

ESR Supporting the Carter Review



Trusts must get a tighter grip of their coding to the ESR database and use the data in their daily management of staff.

Lord Carter of Coles

“Operational productivity and performance in English NHS acute hospitals: Unwarranted variations”
February 2016

The Carter Review looks on improving productivity and making efficiency savings in the hospital sector. With £5 billion savings per year (by 2020) in mind, the report emphasizes that Trusts must come up with a convincing plan for how they can meet the report’s 15 recommendations fast – or work out how they can outsource responsibility for doing so.

Unwarranted variation: A review of operational productivity and performance in English NHS acute hospitals details the conclusions of Lord Carter’s review into productivity within hospitals across England, to ensure the NHS gets the best value from its annual budget.

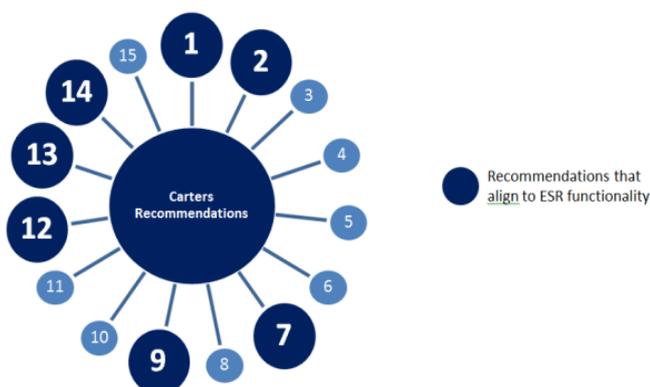
The report identified significant and unwarranted variation in costs and practice which, if addressed, could save the NHS £5bn.

Of these savings up to £2bn comes from the workforce budget, through:

- better use of clinical staff
- reducing agency spend and absenteeism
- adopting good people management practices

The report acknowledges that although there is exceptional practice already happening in the NHS, the overall average is not sufficient and more needs to be done to bring poor performance up to meet the best. Employers and workforce leaders play a crucial role in this.

How the national workforce solution ESR supports the Carter Review



As the national workforce solution for the NHS, Carter noted that the Electronic Staff Record can play a critical role for organisations when implementing his recommendations.

ESR can be an ‘enabler’ by providing workforce information or functionality.

View the following table to understand how ESR supports 7 of the Carter recommendations.

Recommendation		Delivered by								
		HR Administration	Self Service	BI Reporting	Absence Management	Employee Relations	Interfaces	Establishment Control	Data Quality	Learning Management
1	<p>National People Strategy & Implementation Plan</p> <p>NHS Improvement should develop a national people strategy and implementation plan by October 2016 that sets a timetable for simplifying system structures, raising people management capacity, building greater engagement and creates an engaged and inclusive environment for all colleagues by significantly improving leadership capability for all colleagues by January 2017 so that transformational change can be planned more effectively managed and sustained in all trusts.</p>									
2	<p>Worker Deployment Analysis</p> <p>NHS Improvement should develop and implement measures for analysing worker deployment during 2016. Including metrics such as Care Hours Per Patient Day (CHPPD) and consultant job planning analysis, so that the right teams are in the right place at the right time collaborating to deliver high quality, efficient patient care.</p>		✓	✓	✓					
7	<p>Corporate and Administration Functions</p> <p>Trusts should rationalise their corporate and administration functions to ensure their costs do not exceed 7% of their income by April 2018 and 6% of their income by 2020 (or have plans in place for shared service consolidation with, or outsourcing to, other providers by January 2017) so that resources are used in a cost effective manner.</p>							✓		
9	<p>Digital Information Systems</p> <p>All trusts should have the key digital information systems in place, fully integrated and utilised by October 2018, and NHS Improvement should ensure this happens through the use of 'meaningful use' standards and incentives.</p>								✓	
12	<p>Model Hospital</p> <p>NHS Improvement should develop the Model Hospital and the underlying metrics to identify what good looks like, so that there is one source of data, benchmarks and good practice.</p>							✓		✓
13	<p>Integrated Performance Framework</p> <p>NHS Improvement should, in partnership with CQC and NHS England, by July 2016, develop an integrated performance framework to ensure there is one set of metrics and approach to reporting, so that the focus of the NHS is on improvement and the reporting burden is reduced to allow trusts to focus on quality and efficiency.</p>									✓
14	<p>Planning</p> <p>All acute trusts should make preparations to implement the recommendations of this report by the dates indicated, so that productivity and efficiency improvement plans for each year until 2020/21 can be expeditiously achieved.</p>									✓
<p>Ensuring that the management information they will be required to submit is robust & reliable</p> <ul style="list-style-type: none"> Ensuring each consultant has an up to date accurate job plan HR Directors to introduce the nine management practices that strengthen organisational resilience, effectiveness and productivity Identify a process for appraising both task and behavioural performance for every individual in the trust... linking this to positive and negative consequences including reward, development, career progression Adopting basic structural improvements... consistency of roles Leadership strategy... including recruitment, engagement, development, talent management and succession planning Adopted the model hospital dashboards... that provide a balanced view of patient, people and financial performance 										✓



The ESR Approach

It is clear from these recommendations, and from those which NHS Improvement will be required to achieve, that Trusts will need to carefully assess their existing processes. For example, effective data capture will be the decisive factor if the NHS is to demonstrate the savings it is being asked to make.

The drive is for Trusts to proactively take steps to understand how their own services are performing, consider entering into collaboration arrangements with other organisations to procure supplies or services if necessary, and to take decisive action where improvement can be made. Organisations that delay may well find that the efficiency savings required are outside their reach in the required timescales – and then find themselves having to make more drastic changes to achieve the targets set by NHS Improvement.

ESR can support information provision to give your organisation timely information in key areas, allow analysis and identify trends plus deliver training and identify needs. The promotion of ESR is a key source of information for your organisation, in meeting the recommendations identified within the Carter Report.

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.



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.

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

Absence Management

ESR allows staff absence to be recorded, monitored and managed with the associated payments and entitlements being processed automatically.

Recording, monitoring and managing the times when your staff are away from work – including sickness, annual leave, special leave and maternity leave within ESR via Self Service or through the core solution means every aspect of calculation of entitlements and payment to employees is processed automatically, whilst minimising the amount of data entry needed. This is supported by a wide range of reports accessible via Business Intelligence (BI) or via the absence portlet in the Managers Dashboard in Self Service, which enables local monitoring of absence by individual, staff group, organisational hierarchy.

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.

ESR Interface

The General Ledger (GL) Interface contains the financial costings for each pay period. A standard format output (Source) file produced in ESR after the payroll process has completed, is passed to the NHS Interface Hub and converted into a GL Interface (Target) file specifically designed for the ledger system of choice of the NHS organisation. The Standard Generic Outbound Retrofit Interface from ESR is used in a variety of 3rd Party solutions such as T&A and e-rostering systems and provides data items such as employee Names and addresses.

Establishment Control

Effective Establishment Control, along with good workstructures management ensures your organisations position hierarchy in ESR is reconciled with the general ledger and critically, the Full Time Equivalent (FTE) values are routinely maintained in synchronicity. This in turn ensures appointments are only made to an established post with funding and an authorisation to recruit. Good workstructures management is not only essential for managing your workforce establishment, but is also an important part of ensuring data quality to enable you to provide effective workforce reporting at local and national levels.

FTE costing data held against the workforce positions as set-up in ESR can provide valuable information for organisations that are proactively managing their workforce requirements and associated staffing costs. Full utilisation of Establishment Control mechanism in ESR, as recommended by the Carter review, can significantly reduce the time that organisations spend reconciling their financial ledger with ESR whilst providing greater integrity of the recruitment process.

Benefits include:

- Ability to monitor and report on vacancies accurately through the use of Establishment Control through ESR BI, providing quick and easy identification of the true vacancy rate
- Can prevent over recruiting
- The accurate maintenance of ESR workstructures allows other areas of ESR to be correctly reported and processed, such as sickness reporting and competency requirements
- Employees will always report into the right cost centres with correct procedures in place

Data Quality

Poor data quality can impact upon every aspect of the workforce, from vacancy management to leaver analyses, employee details to aggregate staff reports and from pay to pension.

Workforce data in ESR is clearly important to each employee and each employing organisation, but it is also increasingly significant to a variety of national bodies - some of whom have direct access to it via the ESR Data Warehouse, for instance the Department of Health & Social Care, NHS Digital, the Care Quality Commission. Every aspect of managing the NHS relies on workforce data. Organisations also have a legislative responsibility, e.g. General Data Protection Regulations recently introduced in May 2018, to ensure a subjects (employee's) data is both accurate and is managed/processed correctly. Across many parts of the ESR solution – including Self Service for employees to access and manage their own data quality, ESR is a key enabler to organisations being legislatively compliant.

ESR provides functionality to assist in improving data quality:

- Utilising the Inter Authority Transfer (IAT) process - providing a full employment history and reducing the need to re-enter data already available
- Access to Self Service enables data to be viewed and updated at the point of source in a timely manner, with less points of contact, reducing errors or loss of forms
- Implementation of interfaces to ensure no duplication of data entry
- Implementation of Establishment Control provides an opportunity to cleanse ESR of unnecessary positions and ensure workforce spend is controlled
- Utilise ESR Business Intelligence (BI) to report on data errors for cleansing

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.