



e-KSF / ESR  
Data Link –

Roll-out  
Planning for  
your  
Organisation



*What you need to do locally, to prepare for the e-KSF/ESR link*

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## Introduction

The technical work to develop the e-KSF/ESR link has now been completed, tested and piloted.

This document describes the phases through which the data exchange between e-KSF and ESR will be switched on, and also what your organisation needs to do before you can “go live” with the exchange.

This document should be read in conjunction with:

- e-KSF ESR roll out schedule
- e-KSF ESR roll out schedule – covering introduction

Latest versions of these documents are available on [www.e-ksfnow.org](http://www.e-ksfnow.org)

## Who should read this document?

This document is aimed at KSF leads, e-KSF leads, e-KSF administrators and ESR leads in all organisations in England and Wales.

## A high level project plan for the e-KSF/ESR link

Please read this plan – it explains what you need to do, when, to activate your link.

### PHASE 1 - Planning for the link

- a. Read this entire document carefully, and contact us at [ESRlink@e-ksf.org](mailto:ESRlink@e-ksf.org) if you have any questions
- b. Make sure that your organisation's e-KSF, KSF and ESR leads make contact with each other. We suggest a joint meeting to agree accountabilities and activities. Agree a plan for your e-KSF and ESR teams to keep in touch, so that communication lines are in place to deal with any data issues
- c. Let us know that you'd like to take advantage of the link, by filling in the confirmation fax at the end of this document
- d. Communicate with your organisational stakeholders about the link

### PHASE 2 - Matching existing e-KSF data

- a. You need to do some local work to ensure that employee data held in e-KSF has accurate *unique identifiers* (e.g. payroll numbers, ESR numbers). You can read more about this in the section of this document called "what your organisation needs to do, to cleanse e-KSF data". This information is also at <http://www.e-ksfnw.org/cleansingdata.html>
- b. Send confirmation that your data is cleansed, to the e-KSF/ESR integration team
- c. Receive confirmation back from the integration team, which will include an exact "go live" date
- d. We'll then do a trial match of data, and give you the chance to deal with any errors, before we run the full live data exchange 2 weeks later. If you have a large number of errors, which would suggest some problem with the accuracy of your data, we may need to abort the linking process, inform you, and give you the chance to fix any inaccuracies.
- e. Plan resources to deal with any exception reports, particularly for the first transfer after go-live

### PHASE 3 - Activating the link

- a. We'll go ahead with the full exchange and send you an exception report explaining what you need to do with any problem records (conflicts in data, missing or duplicate records, etc).
- b. Once your link has been switched on, the data will be updated automatically each week without you needing to do anything. Your e-KSF admin will receive weekly confirmation of data that's been updated, as well as any errors which need local, human, intervention.

### PHASE 4 - Managing the link

- a. Each week, once the link is active, the two systems will exchange data automatically. Your e-KSF administrator(s) will be alerted to any changes or additions to e-KSF data.
- b. The first time (and every week) the link is run, you'll also automatically receive a list of ESR *positions* into e-KSF. You will then be able to match up the positions via the e-KSF admin page. We'll use this data to help you

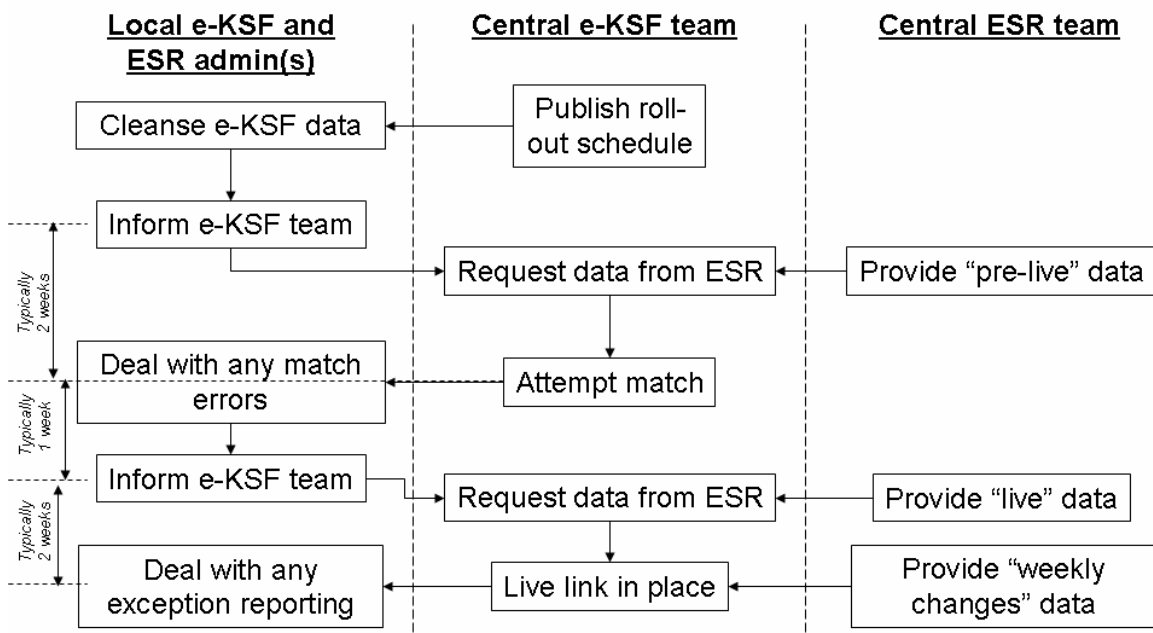
assign post outlines to staff based on the assignment of positions on ESR, and also to send KSF data back from e-KSF to ESR.

- c. Our investigations show that it should be possible for organisations to make a match between ESR positions and e-KSF post outlines. If this isn't possible for you, then you can still use the data link between e-KSF and ESR to transfer employee data, but you won't be able to transfer assignment data and your reports in ESR may be less accurate. You will also receive a number of exception reports each week. If you find that you can't match up positions to post outlines, even after discussions between the KSF, ESR and HR teams, then you may want to consider whether you need to create additional positions in ESR, or whether your post outlines in KSF are for indeed different roles, or whether they are duplicates.
- d. Each week, the ESR system will transfer any new positions to e-KSF, meaning that you can continue to work on this matching process over time.

## What your organisation needs to do, to cleanse e-KSF data (Project phases 2 and 3 in more detail)

Data cleansing simply means “making sure that the information held on e-KSF by your organisation is accurate”. For this project, we’re particularly concerned with making sure that your employee data is accurate, as we need to be able to match up information in e-KSF, with information in ESR, to avoid any duplicates or data errors.

This flow-chart shows what needs to happen, in what order. The flow-chart is laid out in “swim-lanes”, showing the work of the local e-KSF and ESR administrators in your organisation, in the left hand column.



In summary, you’ll need to complete the following steps in your organisation:

- Cleanse e-KSF data** (more on this overleaf). You can start this as soon as you like, but the cleansing needs to be completed in line with the completion dates shown in the e-KSF / ESR rollout schedule.
- Inform us** that you’ve completed this data cleansing. We’ll do some simple checks of your data, too, at this stage, and let you know if we think any more work is required.
- Wait** for us to receive “pre-live” data from ESR and attempt to match it with your e-KSF data
- Deal with any exception reports** that we get when we try to match your e-KSF data with “pre-live” data from ESR. We have allowed 5 working days for this step, as we don’t expect you to have many errors at this stage because you have already completed the majority of the data cleansing.
- Wait** for us to receive “live” data from ESR and activate the link
- Make sure that you have plans** in place to manage the e-KSF/ESR link on an ongoing basis

Here's what you'll need to do in detail, to cleanse your e-KSF data.

**STEP ONE.** The e-KSF team will activate a link on the e-KSF administrators screen allowing you to download your organisations' employee data in an Excel spreadsheet.

**STEP TWO.** You would then need to check and update any data in this spreadsheet, making sure in particular that **unique identifiers** for all employees are accurate. You have a choice to make about what data you would like us to use, to match your records between the systems. The options are as follows:

Option	Notes
Legacy payroll number	This is the full payroll number for each employee, as held in your "old" (pre-ESR) payroll system. This data will work well for matching unless you have large numbers of staff with more than one job, or if you have large numbers of staff who joined after ESR was implemented (meaning they won't have a legacy payroll number. If you have staff with more than one job, we recommend that you enter the payroll number that's stored on ESR for their "primary" or master, job.
National Insurance number	If you already have National Insurance numbers loaded into e-KSF, then we can use these to make sure that data is matched up accurately. Once we have a match, we'll then delete the National Insurance number from the e-KSF system. If you don't have National Insurance numbers loaded into e-KSF already, then we suggest you <i>don't</i> add them now – use one of the other methods of data matching.
ESR employee number	If you are already live on ESR, then you may find that the ESR employee number for each member of staff is the easiest thing to add to e-KSF.
ESR assignment number	If you are already live on ESR, and you have staff with more than 1 role, then adding the ESR assignment numbers to your e-KSF upload spreadsheet at this stage will allow us to manage multiple KSF post outlines and reviews in the future. However, this won't affect the initial data link.
Name plus date of birth	If you can't provide any payroll or ESR reference data, then we can still attempt to match records using a combination of name and date of birth – so please add date of birth to e-KSF. This method is less accurate, though, so you may find that you have some duplicate records to deal with once the link is switched on.

The e-KSF and ESR teams in your organisation will need to work together to make sure this data is accurate on e-KSF. You may find that you need to type data into the spreadsheet by hand, but there are also many "lookup" functions within programmes like Excel to make this matching process easier. So, if you find you're spending lots of time manually copying and pasting data, we suggest you talk to an Excel expert in your organisation who may be able to recommend faster ways to do this!

This one-off effort ensures that the data exchange will work accurately first time. Once this is done, ESR and e-KSF will transfer employee data without any need for further manual matching.

**STEP THREE.** Once you've cleansed your data in the spreadsheet, we need to get it back into e-KSF:

- Before mid Feb 2007, then you can do this by emailing it back to our support team. (password protect your file first, for security).
- After mid Feb 2007, we'll be adding a "upload unique identifiers" link on the e-KSF admin page, so that you can do this yourself.

The e-KSF system will then run some basic, automatic checks to make sure the data is compatible. For example, we'll check that you have data in the unique identifier field, and that if you have national insurance numbers or email addresses then they correspond to a standard format. e-KSF will generate a report to confirm that the data is fit for purpose, or highlight any remaining anomalies within the data that need to be addressed.

You can repeat steps 1-3 multiple times if you need to, and you can also use the "edit user" function on the e-KSF admin page to correct small amounts of data. **The more accurate you get the data at this stage, the fewer exception reports and duplicates you'll have to deal with once the link is switched on.**

**STEP FOUR.** Once all of your data is entered accurately, let us know by email so we can continue with the matching of e-KSF and ESR data.

## When will the link be switched on for our organisation?

Please refer to the roll out schedule published on [www.e-ksfnow.org](http://www.e-ksfnow.org). The schedule outlines when individual NHS organisations in England and Wales will be able to take advantage of the national e-KSF/ESR link, provided that they have completed the e-KSF data cleansing activities in time.

## How do the e-KSF and ESR teams manage the switch-on process?

Our integration team maintains a list of organisations, with their planned and preferred switch-on dates. We'll keep this list updated with (1) your confirmation that you're ready for the exchange to be switched on and (2) your confirmation that you have completed your data cleansing activities.

This list is fed into the data exchange system to manage the transfer of data. We'll only transfer data between the live systems when:

- a) your planned date is reached
- b) we've received the confirmation fax from you, telling us that you want to go ahead
- c) we've had an email exchange with you where you confirm that you have completed the data cleansing activities for existing employees stored on e-KSF.

This means that the date for your organisation in the roll-out schedule document is the earliest date that we'll be able to switch on the data exchange. We won't switch on the exchange until we've received fax or email confirmation from you (we'll need confirmation from the person responsible for the KSF, and the person responsible for the ESR, in your organisation). There's more about how you can send us your confirmation, later in this document.

## Once the link is switched on, which e-KSF data fields will be updated by ESR?

ESR is the master system for all personal data for AFC and non AFC staff in your organisation. And as such ESR will dictate all personal data item fields and add or overwrite data on e-KSF. You'll receive a report of data added or overwritten in this way. Personal data means:

- First and last names
- Gender and ethnicity
- Job Title
- Staff group
- Department (although you can tell us that you'd prefer for this not to be updated by ESR)
- Employing organisation
- Employment start and end dates

ESR is also the master system for pay data, but if there is a difference between data in e-KSF and data in ESR, then rather than automatically overwrite the e-KSF data, you'll receive an exception report highlighting the difference. There's more about exception reports later in this document. Exception reports will be created for data conflicts on the following items:

- pay band data
- pay point data
- increment date data
- supervisor name (=manager in e-KSF)

e-KSF is the master system for development and KSF data – the following information is not affected by the e-KSF/ESR link:

- post outline data
- joint development review data
- objectives data
- PDP data

### **Which ESR data fields will be updated by e-KSF?**

e-KSF is the master system for KSF and development data. It's also the system for managing gateway outcomes, so e-KSF will add the following data to ESR:

- Competency targets and achievements (the ESR language for the outcomes of a KSF review)
- KSF review date
- Outcome codes for gateway reviews (progression through gateway, pay progression with short term action plan, or deferred progression with short term action plan)
- Date of last addition to PDP

## How we deal with conflicts between data in e-KSF, and data in ESR

Our data exchange modules have strict rules about which system “owns” which pieces of data. For example, ESR owns data about an individual’s pay point and increment date. This allows us to decide automatically which information takes precedence in case of a conflict. For example, if Jane Doe has pay point 16 in e-KSF, and point 18 in ESR, then the ESR data will overwrite the e-KSF data. In most cases, we will simply overwrite the data and inform you of the change in a weekly report.

Sometimes, however, the systems can’t decide what to do with a piece of data. For example, let’s say John Smith is allocated a post outline on e-KSF which has pay band 6. However, ESR data shows that John is on pay band 7. In this case, we can’t simply overwrite the data because there would then be a conflict between John’s pay band and his post outline. In this case, the systems would do nothing other than email the relevant administrators with information about the problem, and ask for the data to be looked at locally. In this case, for example, the fix may well be that the organisation needs to correct of the post outline assignment in e-KSF.

An exception report is the technical name for this document, sent automatically, which highlights data problems that can’t be solved by the systems without human intervention.

The e-KSF generates two kinds of exception reports:

- a) An online “conflict resolution module (launching in mid Feb 07)– this is a set of interactive web pages on the e-KSF admin screen that present the problem along with options to take action. The example presented above for John Smith’s conflicting pay band would be presented in an interactive screen where the e-KSF admin user have the ability to overwrite one data item for the other.
- b) Offline reports presented as PDF documents emailed to administrators – these are not interactive reports and simply highlight the data item where an issue/error exists, 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).

## How do I send in our confirmation to switch on the link?

Please take a look at the “e-KSF / ESR rollout schedule” document, which includes activation dates for each organisation. Once you’ve studied that document, please contact us to confirm the dates and other key information like the name of the person accountable for the link within your own organisation.

You’ll find the confirmation form on the last page of this document.

Our preferred method of confirmation is for you to fax this form to us at 0117 344 5004. You can also email the form to [ESRlink@e-ksf.org](mailto:ESRlink@e-ksf.org), making sure that the KSF lead and ESR lead for your organisation are both cc’d on the email. If you use email, please include a contact telephone as we may need to carry out further confirmation checks with you.

## What happens if we don’t want to switch on our data exchange on the planned date?

You may not want to go live on the planned date above. For example, you may want more time to fully cleanse your e-KSF data.

You can let us know that you’d like to move to a later switch-on batch, by indicating this on the confirmation fax. If you let us know your preferred switch-on batch as soon as possible, we’ll then do our best to accommodate your request. You can’t bring your date forward, though – the earliest you can propose a switch-on date is the date shown in the roll-out schedule document.

In exceptional cases, you may also find that you’re not able to cleanse your data by the date that you’ve previously given us. In this case, we would have to abort your planned activation date and move you to a later batch. The batch we move to will depend on how busy we are supporting other organisations in the data exchange “queue”. For this reason, ***it’s important that you allocate sufficient resources and time to cleansing your e-KSF data, so that you can complete this work in line with the dates published for your batch in the e-KSF ESR roll out schedule.***

## Frequently asked questions, and answers

### **What about the Organisational Structure I have set up in the e-KSF**

The organisational structure on e-KSF will be updated from within the ESR, however a complete tree structure will not be provided due to the limitation of the link between the two systems. You shall however get a listing of all your directorates and all the underlying units within a directorate: it will be a two tier structure.

Once the e-KSF/ESR link is in place for your organisation, You would carry out updates to your organisational structure in ESR (the “manage departments” function of e-KSF will be switched off).

If you prefer to keep your existing e-KSF department structure, then you can let us know about this when you send back your confirmation fax. In this case, ESR data will not update e-KSF department data, so you will then need to manually add department data on e-KSF when employees join the organisation, or change departments.

### **What if parts of our organisation are using ESR, and parts aren't?**

We have structured the e-KSF/ESR roll-out schedule so that we only activate the link once the last part of your organisation has gone live with ESR.

### **What about the Staff Group Structure I have set up in the e-KSF?**

The staff group structure on e-KSF for your organisation will be updated automatically from ESR. This means that you won't have to manage staff groups from within e-KSF.

### **What about staff who are not employed by my organisation but need to be on the system, such a local authority staff who review/manage staff employed by my organisation?**

People who need to use the KSF, but who are not on ESR, can still be added to your organisation using the existing add/edit Global user link on the e-KSF Admin home page. Their data won't be affected by the ESR link.

### **What happens if we currently have an automatic link between our payroll system and e-KSF?**

We'll need to switch off any automatic updates between your payroll system and e-KSF while you check and cleanse the data, because otherwise any inaccuracies in your old payroll system would overwrite any corrections you make. Data cleansing should be straightforward, though, as it's likely that most of the fields in e-KSF will have been updated accurately from your payroll system. Once the e-KSF / ESR link is in place, you'll no longer need to link e-KSF to your legacy payroll system so this would be permanently switched off.

### **What if I work for a Health Informatics Service (HIS)?**

A small number of HIS teams have set up their own “zones” on e-KSF, which allowed them to use the e-KSF system independently of their host organisation. However, HIS

teams are not held separately on ESR, so we will need to merge your employee data with your host organisation's data before the link is switched on. We'll help you to do this, of course. If we don't carry out this merging activity, then the risk is that the systems will create duplicate records – one employee record from ESR in the host organisation, and one added manually to e-KSF for the HIS team. We'll be contacting all HIS teams in this situation directly, to progress the merger of data.

### **What reports will I be able to run on KSF progress, once the ESR link is in place?**

One of the main benefits of the e-KSF/ESR link is that data from the two systems can be combined for powerful reporting. For example, gateway outcome data from e-KSF can be combined with gender and ethnicity data from ESR to give you useful equal opportunities information.

You'll be able to run reports in both systems – via the e-KSF administrator pages and also via the ESR "Discoverer" reporting tool.

In many cases, you can ask a question using reports out of either system, and get the same answer. However, e-KSF holds more detail around the review and PDP than ESR does, and ESR holds additional data about department hierarchies. This means that for some types of question, you may find that using one system works better than the other. For example, reports about "supported development" would need to be run in e-KSF, because e-KSF holds more information about personal development outcomes

Once the e-KSF/ESR link is in place, we'll be developing additional reports in e-KSF to allow you to make full use of the new data sets.

### **What if our organisation isn't yet using e-KSF?**

- If your organisation exists on the e-KSF system, but you have not yet started using the system and have no employee data, you would not have to carry out a data cleansing exercise. When the live link is switched on, data will automatically be updated from ESR to e-KSF.
- If your organisation is not on the e-KSF, then the first step would be to set up your organisation on the e-KSF, and appoint an e-KSF administration user. You can contact the e-KSF support team or your SHA KSF lead to do this set-up. When the live link is switched on, data will automatically be updated from ESR to e-KSF. ***However, you don't need to wait for the ESR link to be switched on before starting to use e-KSF!***

## What do I do if I have any further questions about the data exchange process?

If you have questions about the technical detail of the exchange, or the project management of the link, you can email us at [ESRlink@e-ksf.org](mailto:ESRlink@e-ksf.org) and we'll pass on your query to the relevant e-KSF or ESR account manager or lead.

If your question is about wider e-KSF policy, please contact:

- Gill Rose [[gill.rose@nhsemployers.org](mailto:gill.rose@nhsemployers.org)] in England
- Deb Lomasney [[Debra.Lomasney@Wales.GSI.Gov.UK](mailto:Debra.Lomasney@Wales.GSI.Gov.UK)] in Wales.

If your question is about ESR, please contact:

- Vanda Clarke of the ESR team, via [communications@esrsolution.co.uk](mailto:communications@esrsolution.co.uk). Please enter "eKSF Interface" in the subject line.

## Confirmation Fax - Initiating the e-KSF / ESR link

To: ESR/E-KSF Integration Team  
 Fax: 0117 344 5004

Your Full Organisation Name:	
ESR organisation ID:	
Person overall accountable in the organisation for the link project. <b>This person should also sign this form.</b>	
(email/phone details in case of queries)	
Lead person for e-KSF	
Lead person for ESR	
Lead people for KSF	

Please read the section on employee identifiers here - <http://www.e-ksfnw.org/cleansingdata.html> - before answering the following question: What employee identification data do you plan to add to e-KSF, to help the manual matching process? (please tick one):

Legacy payroll number	<input type="checkbox"/>	ESR employee number	<input type="checkbox"/>
National Insurance number	<input type="checkbox"/>	ESR assignment number	<input type="checkbox"/>
Employee date of birth	<input type="checkbox"/>		

The data linking process will be **easier for you** if we delete any e-KSF users who have not yet used the system (and who have not yet been assigned a post outline) and replace these with new ESR data. However, we should not do this if you have already distributed usernames and passwords for these users, as replacing the data with new ESR data will result in new usernames and passwords. Please tick to tell us whether you would like us to:

a) delete any inactive users and replace them with ESR data	<input type="checkbox"/>
b) keep inactive users – the local e-KSF and ESR administrators may need to do some additional data matching before we switch on the link	<input type="checkbox"/>

One of the benefits of having the e-KSF/ESR link is that you save time and resource in updating employee data. However, you may wish to maintain some of your existing data on e-KSF rather than having replaced by ESR. By default, we'll replace the following e-KSF data with ESR data, unless you tell us otherwise:

Please <u>don't</u> overwrite my e-KSF department structure with ESR data	<input type="checkbox"/>
Please <u>don't</u> overwrite my e-KSF manager/staff relationships with ESR "supervisor" data	<input type="checkbox"/>

You can find your scheduled batch in the e-KSF / ESR roll-out schedule. Please read that, before completing the next stage of this form.

<b>Yes, I wish to go ahead with the e-KSF/ESR link in the batch listed in the roll-out schedule</b> (remember that you need to have completed any e-KSF data cleansing by the dates listed in the schedule document)	<input type="checkbox"/>
<b>No, I'd like to activate the link in a later batch</b> (remember that you can't move to an earlier batch than we have planned, but you can opt to move to a later one)	<input type="checkbox"/>

(enter preferred batch letter here)

**I have read and understood the "e-KSF / ESR Roll-out planning for your organisation" document, and the e-KSF / ESR roll-out schedule. I confirm that the information entered on this form is correct.**

<b>Signed (by person overall accountable for the link)</b>	
<b>Name, Position</b>	
<b>Date</b>	