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ESR

Executive Briefing »



Patient Safety, Quality Improvement and ESR

This month the ESR Executive Briefing focuses on the contribution that full use of ESR functionality, and the reports suite can make to achieving compliance with Care Quality Commission and other regulatory body standards.

ESR can contribute to compliance in two ways. Firstly, by providing best practice business systems to underpin employment practices and a culture which enables staff engagement and empowerment. Then, because all ESR transactions can be reported on, by providing a reports suite which makes employment practice and performance transparent across the organisation, progress against standards can be monitored and compliance can be demonstrated.

The basic business processes in ESR's recruitment, HR, payroll and learning management modules, when fully utilised for all staff, will provide reports which will show the extent of compliance across a range of indicators and standards, including those of the Care Quality Commission (CQC). Together with Self Service functionality, and the National Learning Management System (NLMS), ESR gives managers and employees control of their own and their staff's professional development. This enables the organisation to improve staff engagement and help staff feel both empowered and valued which, in turn, supports improved clinical care, clinical quality and patient safety. The table below shows this in more detail.

CQC standards

The recently published Care Quality Commission’s Annual Health Check 2008/9 will be the last before the requirement for all NHS Trusts to register with the Commission by April 2010. The new regulations will be published shortly and will be legally enforceable. They will be outcome based and the assessment will in future involve the views of patients, carers and service users.

However, in the Commission’s view, ‘being fully compliant with all current core standards would represent excellent preparation in advance of registration coming into effect.’ On the basis of this year’s results, ‘almost half of NHS Trusts have some work to do to ensure they have laid the bedrock for successful passage into registration’.

The table below shows how ESR can contribute to compliance with CQC core standards.

CQC Core Standard	Evidence required to demonstrate compliance	ESR delivery
Safety		
Core Standard C4d Safe Handling of medicines.	Evidence that relevant staff are trained and are competent in handling medicines and disposing of waste safely.	National LMS can deliver elearning packages from the national and local catalogues to relevant staff and record competence.
Core Standard C4e Safe disposal of waste.		Talent Management and Oracle Learning Management can record for relevant staff the required competence, record when competence achieved and provide a reminder when training updates are required.
Core Standard C5b Clinical care and treatment are carried out under supervision and leadership – opportunities are provided for clinicians to develop clinical leadership skills and experience.	Evidence that leadership development programmes and opportunities are provided for clinicians, that clinical supervision is utilised and that this has a positive impact on quality of care delivered.	KSF Development Reviews can be recorded in Talent Management. Personal Development Planning and Education to develop clinical leadership and update skills can be managed, recorded and reported on, together with evidence of competence.
Core Standard C5c Clinicians continuously update skills and techniques relevant to their work.	Evidence of comprehensive Development Reviews for all clinical staff recording personal skills development.	
Governance		
Core Standard C7e Healthcare organisations challenge discrimination, promote equality and respect human rights, - ‘acting in accordance with employment and equalities legislation’.	For employed staff, organisations need evidence to demonstrate and track progress in complying with employment legislative duties and Equality Schemes.	In NHS Jobs and ESR equalities and diversity monitoring data entered by the applicant in NHS Jobs enters the ESR Recruitment module to form the basis of the personal staff record in core HR, Payroll, Learning and Talent Management modules. All contractual changes, personal development, career and pay progression are recorded and can be reported on to demonstrate compliance or indicate where action is needed.
Core Standard C8b Healthcare organisations support their staff through having organisational and personal development programmes which recognise the contribution of staff and address where appropriate, under-representation of minority groups.	Organisations need to be able to show progress in ensuring that all staff have had Development Reviews and have active Personal Development Plans, and that under-representation of minority groups is being addressed where necessary.	The record transfers with the employee when they move to a new job in the NHS via ‘inter-authority transfer’. The results of Development Reviews, Personal Development Plans and development activities can be captured in the personal staff record using Oracle Learning Management and Talent Management modules. Reports can demonstrate compliance and progress.
Core Standard C10a Healthcare organisations undertake all appropriate employment checks and ensure that all employed or contracted staff are registered with the appropriate bodies.	Organisations need to be able to demonstrate compliance with rigorous processes designed to ensure all employment checks are carried out.	ESR has interfaces with Registration Bodies’ databases to provide continuously updated information on registration status and records all pre-employment checks in line with NHS Employment Standards.

CQC Core Standard	Evidence required to demonstrate compliance	ESR delivery
<p>Core Standard C11a Healthcare organisations ensure that staff concerned with all aspects of healthcare are appropriately recruited, trained and qualified for the work they undertake.</p>	Organisations must show that recruitment and employment processes for all staff are rigorous and comply with legal and best practice guidance.	Business processes in ESR Recruitment, core HR and Payroll modules ensure compliance with employment law requirements and NHS Employment Standards. Reports from the system can demonstrate compliance.
<p>Core Standard C11b Healthcare organisations ensure that staff concerned in all aspects of the provision of healthcare participate in mandatory training programmes.</p>	Organisations need to ensure all staff have access to appropriate mandatory training and demonstrate that all staff participate.	Using Oracle Learning Management, National Learning Management and Talent Management modules, staff can be enrolled on mandatory training programmes and completed training and competence recorded and reported on. Access to national and locally provided eLearning programmes can be accessed and evidenced using OLM.
<p>Core Standard C11c Healthcare organisations ensure that staff concerned with all aspects of healthcare participate in further professional and occupational development commensurate with their work throughout their working lives.</p>	Organisations need to be able to show that all staff participate in regular development reviews, personal development planning and are supported in achieving personal, professional and career development.	Using Oracle Learning Management and Talent Management modules, continuous professional and occupational development can be recorded and evidenced. Using Self Service, employees can monitor and manage their career development.
Patient Focus		
<p>Core Standard C13c Healthcare organisations have systems in place to ensure that staff treat patient information confidentially, except where authorised by legislation to the contrary.</p>	Organisations need to ensure that staff access to patient records is limited to and commensurate with their role in delivering healthcare.	The Registration Partnership Project (ESR and the Care Records Service) will deliver an eGif level standard compliant technical solution based on two factor authentication to ensure that identity management and access to patient care IT systems is tightly controlled, minimising risk to patient safety. Access to ESR will comply with the same standards as CfH systems.

ESR and the 2008/9 CQC Annual Health Check Results

There were two Core Standard results in the 2008/9 Annual Health Check where ESR can make a significant contribution to future compliance.

C11b – Participation in Mandatory Training

For the second year running, at 87.6% compliance overall, this standard was one of three which recorded the lowest compliance rates. As the table above shows, Using Oracle Learning Management, the National Learning Management System and Talent Management modules, staff can be enrolled on mandatory training programmes and completed training and competence can be recorded and reported on. Access to national and locally provided eLearning programmes can be accessed and evidenced using Oracle Learning Management.

Using Self Service, employees can monitor and manage their career development, including participation in statutory and mandatory training. Giving employees access to the National Learning Management System, via Oracle Learning Management, enables them to access both the national eLearning catalogue of statutory and mandatory training courses and programmes within local systems linked to the National Learning Management System. According to Chris Heward, Project Manager at Heart of Birmingham PCT,

‘The easiest way to monitor and report on Mandatory training, as required by the Care Quality Commission, is to link ‘competences’, that have renewal periods, to class attendance. The new ‘NHSLA’ report then gives a wonderful traffic light colour coded view on the compliance of all staff. Further, ESR triggers a ‘Notification’ to managers and employees using Self Service giving them a one month ‘heads up’ on the need to renew their training before their ‘competence’ expires’.

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C10a – Organisations undertake all appropriate pre-employment and employment checks

This was one of three standards where an overall decline in compliance was recorded. There have been two developments in ESR which will assist in complying with this core standard.

New ESR functionality for the management of Occupational Health clearance has been available since 5 October 2009. This allows organisations to check vaccination and immunisation status of new employees transferring from other organisations, pre-employment. Occupational Health clearance and other information can be recorded, with access limited to approved Occupational Health staff and transferred to the new employing organisation without manual data entry. The system provides reports on Occupational Health status and occupational health clearance data can be transferred from ESR to local Occupational Health systems.

Two new forms have recently been added to the ESR Recruitment module which make compliance with this standard easier to achieve. The forms are based on the six mandatory NHS Employment Check standards developed by NHS Employers with the Department of Health and employers in the NHS. The standards include checks required by law, by Department of Health Policy and those required for access to the NHS Care Records Service. They are:

- Verification of Identity
- Right to work checks
- Registration and Qualifications
- Occupational Health
- Criminal Records Checks and Independent Safeguarding Authority Vetting and Barring Checks from October 2009
- Employment History and References.

Form one, 'Recording Employment Checklist Dates', streamlines and accelerates the NHS Employment Checks process and implements validation rules



to guarantee data quality. Form two, 'ESR and recording employment checks – Verification of Identity' should be used both at interview and subsequent hire stage to confirm identity before enabling access to the NHS Care Records Service. A new 'Employment Checklist' report is being developed which will bring together all the essential employment check data items for both applicants and employees.

Core Standard C7e – Organisations challenge discrimination, promote equality and respect human rights

ESR can provide evidence to demonstrate and track progress in complying with employment legislative duties and Equality Schemes, but only if the data set for each employee is complete. Two organisations in Lincolnshire have worked hard to improve their data quality and use of ESR functionality.

Over the past six months Lincolnshire Partnership NHS Foundation Trust has introduced Oracle Learning Management and Talent Management, and gone live with Manager and Employee Self Service in order to be able to demonstrate compliance with NHSLA and CQC standards for mandatory training.

Occupational Health Clearance allows organisations to check vaccination and immunisation status of new employees transferring from other organisations, pre-employment.

Over the past 18 months the Trust has focused on raising awareness of Equality and Diversity through training and the creation of a specific fixed term lead role. A manual data review exercise by the workforce information team resulted in ethnicity data being actively chased down where it was previously recorded as unknown. With Self Service in place, an annual data quality review, asking staff to authenticate the data held in their record will be a relatively straightforward event. Monthly Board reports, drawn from ESR, include ethnicity data, information on absence, turnover and recruitment activity.

The Trust's Workforce Committee, chaired by Chief Executive, Chris Slavin is developing workforce metrics to enhance workforce reporting. This will include vacancy rates (using establishment data held in ESR), information on mandatory training compliance (using reports drawn from OLM) and length of service data.

Lincolnshire PCT established a permanent Equality, Diversity and Human Rights Lead two years ago. Recognition that there was a high level of 'unknown' entries against Equality and Diversity data led to an ESR data audit exercise in April 2009. An on-line process was established and all staff completed and returned a questionnaire. It was not possible for staff to return the questionnaire without completion of all fields. Automated upload of the data into ESR took place in May/June 2009. Equality and Diversity data is included in quarterly reports to the Commissioning Board. 'Snapshot' information was previously reported, and the Trust has begun to include trend data.

ESR – Improving the Quality of Care

The functionality and reporting capability of ESR makes the delivery and recording of best practice workforce management and development both more transparent and easier to achieve. Using the potential of the system as suggested in this briefing will support compliance with existing core standards and assist you in preparing to register with the Care Quality Commission in April 2010, but more significantly, it will enable the development of an engaged and expert workforce with the skills and training to deliver safe, expert patient care.

Jane Johnson, Associate Director of Workforce Development, Lincolnshire Partnership NHS Foundation Trust:

'The greatest benefit to the Trust of OLM has been the ability to have robust training data that identifies not only when staff have attended training, but more importantly identifies staff who are due to attend within a required timeframe'.



Contact Your ESR Account Manager

For more information about fully implementing ESR functionality and the reports suite, contact your ESR Account Manager, details are available at www.ersolution.co.uk/contact.

Your Opinion

We value your comments and views. To provide feedback on this briefing to Simon Willcock, ESR Programme Director, please [click here](#)