
THE ELECTRONIC STAFF RECORD PROGRAMME



NATIONAL HEALTH SERVICE

ESR-NHS0178 – IMPLEMENTING A GENERIC OUTBOUND NHS STORE INTERFACE FOR A LIVE ORGANISATION

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1.2. REVIEWERS

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1.3. DISTRIBUTION

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2. CONTENTS

1. DOCUMENT CONTROL.....	2
1.1. CHANGE RECORD	2
1.2. REVIEWERS.....	2
1.3. DISTRIBUTION.....	2
2. CONTENTS.....	3
3. INTRODUCTION.....	4
3.1. PURPOSE OF THIS DOCUMENT	4
3.2. NAMING ABBREVIATIONS	4
3.3. OVERVIEW.....	4
3.3.1. <i>Generic Outbound Active Directory (GAD) Interface</i>	5
3.3.2. <i>Generic Outbound Expenses (EXP) Interface</i>	5
3.3.3. <i>Generic Outbound Retro Fit (RET) Interface</i>	5
3.3.4. <i>Generic Outbound Rostering (ROS) Interface</i>	6
3.3.5. <i>Generic Outbound Generic Data Warehouse (GDW) Interface</i>	6
4. IMPLEMENTATION PROCESS	7
4.1. LOG AN SR.....	7
4.2. CLARIFICATION OF REQUEST.....	7
4.3. REQUEST LETTER OF COMMITMENT	8
4.4. NON-DISCLOSURE AGREEMENT AND DATA PROTECTION	8
4.5. INTERFACE CONFIGURATION	8
4.6. SETTING FLAGS IN ESR	9
4.7. SET-UP INTERFACE AND FTP ACCOUNT	9
4.8. SR CLOSURE	9
4.9. ON-GOING SUPPORT	10
4.10. INTERFACE SUPPORT WEBSITE.....	10
5. APPENDICES.....	11
5.1. SETTING FLAGS IN ESR	11
5.1.1. <i>Setting Flags in ESR at Payroll Level</i>	12
5.1.2. <i>Setting Flags in ESR at Assignment Level</i>	14
5.1.3. <i>Setting Flags in ESR at Position Level</i>	16
5.2. EXAMPLE LETTER OF COMMITMENT	18
5.3. PURCHASE ORDER DETAILS.....	19
5.4. SUMMARY OF INTERFACE CHARGES 2016/17	20
5.5. FTP PROTOCOL.....	21
5.6. CONTACTS	21

3. INTRODUCTION

3.1. PURPOSE OF THIS DOCUMENT

The purpose of this document is to provide guidance to an NHS Organisation implementing a Generic Outbound Interface. This document outlines the process that the NHS Organisation Implementation Lead, NHS ESR Commercial Team and NHS ESR Systems Integration Team will follow in order to achieve a successful implementation.

3.2. NAMING ABBREVIATIONS

The following naming abbreviations are used throughout this document:

- EIT – Extra Information Types
- ESR – Electronic Staff Record
- EXP – Generic Outbound Expenses Interface
- FTP – File Transfer Protocol
- GAD – Generic Outbound Active Directory Interface
- GDW – Generic Outbound Generic Data Warehouse Interface
- HR – Human Resources
- LOC – Letter of Commitment
- NDA – Non-Disclosure Agreement
- NHS – National Health Service
- PO – Purchase Order
- RET – Generic Outbound Retro Fit Interface
- ROS – Generic Outbound Rostering Interface
- SIT – Special Information Types
- SLA – Service Level Agreement
- SR – Service Request
- T&A – Time and Attendance
- VPD – Virtual Private Database

3.3. OVERVIEW

ESR provides data via a number of Generic Outbound Interfaces for use in a variety of external systems such as; expenses systems, e-rostering systems and data warehouses to name a few. ESR supplies this information using a Generic Interface solution that contains Employee and Assignment Numbers, Names, Addresses and other data items that are likely to be of most use in supporting the NHS Organisation business functions.

The interface can execute on a daily or weekly basis as requested by an NHS Organisation. An NHS Organisation must request that the interface is enabled and supply the necessary configurations (see Section 4.5).

Once requested, ESR will send an initial “snapshot” of all Assignment and Personal details of all flagged active employees. Thereafter, ESR will supply updates of flagged Assignment and

Personal details for joiner, terminations or changes since the last execution. These are called change files.

Wherever possible, any proposed changes to the format of the interface file will be notified to sites six months prior to the changes being implemented. It is the responsibility of the NHS Organisation to inform their supplier of the proposed change.

As previously stated, ESR provides data via a Generic Outbound Interface for use in a variety of external systems. To cater for this, variations of the Generic Outbound Interface have been developed. These are as follows:

3.3.1. Generic Outbound Active Directory (GAD) Interface

The GAD interface is intended for use with Active Directory system providers to the NHS. It contains relevant data items from the following records:

- Location record
- Organisation record
- Position record
- Person record
- Assignment record
- Phone record
- Address record

3.3.2. Generic Outbound Expenses (EXP) Interface

The EXP interface is intended for use with Expenses system providers to the NHS. It contains relevant data items from the following records:

- Location record
- Organisation record
- Position record
- Person record
- Assignment record
- Phone record
- Address record
- Vehicle record

3.3.3. Generic Outbound Retro Fit (RET) Interface

The RET interface is supplied by the NHS ESR Systems Integration Team to NHS Organisations and approved external Third Party Systems. This is an enhanced copy of the legacy Generic Outbound Interface. It contains data items from the following records:

- Person record
- Assignment record

3.3.4. Generic Outbound Rostering (ROS) Interface

The ROS interface is intended for use with Rostering system providers to the NHS. It contains relevant data items from the following records:

- Person record
- Phone record
- SIT record
- Address record
- Assignment record
- Organisation record
- Location record
- EIT record
- Contact/Relationship record
- Competencies record
- Qualifications record
- Absences record
- Assignment Costing record
- Position record

3.3.5. Generic Outbound Generic Data Warehouse (GDW) Interface

The GDW interface is intended for use with Data Warehouse systems providers. It contains relevant data items from the following records:

- Person record
- Position EIT record
- SIT record
- Assignment record
- Organisation record
- Location record
- EIT record
- Competencies record
- Qualifications record
- Competence Definition record
- Absences record
- Element Entry record
- Disabilities record
- Assignment Costing record
- Position record

4. IMPLEMENTATION PROCESS

4.1. LOG AN SR

Once an NHS Organisation decides it requires the interface, a Service Request (SR) must be logged on the ESR Service Desk. The HR or Payroll departments within the NHS Organisation generally have access the helpdesk to log the Service Request.

The text of the SR should contain the following reference:

*“Request the set-up of the Generic Outbound Interface for NHS Organisation **nnn**¹. The NHS Organisation will be loading the Interface using the **xxx**² system. Please pass this call to ESRNHSINT”.*

- 1 Replace **nnn** with the 3 digit ESR VPD number that is associated with the NHS Organisation.
- 2 Replace **xxx** with the name of the system that the Generic Outbound Interface file will be loaded into.

Once the SR is received, the NHS ESR Systems Integration Team will agree with the NHS Organisation the timescales for the implementation. The NHS Organisation will then be included on the implementation schedule. If the implementation is delayed by the NHS Organisation or the supplier and has to be rescheduled then the next available slot will be allocated by the NHS ESR Systems Integration Team.

A lead time of 4-6 weeks is typically required prior to the first interface file being available for testing. If a site visit by the supplier is planned and test files are required for this date then the NHS ESR Systems Integration Team must be informed. If this visit is within the first 4-6 weeks of the implementation then it may be that the interface is not yet available.

4.2. CLARIFICATION OF REQUEST

Once the SR has been logged, the NHS ESR Systems Integration Team will clarify and confirm with the requesting organisation, the following:

- Which system the NHS Organisation will be processing the requested interface into and the supplier of that system.
- Which is the most suitable variation of Generic Outbound Interface to implement? The different variations are outlined in Section 3.3.

4.3. REQUEST LETTER OF COMMITMENT

The NHS ESR Systems Integration Team will request a Letter of Commitment and Purchase Order from the requesting NHS Organisation. This letter is an agreement from the NHS Organisation, that the NHS Organisation accepts the implementation and annual support charges for this interface. The NHS ESR Systems Integration Team must be in receipt of this letter before the implementation process can begin.

The NHS ESR Systems Integration Team will be able to assist the NHS Organisation with the letter by providing a template. An example of this Letter of Commitment can be found in Section 5.2, Purchase Order details can be found in Section 5.3 and the current Interface Charges can be found in Section 5.4.

The NHS ESR Systems Integration Team can also supply a copy of the standard terms and conditions associated with this Interface.

4.4. NON-DISCLOSURE AGREEMENT AND DATA PROTECTION

Where interface files are to be loaded into 3rd party supplier systems, there must be a Non-Disclosure Agreement (NDA) in place between ESR and the relevant 3rd party supplier.

Based on the information in the SR, the NHS ESR Systems Integration Team will check to see if there is already a NDA in place with the relevant 3rd party supplier. If this is not already in place, the NHS ESR Systems Integration Team will require the NHS Organisation to supply contact details for the 3rd party supplier. The ESR Commercial Team will then arrange for the NDA to be put in place.

Once the NDA is in place, the NHS ESR Systems Integration Team will be able to share the interface specifications with the 3rd party supplier.

Where data is to be held or processed by the 3rd party supplier, it is the responsibility of the NHS Organisation to ensure that there is adequate cover for Data Protection purposes.

4.5. INTERFACE CONFIGURATION

Once the LOC, PO and NDA (if applicable) are in place, the NHS ESR Systems Integration Team will clarify the following details, regarding the requested Generic Outbound Interface, with the NHS Organisation:

- Which email addresses should receive email notifications when files are available?
- Are files required daily or weekly? If weekly, is there a preferred day of the week to receive files?
- When should the Generic Outbound Interface produce the initial full file?
- Will any flags be set in ESR (see section 4.6 and 5.1)?
- If the RET interface is requested – Should address line 3 be included in the extract?

4.6. SETTING FLAGS IN ESR

As outlined in the overview, the interface selects Employees and Assignments for inclusion on the interface, based on flags that are set in ESR. If no flags are set, all Employees or Assignments will be extracted.

Flags can be set at three levels:-

- Payroll – All Assignments attached to the payroll are included on the interface.
- Position – All assignments attached to the position are included on the interface.
- Assignment – Only assignments that are flagged are included on the interface.

Section 5.2 gives details of how to set the flags in ESR. Where an Organisation is using flags to control the selection of data for the interface, the flags must be set before the first execution of the interface.

4.7. SET-UP INTERFACE AND FTP ACCOUNT

Once the SR, LOC, PO and NDA (where applicable) have all been received, the NHS ESR Systems Integration Team will manage the Interface and FTP account set-up.

An FTP account will be set-up on the NHS Interface Hub, where NHS Organisations can collect their Generic Outbound files from. This usually takes around 5-10 working days. Connection details for the NHS Interface Hub can be found in section 5.5.

If there are any issues with connectivity to the FTP account and NHS Interface Hub, the NHS ESR Systems Integration Team will work directly with the NHS Organisation to resolve the issue.

The NHS ESR Systems Integration Team will provide the FTP location, username and password to the NHS Organisation and check that they can log on. Before these details can be issued, a suitable individual with an appropriate ESR helpdesk account will need to complete a Caller ID Check on behalf of the NHS Organisation.

4.8. SR CLOSURE

The NHS ESR Systems Integration Team will liaise with the NHS Organisation to check that the files have been generated and made available to the NHS Organisation successfully.

Once the NHS Organisation has confirmed the data was received successfully, the NHS ESR Systems Integration Team will request that the NHS Organisation marks the SR as resolved and agrees to it being closed.

4.9. ON-GOING SUPPORT

Once the initial SR has been closed, any issues arising that require support from either the NHS ESR Systems Integration Team will require a new SR to be logged.

Upon receipt of an SR, the NHS ESR Systems Integration Team will investigate issues to do with the content of the file.

SR's logged for the interface are dealt with to the same Service Level Agreements (SLA) as all other ESR SR's.

4.10. INTERFACE SUPPORT WEBSITE

A website is provided to all NHS Organisations who are live on ESR with a Generic Outbound Interface. The website contains details of current versions of specifications for the interfaces as well as any proposed changes to the interface.

The website will also be used as a mechanism to communicate to NHS Organisations any system wide issues to do with the interface.

The NHS ESR Systems Integration Team will provide details of the address, username and password at the appropriate time during the implementation of the interface.

5. APPENDICES

5.1. SETTING FLAGS IN ESR

ESR will only send data associated to Assignments with the following statuses:

- 'Acting Up'
- 'Active Assignment'
- 'Assignment Costing Deletion'
- 'Career Break'
- 'Internal Secondment'
- 'Maternity'
- 'Out on External Secondment - Paid'
- 'Out on External Secondment - Unpaid'
- 'Suspend Assignment'
- 'Suspend No Pay'
- 'Suspend With Pay'
- 'Offer Accepted'

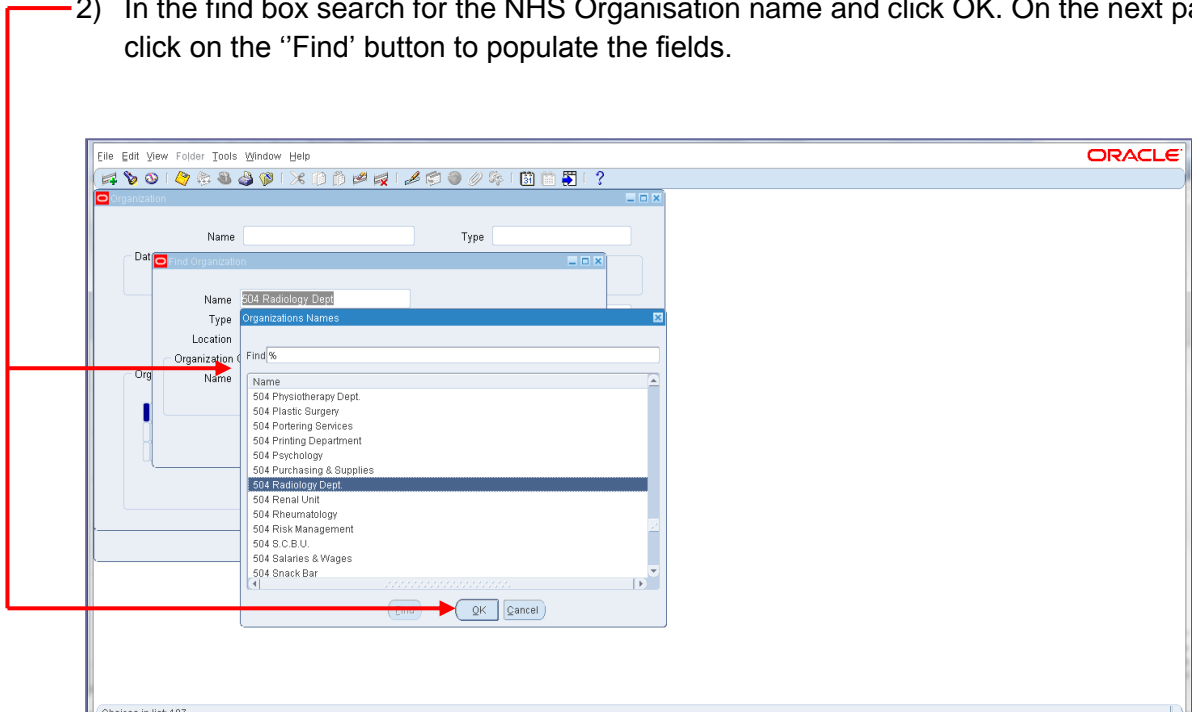
Assignments that have been terminated prior to either the ESR “Go Live” or the date the interface was enabled for the NHS Organisation are never included in the interface file. Furthermore, if only specific Assignments are required they must also be flagged before it is included in the interface file. This can be done in one of three ways:

- Payroll Level
- Position Level
- Assignment Level

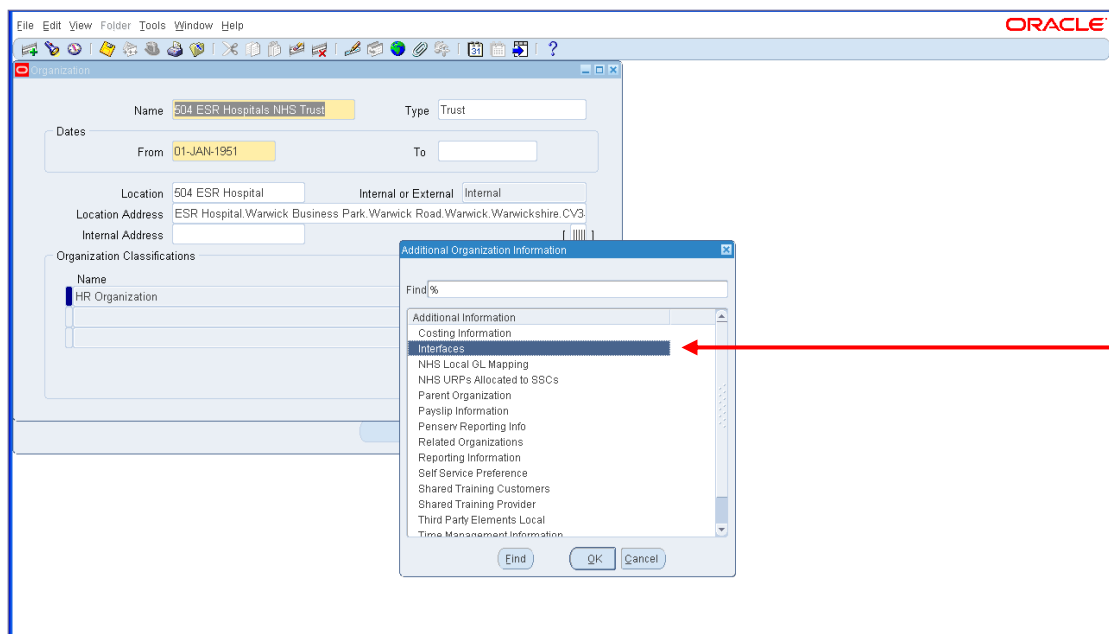
When flagging is in use, an Assignment is included in the interface file if any of the above attributes (on the Position, Assignment or on its Payroll) is set to 'GTA'. Only Assignments that are so flagged are included. Once sent, the flow of information is maintained until the assignment is terminated or the attribute is cleared.

5.1.1. Setting Flags in ESR at Payroll Level

- 1) Under the 'Local Workstructures Administration' URP select 'Organisation' and 'Description'.
- 2) In the find box search for the NHS Organisation name and click OK. On the next page, click on the "Find" button to populate the fields.

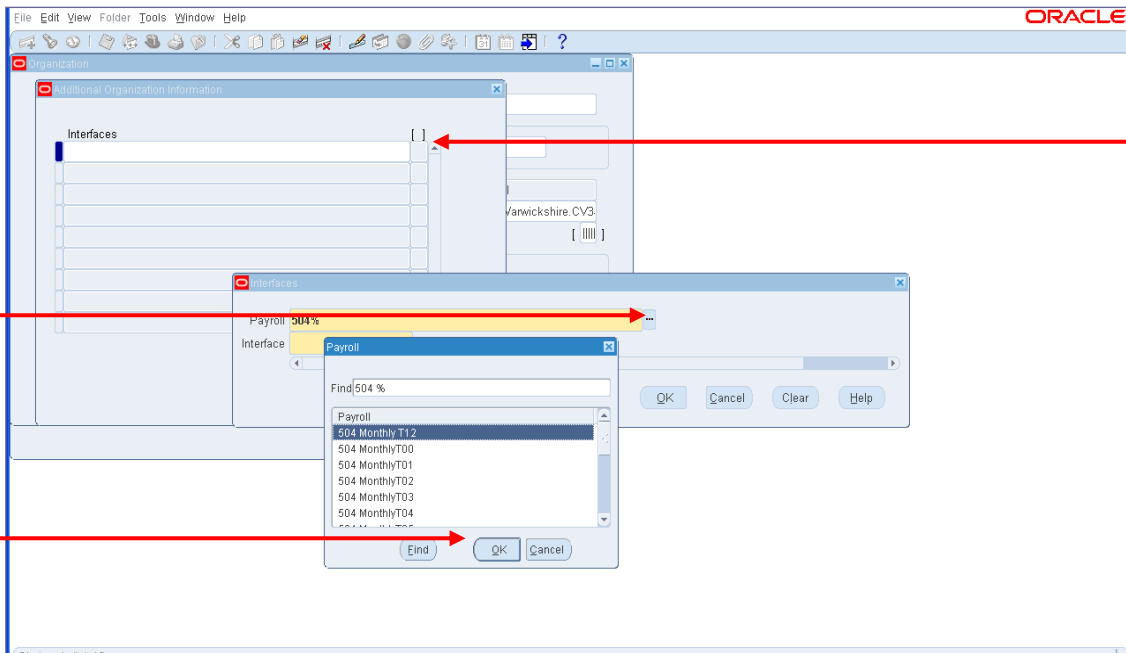


- 3) Click on the 'Others' button near the bottom right of the screen. Select 'Interfaces'.

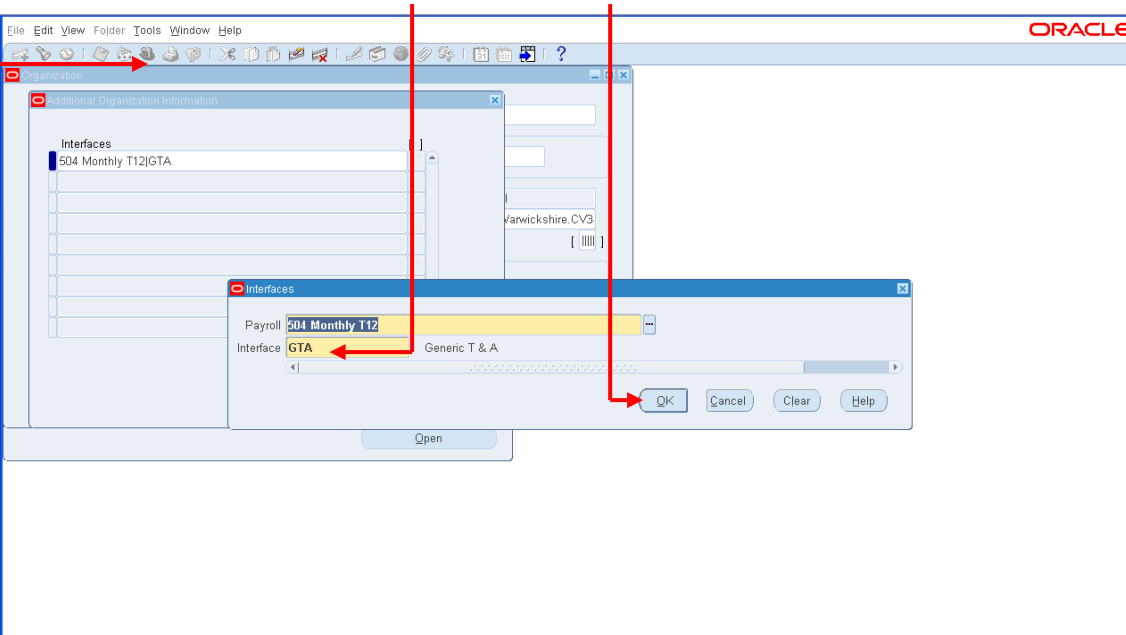


4) Click in the field at the end of the line to bring up the 'Payroll' and 'Interface' screen.

5) Select the '...' on the Payroll field and search for the payroll you would like to include in the interface and press OK.



6) In the Interface Field, select 'GTA' and press OK.



7) Remember to click the save button at the top of the screen.

5.1.2. Setting Flags in ESR at Assignment Level

- 1) Under the 'HR Administration' URP select 'Enter & Maintain'.
- 2) Click 'Open'. On the next page which shows answer 'No' to the effective date question

The screenshot shows the Oracle HR Administration Navigator window. The 'Functions' tab is active, and the 'People' folder is expanded. The 'Enter & Maintain' option is highlighted in the list. The 'Open' button is visible at the bottom right of the 'Enter & Maintain' section.

- 3) Click on the three dots (...) at the end of the 'Full Name' field to bring up the search box.
- 4) Search for the person you would like to set the flag against and press OK.

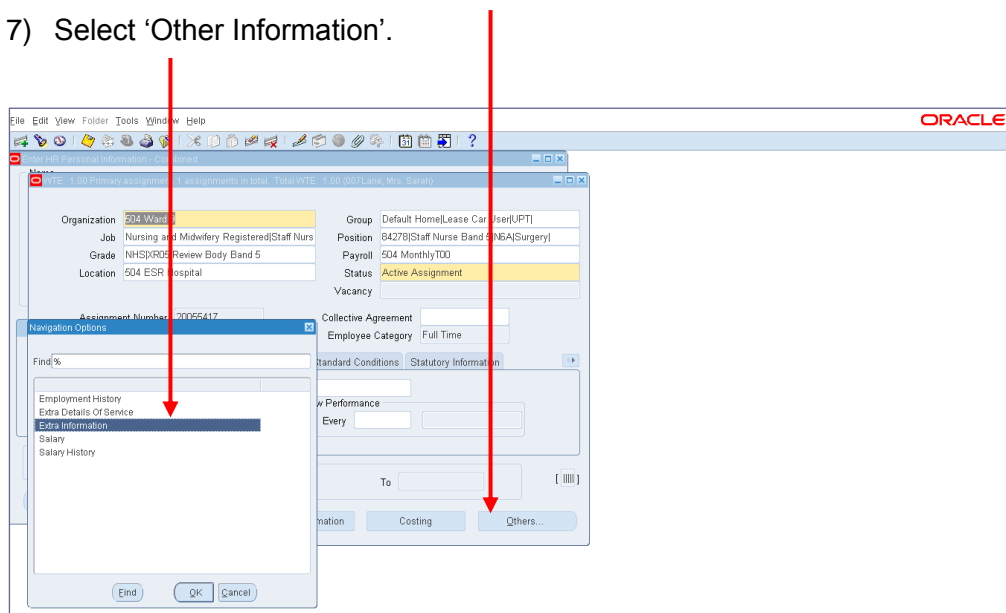
The screenshot shows the 'Find People' search dialog box. The 'Full Name' field is highlighted with a red arrow. The 'Find' button is visible at the bottom right of the dialog box.

- 5) Having found the correct person, select the 'Assignment' tab.

The screenshot shows the 'Enter HR Personal Information - Combined' form. The 'Assignment' tab is selected, and the 'Latest Start Date' field is highlighted with a red arrow.

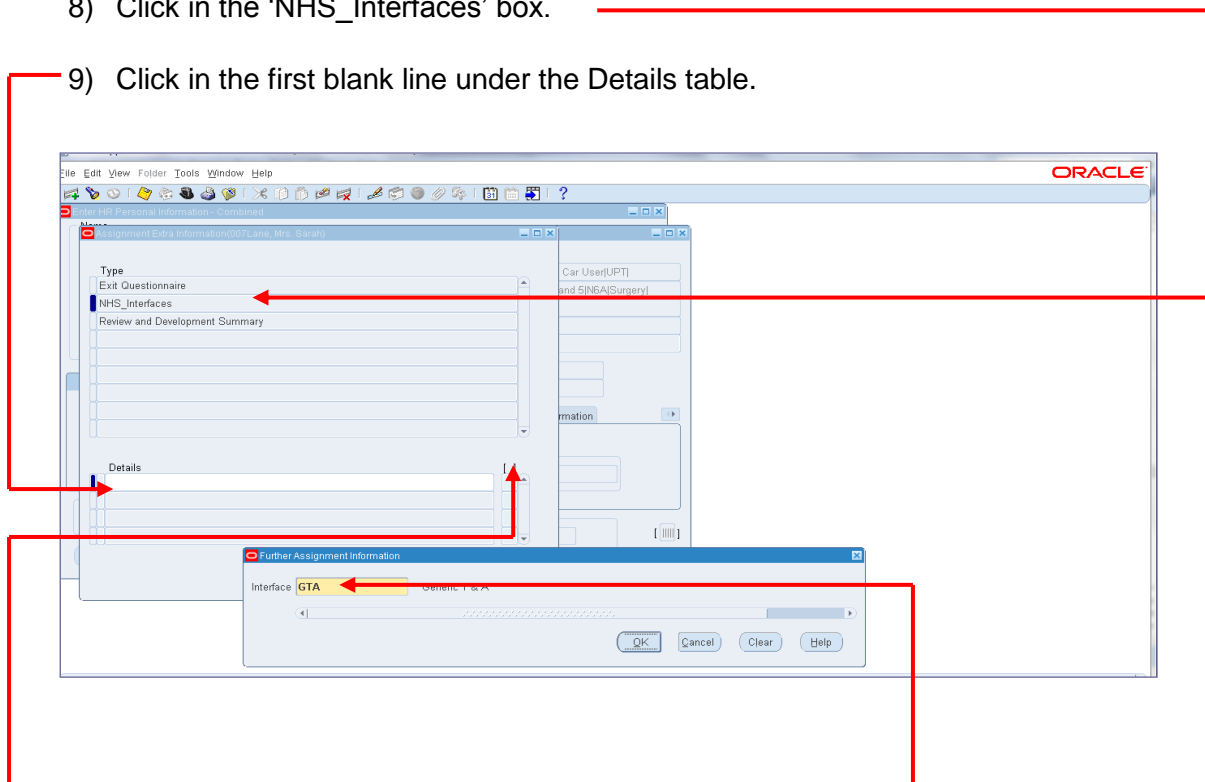
6) In the next screen click the 'Others' Tab.

7) Select 'Other Information'.



8) Click in the 'NHS_Interfaces' box.

9) Click in the first blank line under the Details table.



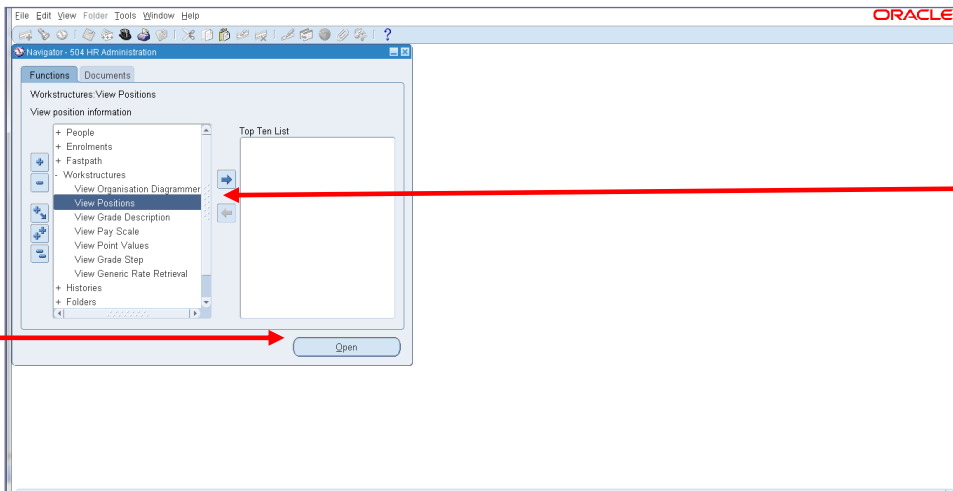
10) Click on the three dots (...). and select the 'GTA' Flag.

11) Finally, remember to click the save button at the top of the screen.

5.1.3. Setting Flags in ESR at Position Level

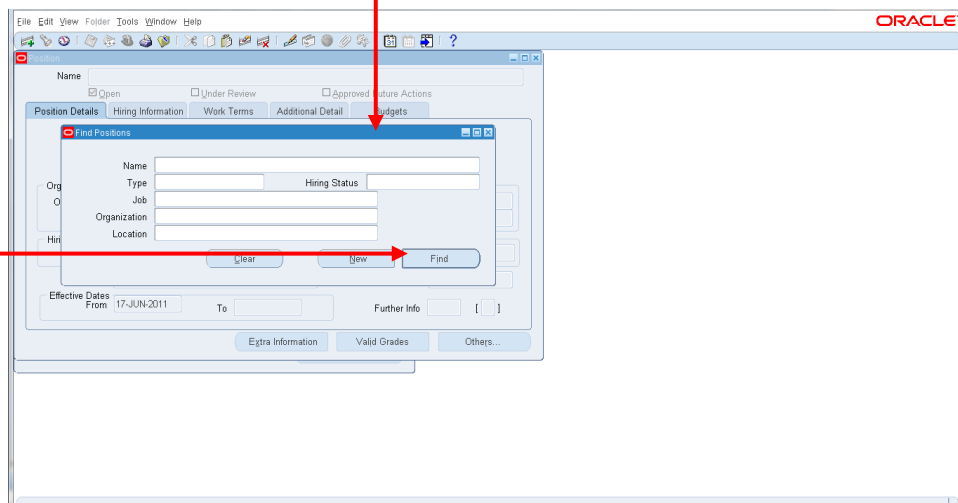
1) Under the 'HR Administration' URP select 'Workstructures' then 'View Positions'

2) Click 'Open'. On the next page, answer 'No' to the effective date question.

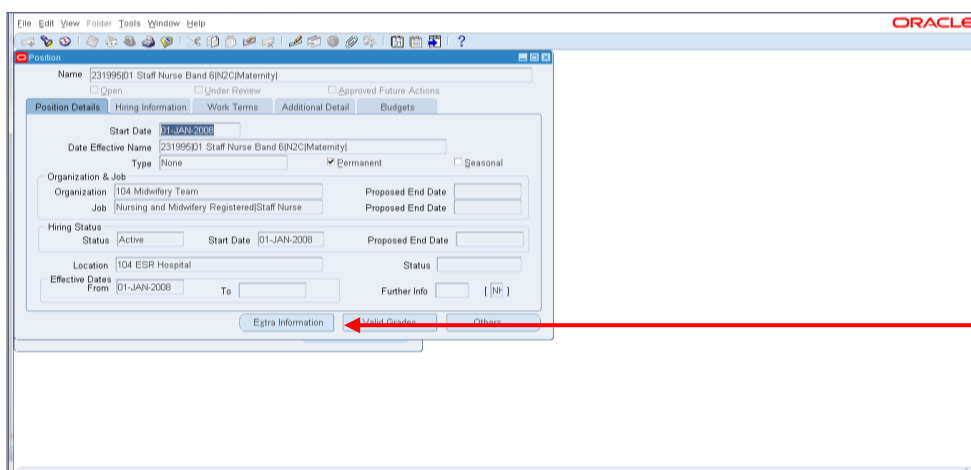


3) Search for the position to set the flag against.

4) Press 'Find'.

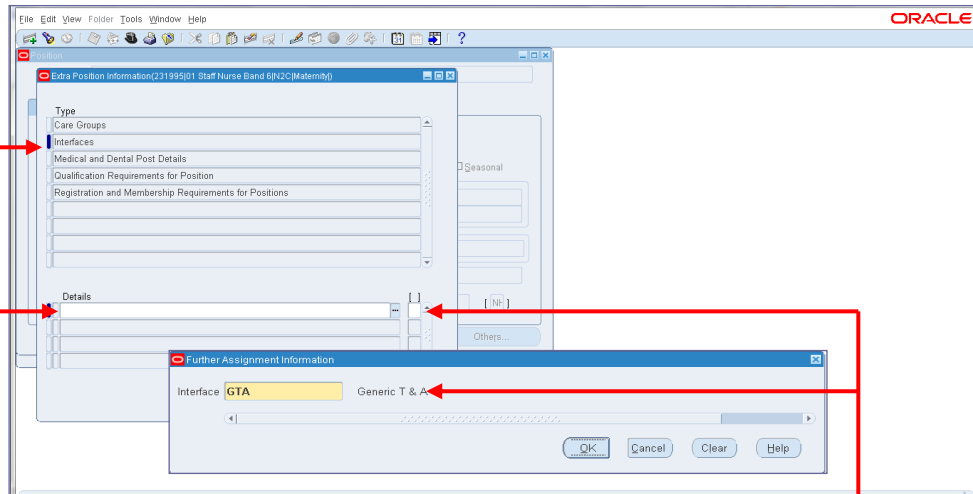


5) On the relevant position, select 'Extra Information'.



6) Click in the 'Interfaces' box.

7) Click in the first blank field under the Details table.



8) Click on the three dots (...) and select the 'GTA' Flag.

9) Finally, remember to click the save button at the top of the screen.

5.2. EXAMPLE LETTER OF COMMITMENT

INSERT YOUR
ORGANISATIONS
LOGO HERE

NHS Electronic Staff Record
5th Floor
Don Valley House
Savile Street East
Sheffield
South Yorkshire
S4 7UQ

DD/MM/YYYY

Dear NHS ESR Systems Integration Team

Re: Implementation of Non-Core Interfaces

Organisation Name & Insert VPD would like to implement the following non-core interface/s and accepts the following costs as detailed in the charges table below with a go-live date of MM/YYYY.

Organisation Purchase Order Number:

Interface Type	Implementation Fee 2016/17	Annual Support Charge 2016/17*	Total
T&A Generic Absence Inbound Interface	£970	£1,205	
T&A Generic Attendance Inbound Interface	£865	£1,205	
Generic Email Inbound	£865	£1205	
Occupational Health Outbound Interface	£525	£680	
Occupational Health bi-directional Interface	£NIL	‡£680	
SMART Outbound Interface	£865	£1,415	
Generic Outbound NHS Store Interface	£865	£1,415	

* The Fee quoted is pro-rata based on the above go-live date.

† The fee quoted is based on the organisation paying for another instance of this interface type at the full fee. If at some future date the organisation ceases to use another instance of the interface, the ongoing fee for this interface will revert to the full fee.

‡ Occupational Health bi-directional interfaces implemented during the 2016/17 financial year will incur no implementation charge, and no support charges for the first 12 months. Once the 12 month free support period expires, they will be charged at the same rate as Occupational Health Outbound Interfaces.

The Organisation is committed to keeping the Interface supported by the NHS ESR Systems Integration Team beyond this current financial year. On this basis and in line with the charges detailed above, the Organisation accepts the future support costs associated with the interface beyond the financial year 2016/17. The charges run from April 1st to March 31st every year and will be subject to RPIX uplift on an annual basis.

If for whatever reason the Organisation wishes to cease the utilisation of the Interface they should raise a Service Request (SR) via the ESR Service Desk. Termination of the interface will require a 1 month notice period in writing from the Organisation to the NHS ESR Systems Integration Team. The Organisation also accepts that it will be liable for any interface support charges incurred up to and including the date at which the interface is switched off.

Responsibility and liability for using this Interface rests with the Organisation and Supplier. The Organisation will be responsible for the quality of the data held in ESR be it keyed by a user or entered via the Interface route.

Yours sincerely

Signature
Title
Telephone number

5.3. PURCHASE ORDER DETAILS

When raising Purchase Orders, the supplier should be listed as NHS Electronic Staff Record.

The NHS Electronic Staff Record bank details for receiving income are as follows:

Bank Name:	Nat West
Sort Code:	60-70-80
Account Number:	10012044
Account Name:	GBS RE NHSBSA Hosted

We require a full copy of the Purchase Order before we can proceed with your Interface request.

VAT is not applicable when charging other NHS Organisations.

Invoice Queries: ESR.interfaces@nhs.net

5.4. SUMMARY OF INTERFACE CHARGES 2016/17

As a result of additional efficiencies in processing, the charges for Generic Non-Core Interface Implementations & Support have not been subjected to the permitted RPIX uplift, and have been held for the financial year 2016/2017.

Implementation of Initial Instance of Non-Core Interfaces at a VPD

Charges for the first “instance” of a particular interface for an NHS Organisation. Each third party system using an interface requires its own instance.

Interface	One-Off Implementation Fee	Annual Support Fee (per annum)
Generic Absence Inbound	£970	£1205
Generic Attendance Inbound	£865	£1205
Generic Email Inbound	£865	£1205
Generic Outbound NHS Store Interface	£865	£1415
Generic Occupational Health Outbound	£525	£680
Generic Occupational Health bi-directional	£NIL	‡ £680
SMART Outbound	£865	£1415

‡ For OH Bidirectional Interfaces implemented in 2016/17, support charges will be calculated from the first anniversary of the interface being implemented and will be billed in May 2017.

Implementation of Additional Instances of Non-Core Interfaces at a VPD

Charges for additional instances of an interface for an NHS Organisation, to support the use of additional third party applications.

Interface	One-Off Implementation Fee	Annual Support Fee (per annum)
Generic Absence Inbound	£400	£200
Generic Attendance Inbound	£400	£200
Generic Outbound NHS Store Interface	£500	£260

Implementation of Bespoke Interfaces

Where an organisation’s needs cannot be met by one of our standard interfaces, a bespoke interface may, if appropriate, be provided at a higher cost.

Interface	One-Off Implementation Fee	Annual Support Fee (per annum)
Bespoke Outbound Interface	£1265	£1615

5.5. FTP PROTOCOL

NHS Interface Hub:

Production: esrnhshub.mhapp.nhs.uk 10.129.117.11

Protocols available for sending:

FTPS: Passive only (Port 21 and high port range 32768-65535). The high port range needs to be explicitly allowed through firewall due to the encryption.

Firewall Permission (for file delivery):

If the delivery IP address is not N3 – a trust will need to allow 194.176.105.0 through to 194.176.105.8.

If the delivery IP address is on N3 – a trust will need to allow:

- 10.129.117.9
- 10.129.117.10
- 10.129.117.11

Please note – the NHS Interface Hub should be accessed via an FTP Client and not Internet Explorer.

5.6. CONTACTS

NHS ESR Systems Integration Team
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Savile Street East
Sheffield
South Yorkshire
S4 7UQ
esr.interfaces@nhs.net

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