

Functional Specification for the e-KSF/ESR link

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This document describes how the e-KSF and ESR systems exchange data, in detail. It's not necessary reading for the typical e-KSF or ESR administrator, but may be useful background in case of technical questions or problems.

Solution Overview Summary

The Electronic Staff Record (ESR) solution is an integrated Human Resource, Payroll, Recruitment, Career Management and Training Administration system. It has been designed by the NHS to meet the business requirements of the Trusts and will replace existing systems with one database for all NHS employer organisations, holding approximately 1.4m employee records across England and Wales.

The e-KSF is a web-based toolkit developed to help organisations implement and run the Knowledge Skills Framework (KSF). Information that is transported from ESR to e-KSF can be used to complete the mandatory local monitoring of KSF implementation as set out in the Agenda for Change agreement. These returns will form the basis of the national monitoring required by the NHS Staff Council. It will also allow organisations to comply with legislative requirements on equalities monitoring, and provide staff development information required by the Healthcare Commission and other national bodies.

The e-KSF and ESR teams have worked together to create a bi-directional interface between the two systems. ESR will be the master system for person and assignment information, and e-KSF will be the master of KSF (Individual and Post Outline KSF Competencies) and related development review information. See Figure 1.1

An attribute associated with each Trust will indicate when the e-KSF Interface should be enabled for the Trust and it will be initialised by McKesson Support personnel on an agreed date. Until this attribute is set, no data for the Trust will be sent to e-KSF.

Interface Description

This section describes how data is transferred between the systems, for organisations who have activated the e-KSF/ESR link.

Note – to keep this document as readable as possible, the phrases “Competency” and “KSF dimension” are used interchangeably.

ESR to e-KSF

Personal Information

ESR will send a weekly snap shot of all changed information to e-KSF. All the information is related to Personal Details with reference to new starters, current employees and leavers.

In ESR the following criteria are required to transfer the data to e-KSF:

- The Person is an 'active' employee or has been an 'active' employee in the past.
- The Person Type is one of:
 - Trainee
 - Seconded (To Professional Training)
 - Seconded (Non Paid from External Body)
 - Shared Appointment

- Employee (i.e. Employee, or Employee and Applicant)
 - Contractor No PAYE
 - Contractor PAYE
 - External Supervisor
 - Honorary
 - Shared Appointment
 - Volunteer
- The assignment detail is 'active' or has been 'active' in the past.
- The assignment is associated to a person.
- The assignment status is one of the following:
- 'Acting Up'
 - 'Active Assignment'
 - 'Active Contingent Assignment'
 - 'Career Break'
 - 'End'
 - 'Internal Secondment'
 - 'Maternity'
 - 'Out on External Secondment - Paid'
 - 'Out on External Secondment - Unpaid'
 - 'Suspend Assignment'
 - 'Suspend Contingent Assignment'
 - 'Suspend No Pay'
 - 'Suspend With Pay'
 - 'Terminated'=Terminate Assignment, Terminate Process Assignment, End

Data Items

The list of data items transferred from ESR to e-KSF is as follows:

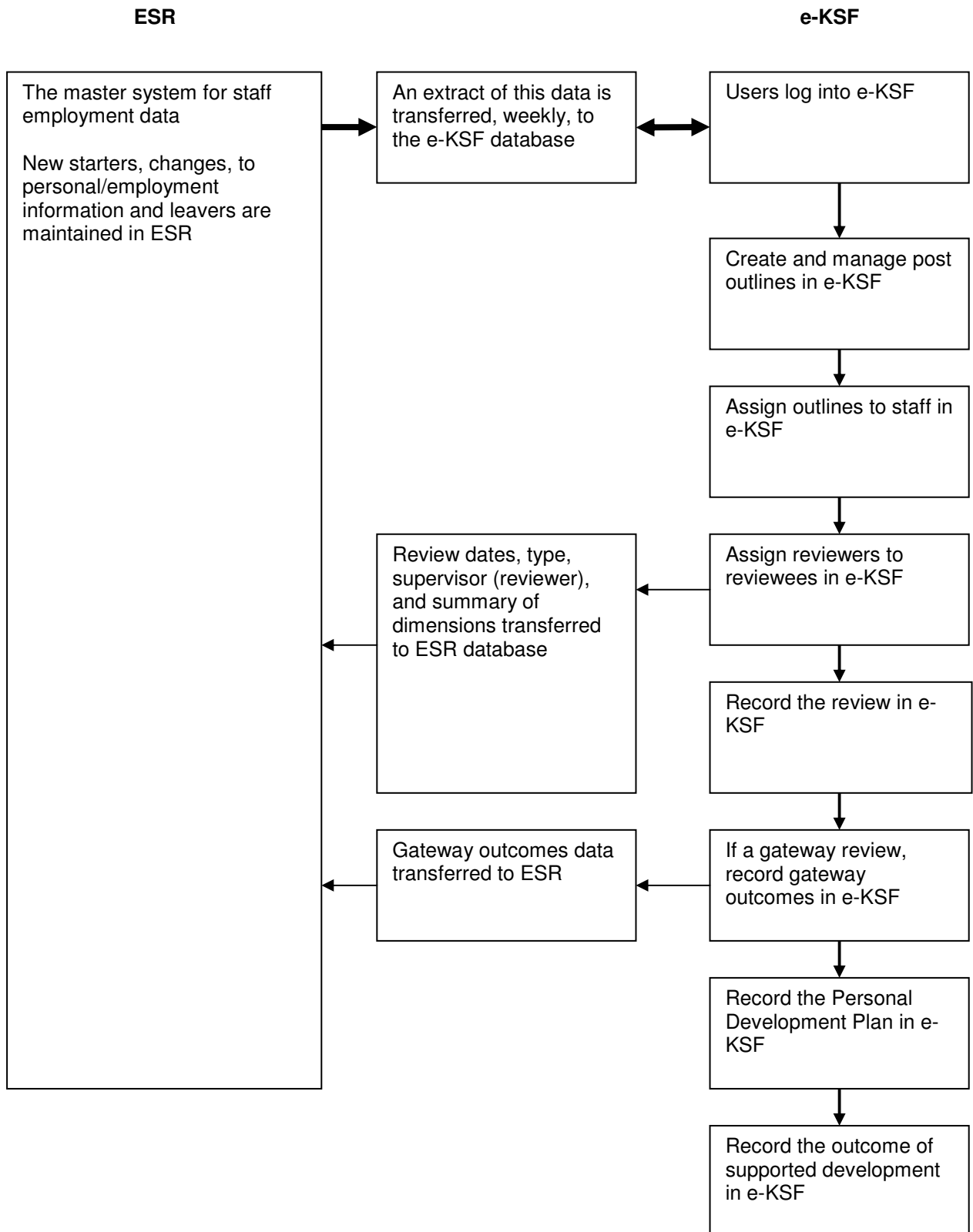
Personal Details

- Record Type
- Trust Identifier
- Trust Description
- Person ID
- Employee Number
- First Name
- Middle Name
- Last Name
- Title
- Gender
- Date of Birth
- National Insurance Number
- Person Type
- Hire Date
- Termination Date
- Legacy Payroll Number
- Ethnic Origin Code
- Ethnic Origin Description
- Disability

Assignment Details

- Record Type
- Assignment ID
- Person ID
- Assignment Start Date
- Assignment End Date
- Assignment Status
- Start Date in Grade
- Organization Department
- Organization Directorate
- Employment Category
- Assignment Category
- Position Number
- Position Title
- Occupational Code
- Job Name
- Incremental Date
- Supervisor Employee Number
- Supervisor Assignment Number
- Payscale
- Spinal Point
- AFC Flag

Figure 1.1 High Level Overview of ESR & e-KSF Interface



Interface Description

e-KSF to ESR

Transfer of Individual Competency Profiles

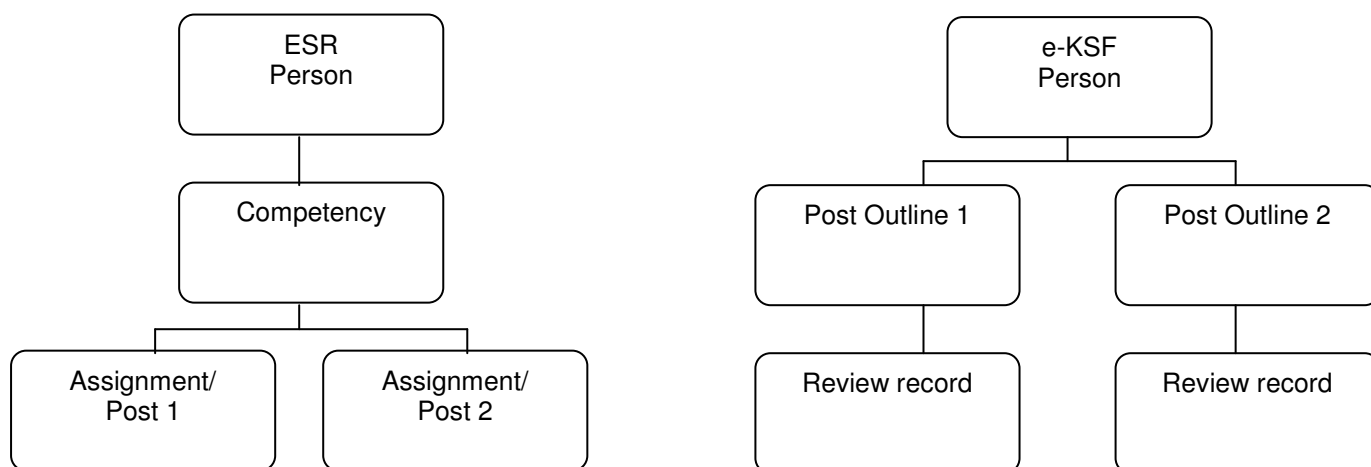
This section summarises the processing steps involved in the transfer of KSF review data from e-KSF to ESR.

In e-KSF the following criteria is required to transfer the data to ESR:

- The Person has an Assignment that is “active” on ESR and e-KSF holds a valid ESR employee number for the person.
- The competency is associated to an “active” employee in ESR.
- The competency is of type KSF.
- The Competency has changed due to a correction or further review.

e-KSF maintains KSF review data for each Post Outline a person holds. This means that in e-KSF a person may hold concurrently the same competency at different levels owing to separate reviews for each Post. This differs from ESR, which holds competencies for each person. In ESR a person **cannot** hold concurrently the same competency at different levels. See Figure 1.2

Figure 1.2



To accommodate these differences, e-KSF will aggregate the KSF review data as follows before sending them to ESR:

- ESR will be sent the union of all competencies held across all of a person’s assignments.
- Each competency record will always have a “start date” supplied with an optional end date.
- Where a person holds the same competency concurrently on multiple ESR assignments, ESR will be sent a single competency with the highest level attained by the person.
- Where level attained by the person changes in time, ESR will be sent an “end date” for the original competency level and a new record with a new start date.

- Where a person holds the same competency concurrently on multiple ESR assignments ESR will be sent a single competency with the highest level attained by the person.
- Where the detail of a person's competency is corrected, ESR will be sent the corrected proficiency level, start date, etc, and overwrite the original competency record.
- If a person no longer holds a competency then e-KSF will send a deletion record to ESR. ESR will then remove the competency.
- The records in the file will be sequenced in a similar manner as would be required if a user were instructed to manually apply the same changes in ESR. For example, updating an existing competency with an end date before creating a new instance of the same competency with a different level. The order will therefore, be:
 - Employee Number
 - Competency Name
 - Review Start (Effective Date From)

For example, suppose a single Person has two assignments (e-KSF Post Outlines)

Transfer of e-KSF competency post outline

All KSF Post Outline records are sent to ESR, for any position that meets the following conditions:

- The competency is of type KSF

Note: Only those Competency Post Outlines that have changed are extracted.

As with Individual Profiles, ESR **cannot** hold concurrently the same competency at different levels within the same Post Outline. To accommodate these differences e-KSF will only send the Master Post Outlines to ESR as follows:

- An ESR Position Number should only ever be associated to one e-KSF Master Post Outline.
- A Post Outline definition cannot span multiple files.
- When a Post Outline is changed in any way, e-KSF will resend the entire Post Outline definition, to ESR.

ESR upon receipt of a Post Outline from e-KSF:

- Where the Post Outline definition does not exist already in ESR, ESR will create a new Post Outline definition.
- Where the Post Outline definition does exist already in ESR, ESR will delete the existing definition and replace it with the new Post Outline definition.

Transfer of KSF Review Data

This section summarises the processing steps involved in the transfer of a KSF Review File from e-KSF to ESR. The file contains KSF reviews for individual assignments.

e-KSF will send Reviews that have taken place or have been modified since the previous transfer. Data is extracted according to the following criteria:

- The Competency Review relates to KSF Competencies
- The Competency Review type is one of '2nd Gateway', 'Foundation' or 'Review',
- The Trust Identifier, Assignment Number, Review Type, Reviewer Employee Number, and Passed Through Gateway are active as of the Review Date for the record. If the Review Date is null, then the Header Creation Date will be used.

Data Items

The following information will be transferred from e-KSF to ESR (combination of Position, Person and Assignment data):

Transfer of Individual Competency Profiles:

- Record Type
- E-KSF Competency ID
- Trust Identifier
- Employee Number
- Competency Name
- Proficiency Level
- Effective Date From
- Effective Date To

Transfer of e-KSF competency post outline:

- Record Type
- E-KSF Competency Post Outline ID
- Trust Identifier
- Position Number
- Competency Name
- Low Proficiency Level
- High Proficiency Level
- Mandatory
- Effective Date From
- Effective Date To

Transfer of KSF Competency Review:

- Record Type
- E-KSF Review ID
- Trust Identifier
- Employee Number
- Assignment Number
- Review Type
- Period Start Date
- Period End Date
- Review Date
- New Review Date
- Reviewer Employee Number
- Passed Through Gateway

Delivery Frequency, Timings and Scheduling

ESR will transfer data on a weekly basis on Sundays. Any changes to this weekly schedule will be notified by a User Notice.

e-KSF will receive the information from ESR via the NHS Hub on a weekly basis on Sundays. Any exceptions reports will be on the system on Monday morning.

Exception Handling

ESR

ESR and e-KSF will automate exceptions.

e-KSF

e-KSF will generate two kinds of exception reports:

- a) The online exception reports presented on the e-KSF tool/screen – these are interactive pages that present the problem along with options to take action. For example, say John Smith is allocated a post outline on e-KSF which has a pay band 6. ESR data shows that John is allocated on pay band 7. The data will not be overwritten as there is a conflict. This conflicting information will be presented in an interactive screen for the e-KSF administrator to decide which data item to accept.
- b) Offline exception reports. This report simply highlights the data item where an issue/error exists, and/or confirmation that some data has been changed. For example a new member of staff being automatically added to e-KSF, after being added to ESR.

Security

Files transferred between the NHS Hub and e-KSF are encrypted.

File Retention and Archiving

ESR will archive all files sent or received.

Implementing e-KSF

If you have not yet implemented e-KSF, please visit www.e-ksfnow.org or contact support@e-ksf.org to set up your organisation on the system.

Implementing e-KSF & ESR

If you wish to use the interface there is an official rollout schedule and guidance on implementing the solution. You can find up to date documentation and instructions at www.e-ksfnow.org/hotlink1.htm.

Useful Websites and contacts

www.e-KSFNow.org/hotlink1.htm	A wide range of important information about the e-KSF/ESR link, including: introductory documents roll-out schedule planning guidance for the link instructions on how to prepare for, and use, the link
http://www.esrsolution.co.uk	Access to Kbase (a knowledge management site whereby you can access the latest information on ESR).
http://www.e-ksf.org	To log in to e-KSF once you have a username and password
communications@esrsolution.co.uk	For queries about ESR
Gill.Rose@nhsemployers.org In Wales: Debra.Lomasney@Wales.gsi.gov.uk	For queries on KSF policy and implementation
ESRlink@e-ksf.org	For specific questions about the e-KSF/ESR link.