Service
Regulation 18: **Staffing** Ensure that providers deploy enough suitably qualified, competent and experienced staff to enable them to meet all other regulatory requirements described as part of the Health and Social Care Act 2008 (Regulated activities) Regulations 2014.	Continually assess whether it is able to deploy enough suitable staff to meet all the needs of service users at all times, including in response to their changing needs. • Support its staff to access training, professional development, supervision and appraisal throughout the duration of employment to enable them to appropriately perform the duties required of their role; this includes supporting them to obtain further qualifications where required for their role • Enable registered health and social care professionals to demonstrate to the relevant professional regulator that they meet professional standards (a requirement of their ability to practise) so that they can continue to function effectively in the role for which they are employed Operate robust recruitment procedures, including undertaking any relevant checks	• Oracle Learning Management (OLM) and Competencies • Talent Management • Business Intelligence (BI) – Interface • Appraisals • Self Service • HR Administration • Recruitment Administration & eRecruitment Interface • Inter Authority Transfer (IAT) • Professional Registration Interface
Regulation 19: **Fit and proper persons (employed)** Ensure that providers only employ 'fit and proper' staffs who are able to provide care and treatment appropriate to their role and to enable them to provide the regulated activity.	Have a procedure for ongoing monitoring of staffs to ensure they remain able to meet requirements, and appropriate arrangements to deal with staffs that are no longer fit to carry out the duties required of them.	• Employment Checks • Recruitment Administration and eRecruitment Interface • Disclosure and Barring Service (DBS) Interface • Employee Relations

How ESR functionality can help support the above CQC regulations?

As the national workforce system for the NHS, ESR provides a wide range of functionality accessible to all NHS organisations, many of which as detailed below, support the CGQ regulations:

Functionality	How it supports CQC regulations *
Inter Authority Transfer (IAT)	Transfers information about employed staffs between NHS organisations, including training and competences, and identifying any induction requirements at pre-hire stage
Self Service	Capability that empowers employees and managers to access and manage their data and employments – both self and team. Provides real time information such as absences, ensuring that there are enough staff to provide appropriate care for patients. Performance Management plans can be created in Self Service which includes objectives and learning paths which can be monitored as part of the process.
Business Intelligence (BI) Reporting	A suite of ESR Business Intelligence (BI) Dashboards enable organisations to: • Establish that staff are qualified and competent to do their job • Monitor and manage learning for all staff • Provide KPI's to assess skill sets and identify and learning or training gaps
Professional Registration Interface	The interface with the GMC and NMC ensures that professional registration details are up to date daily and alerts organisations to any registration issues using a RAG status. Position based requirements can be set to ensure that individuals have the relevant registration for their role, which can be recorded and reported on using ESR.
NHS Employment Checks	NHS Mandatory Employment checks recorded and reported in ESR ensuring that all the required checks are in place to protect patients. ESR maintains the competencies, qualifications and experience of each staff member and manages their development reviews and training.
OLM	Enables comprehensive control over all the activities associated with the learning and development of NHS staff
DBS Interface	The link between the Disclosure and Barring Service (DBS) ensures that registered Disclosure and Barring information is monitored and new information alerts are sent to Safeguarding Leads in the organisation, thus ensuring patient safety
E-recruitment interface	Full integration with third party e-recruitment systems to ensure employees are appointed in a timely manner and all key person data related to the prospective employee is shared. Getting the right people with the right skills into the right job to support effective patient care.

*Please view Appendix 1 for a detailed explanation of the ESR functionality included in this paper.

Discovering the link

ESR functionality can support and enable organisations to meet the business challenges they are currently facing in this changing NHS landscape. By fully utilising ESR as an integrated system, organisations can release greater benefits across the organisation and its workforce.

The button opposite will take you to our **Discover Your ESR** tool to help you understand how the different functionality within the system supports key strategic workforce objectives.

DISCOVER YOUR ESR

Appendix 1

Explanation of ESR Functionality

HR Administration

Core HR contains all essential employees personal and employment information, which is fully integrated across the solution, providing a foundation data all ESR functionality. Data ranges from essential personal information such as name, address, and protected characteristic, spanning to all employment information such as position details, pay and remuneration, contracted hours and professional registrations.

Core HR is fully integrated with the Payroll functionality within ESR, by automating every aspect of the payment of staff in order to save time and eliminate errors and thereby delivers an accurate and effective payroll solution. Other data specific to pay is added, such as tax and National Insurance details, allowances and deductions, and pension arrangements. ESR holds all the relevant pay grades and rates for allowances and deductions allowing NHS organisations local flexibility. A particular feature is 'Date Tracking' whereby the entire payment history for each staff member can be amended in the past or into the future. This enables back-dated or post-dated changes to be implemented very simply and quickly, and in the former case, for back-dated payments to be made automatically using the Retro Pay feature.

Accurate and real time reporting allows the control and audit of all aspects of the payroll process, and produces the mandatory information required for all relevant internal and external bodies. Payroll processing within ESR requires that all due processes and reports are run in a given order to ensure that payrolls are processed accurately and on time; with this in mind the Payroll Best Practice Guide has been developed.

Employee and Manager Self Service

Self Service offers organisations a valuable employee engagement tool, in which employees have the capability to interact with their NHS employment records including updating their personal data, viewing pay and benefit (Total Reward Statements) information, and managing their performance, learning and development. It is widely recognised that if staff feel valued and supported in the workplace by their line managers and the organisation as a whole, this further encourages them to deliver a high level of patient care that supports the values of your organisation.

Self Service provides organisations with the opportunity to reduce costs on administrative based tasks and supports local strategies around compliance, engagement, and wider productivity and efficiency plans. Self Service also supports paperless office strategies – both reducing associated costs and supporting environmental policies.

Information held within ESR is presented to its users in an easy to read, pre-analysed format, in the form of portlets within the portal or as dashboard reports using Business Intelligence (BI). Such data is available at multiple levels across an organisation, including workforce strategic leaders having access to a 'Management Dashboard – showing graphical data of key performance indicators in near real-time, on desktops or mobile devices.

Organisations have the ability to set Automatic Internet Access for all their workforce, thereby allowing all their ESR users to automatically access their ESR portal remotely, enhancing the usability of ESR and promoting 24/7 access.

Appraisals

The appraisal functionality available through Employee and Manager Self Service enables an organisation to manage the end to end appraisal process online for all their staff. This includes the ability to access a standard appraisal template or allows the organisation to create a bespoke template using HTML coding. The process includes the reviewing of competencies, objectives setting and enables the electronic transfer of the appraisal between the employee and manager.

Performance Management Plan functionality works with the appraisal functionality and can be used to ensure that organisational objectives are successfully met, tracking them through the entire workforce hierarchy. The Performance Management Plan Admin URP is used to setup and roll out performance management plans to the entire workforce via Self Service, incorporating objective setting as well as appraisal tasks.

The Line of Sight feature is a hierarchical representation of the alignment of objectives in an organisation. This feature displays objectives that are aligned or linked to each other in the objectives hierarchy. Line of Sight helps managers and employees to understand how their objectives have been cascaded down through the organisation and the association between objectives.

The functionality also provides an electronic auditable process for the appraiser to withhold increment progression.

Talent Management

The Talent Management functionality of ESR provides you with the capability to manage and monitor the careers of your employees. ESR maintains the competences, qualifications, and employment of each staff member and enables you to manage their development reviews and learning.

- Through ESR Self Service managers and employees can access their competence profile, qualifications, and learning record, enabling up to date information to be available for local reporting and analysis of training needs
- Complete integration between Oracle Learning Management (OLM), competency functionality and the employee record, enables updates to individual learning and competency records to be maintained easily
- Local and national competence frameworks including Core Skills Training Framework (CSTF), Care Certificate (CCF), Educator (EDU) and an agreed set of Statutory and Mandatory competence labels are built in, and an employee's record within these is automatically maintained. Each framework is related to an employee's training record, competency profile and post requirements
- Every employee's qualifications can be maintained, including A-Level, degree and post-graduate qualifications as well as Qualification Credit Framework (QCF) information
- The comprehensive reporting suite within ESR allows managers to ensure that the staff development and review process is being maintained, and provides statutory statistical information

Inter Authority Transfer (IAT)

Inter Authority Transfer (IAT) is a unique and automated ESR process that removes the manual procedures associated with NHS Staff Transfer Forms and reduces the data entry needed following the appointment of staff from other NHS organisations. It is also a fundamental enabler for the National Streamlining Programme, including Doctors in Training (DiT) and the Mandatory and Statutory Training Project (MaST).

Running the IAT at the pre-hire recruitment stage should form part of your standard recruitment process for both general and medical recruitment. As part of this process a specific set of data is provided as followed:

- Recruitment Team will receive vital information required for the production and issue of contracts, which would otherwise be required from the employee directly. A factual reference can also be requested at this stage.
- Learning & Development will receive current training competences, enabling only the required training to be completed prior to or on induction.
- The Occupation Health Team will receive the applicants Vaccinations and Immunisations record prior to starting, removing the need to repeat checks unnecessarily. They can also directly inform the Recruitment Team through the system, once OH checks have been completed and clearance given.

BI Reporting - (Business Intelligence) Dashboards and Reports

ESR Business Intelligence (ESR BI) transforms your ESR data into visually relevant and appealing dashboards, accessible on desktops or mobile devices. It contains a full suite of standard reports across the full range of functionality that ESR provides; enabling processes to be monitored and provides an opportunity to empower management with valuable workforce intelligence in a variety of forms to suit the user. It offers detailed business insight for managers to monitor their teams while directors, and senior managers and leadership teams get an effective overview of the entire organisation, allowing them to plan for future business development.

ESR BI can also be used to produce integrated reports with specific data from other systems, and bespoke reports can be uploaded to the ESR Portal, to ensure that the target audience has quick access to information. Benchmarking and alerting are also key parts of ESR BI enabling the ability to target users and encourage prompt action where required.

Benefits include:
- A suite of standard dashboards easily accessible thus reducing the reliance on centralised reporting
- Interactive dashboards allowing users to delve deeper behind the graphs to see the data that sits behind them, thus saving time from producing data in more than one level
- Easy to use standard dashboards resulting in less time spent educating users
- Greater understanding of data and workforce requirements at source
- Improved timeliness of reports resulting in less time spent waiting for reports to complete
- Reports can be exported into many different formats including PDF & Excel
- Improved data quality and accuracy
- Ownership of data at source

Employee Relations

ESR Employee Relations functionality records information relating to grievances and capability. It has full reporting functionality providing the ability for you to report on all of the

employee relations data recorded, including an analysis on Equality and Diversity in relation to ER cases. This can help you to identify trends or areas of concern for your organisation and can support you in producing annual reporting requirements.

Oracle Learning Management (OLM) and Competencies

The Oracle Learning Management (OLM) functionality in ESR provides comprehensive control of all the activities associated with the learning and development of your NHS staff. This includes the administration of available learning e.g. classroom based and e-Learning courses, and the recording and monitoring of learning achieved or in progress for individuals. It includes a full suite of dashboards and reports using ESR Business Intelligence (BI).

Utilising OLM together with the competences functionality; Career Management, affords you with the ability to link learning to national competence frameworks or locally set competencies, together with the facility to apply the requirement for these competences to your employees based on the needs of their role, thus providing you with an invaluable workforce learning compliance tool. Compliance information is generated and available to your employees and managers through the portal, and at organisational level through the Business Intelligence (BI) tool. The use of national mandatory competencies in ESR can help to facilitate a reduction in training and the duplication of training, that staff are required to complete when moving from one NHS organisation to another. This information is transferred using the Inter Authority Transfer (IAT) process, which aids the streamlined transfer of staff information across the NHS.

The use of Competency Requirements at your organisation would enable Learning & Development, Recruitment and an applicant accessing via Employee Self Service, to instantly know what training has been completed and when it expires, and importantly what training is outstanding.

Benefits include:
- E-Learning can be completed anywhere and at any time through the ESR Self Service functionality
- OLM supports a blended approach to learning with organisations able to offer in one place, e-Learning and classroom based learning
- Over 800 freely nationally approved, quality assured and centrally maintained e-Learning content as well as access to locally procured or created e-Learning available to play on PCs and mobile devices
- Associate competencies with learning to automatically enrol employees onto learning and update their employee records on successful completion
- Automatic notifications and emails to remind staff and managers when learning needs to be renewed
- Certifications enable staff to view the status of their compliance based learning and see if and when it needs to be renewed
- National competence frameworks including the Core Skills Training Framework (CSTF), Care Certificate Framework (CCF) and an agreed set of Statutory and Mandatory competence labels (MAND) to support monitoring of compliance levels against statutory and mandatory training
- Reduction in staff undertaking unnecessary duplicate learning when transferred using the Inter Authority Transfer (IAT) process
- Reports enable the demonstration of achievement and compliance for all staff within the organisation
- Creation of tests to assess learner understanding, and to provide valuable feedback on whether business goals and workforce objectives are being served.