



Appraisals Recording Guidance

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Overview

This guidance should be used to support the input of appraisal details to ESR.

Please follow the steps in this guidance closely to ensure that appraisals are entered appropriately and marked as complete. This will ensure they are included against compliance figures.

Appraisal Data which Must be Recorded

There are two approaches to recording appraisals as detailed below. Both approaches require the input of basic appraisal data as follows:

| DATA ITEM | INPUT DETAILS |
|--------------------|--|
| Review Type: | Performance Appraisal |
| Period Start Date: | The date 12 months prior to the appraisal date |
| Period End Date: | The date immediately prior to the appraisal date |
| Template: | 287 LUHFT Appraisal Template xx/xx* |
| Appraisal Date: | The date of the appraisal meeting |
| Assignment Number: | The assignment number of the appraisee and will auto populate |
| Main Reviewer: | The person who is the appraiser. This will normally auto populate with the employee's ESR supervisor |

*Choose the appropriate template based on the description

EXAMPLE: If an appraisal is undertaken on 15th June 2023 the following details would be entered as below.

| DATA ITEM | INPUT DETAILS |
|--------------------|---|
| Review Type: | Performance Appraisal |
| Period Start Date: | 15 th Jun 2022 |
| Period End Date: | 14 th June 2023 |
| Template: | 287 LUHFT Appraisal Template 23/24 |
| Appraisal Date: | 15 th June 2023 |
| Assignment Number: | The assignment number of the appraisee and will auto populate |
| Main Reviewer: | The person who is the appraiser |

Recording the above data **AND** marking the appraisal as complete will include details in local compliance reports.

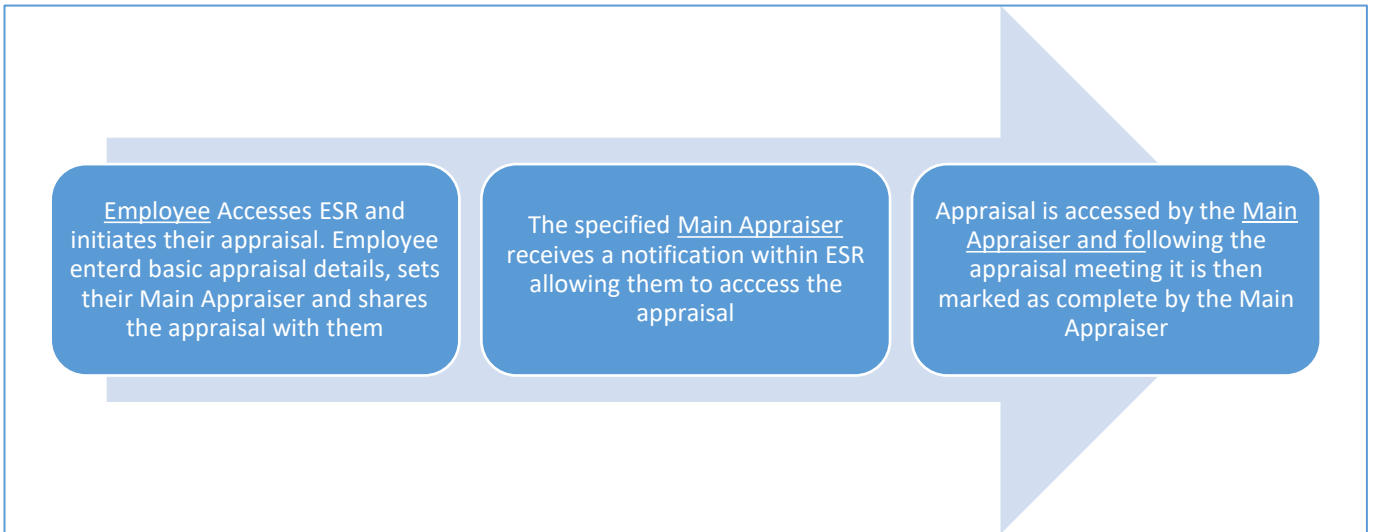
If an appraisal is recorded within ESR and it is only saved it will **NOT** be counted against compliance figures.

Approach to Input Appraisal Data to ESR

There are two approaches to input of Appraisal details to ESR, either Employee Initiated, or Manager initiated. Both approaches require the same information to be input to ESR, but by different stakeholders.

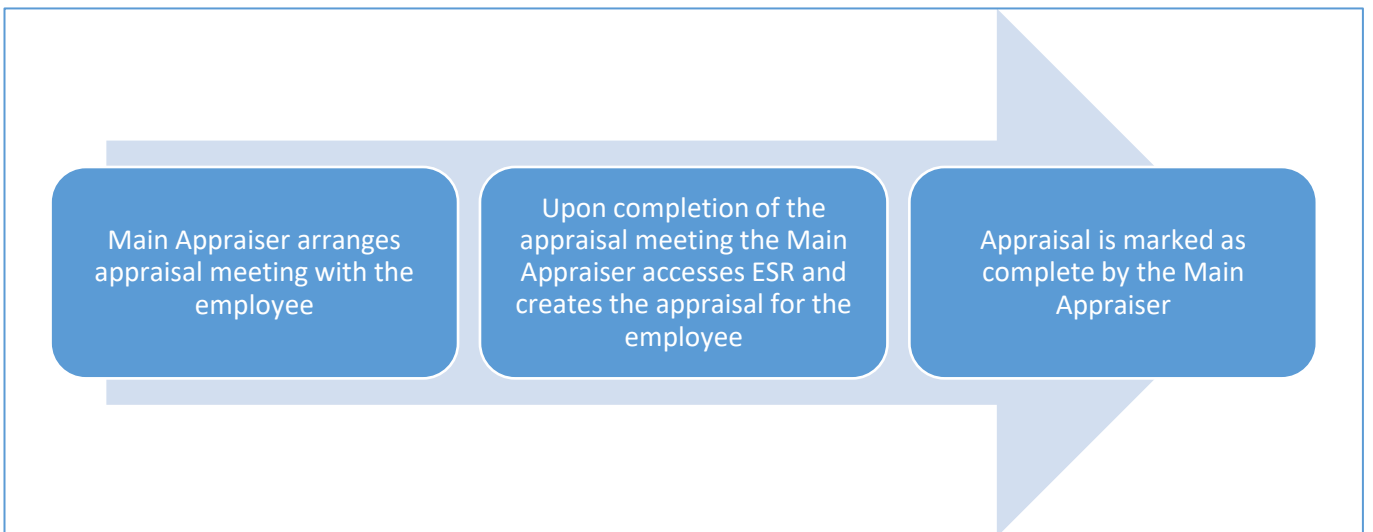
The graphics on the following page provide an overview for both approaches, followed by more detailed guidance.

EMPLOYEE INITIATED APPROACH



This approach does not rely on the ESR Supervisor Hierarchy, and the Main Appraiser does not require Supervisor Self Service access. This is the preferred approach to be used.

MANAGER INITIATED APPROACH



This approach relies on the ESR Supervisor Hierarchy, and Supervisor Self Service access. The Main Appraiser **must** sit above the employee being appraised. **The Main Appraiser must have their smartcard to allow Supervisor Self Service access.** If either of these requirements are not in place you will not be able to add an appraisal.

The preferred approach is for Appraisals to be Employee Initiated. Ownership of the appraisal starts with the employee themselves and this approach does not rely on the ESR Supervisor Hierarchy and appraisals can be completed via the notification function within ESR.

Please read on for detailed guidance on how to input appraisals for both approaches!

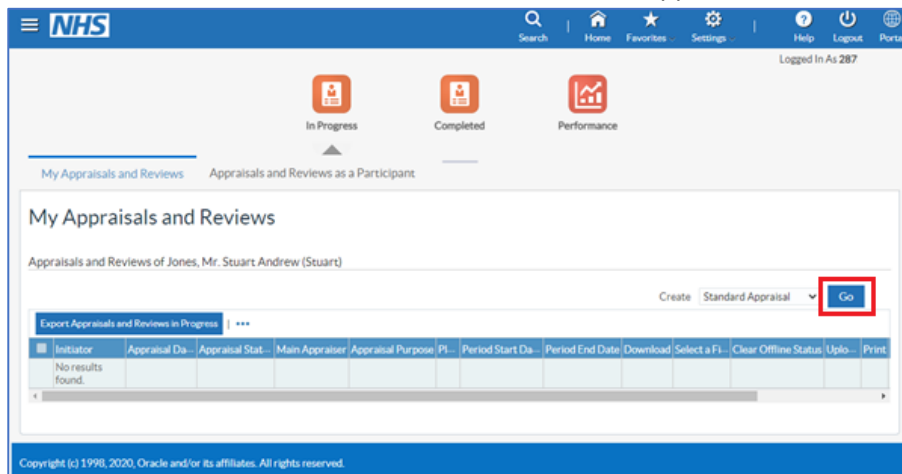
Red boxes highlight key fields and buttons to be used.

Employee Initiated Appraisals – Step by Step Guidance

1. Employee accesses their ESR record.
2. On the ESR Landing page navigate to the 'My Appraisals and Reviews' portlet and click on the 'View My Appraisals' button.



3. On the next screen click on the 'Go' button next to 'Create: Standard Appraisal'.

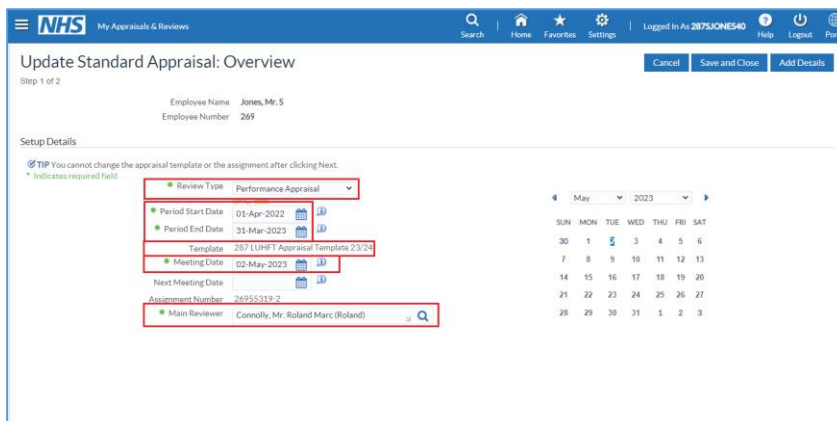


4. Basic appraisal details as mentioned earlier in this document must be entered by the employee. Special care should be taken to ensure that the appropriate Main Appraiser details are added.

Important: When entering the Main Appraiser details their name should be entered in the following format; Surname%First Name%, with % being a wildcard figure.

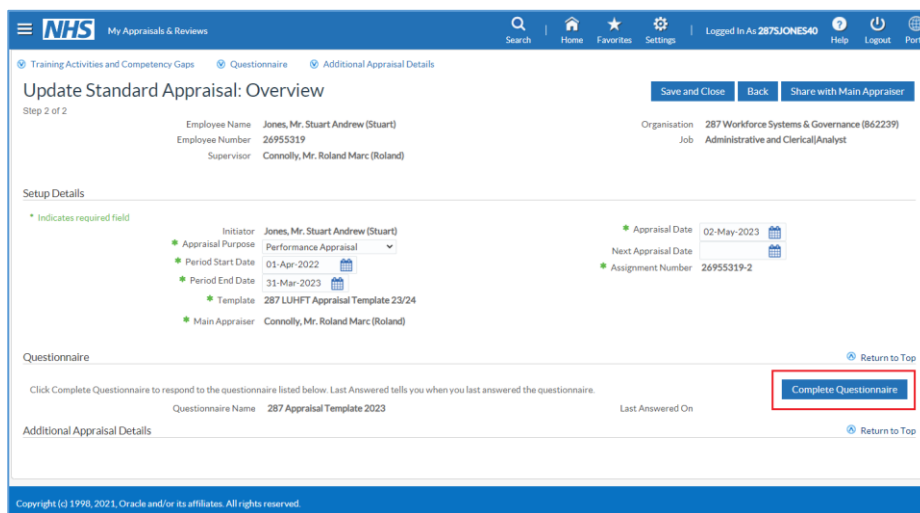
Once details have been added click on the 'Add Details' button.

DO NOT CLICK THE 'SAVE AND CLOSE' BUTTON.



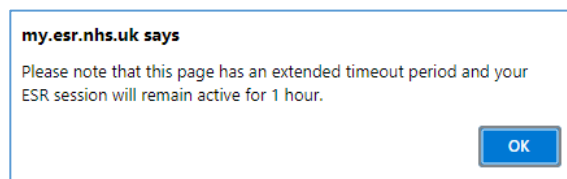
- At this stage the option exists for the employee to complete their Appraisal Conversation template directly within ESR. This is advised best practice to ensure that a full record of the Appraisal is kept electronically for future reference. Paper versions of the Appraisal Conversation template can be completed and stored locally, however these must be available upon request should a spot check audit of Appraisal documents be requested.

To complete the electronic version of the Appraisal Conversation template please click on the 'Complete Questionnaire' button.

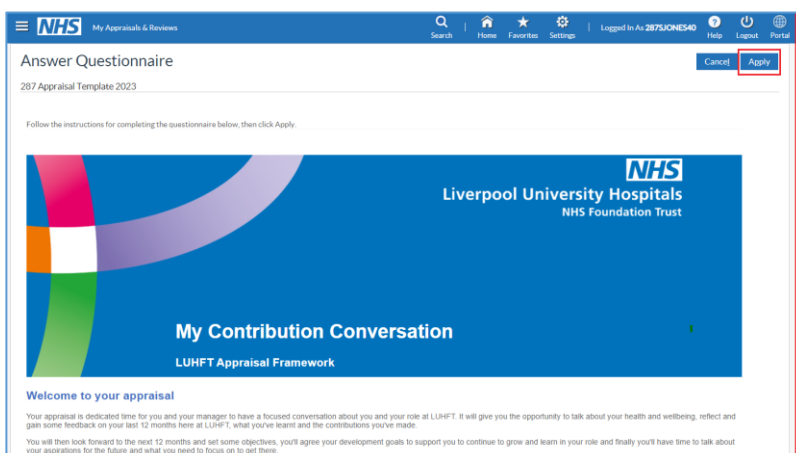


A message will appear stating that you have an extended timeout period of 1 hour to complete your Appraisal Questionnaire template.

IMPORTANT: If you continually access your appraisal for more than an hour without exiting and saving, your progress and any entries made will be lost.



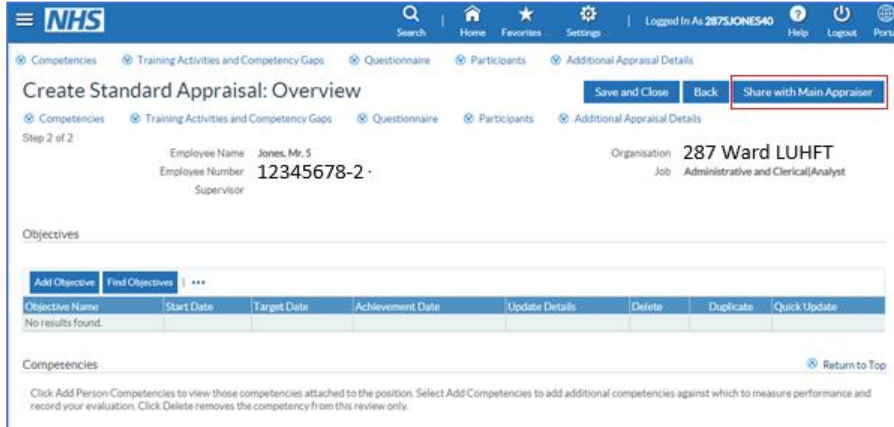
A larger window will open underneath the 'Extended timeout' pop up window showing the Appraisal Conversation template.



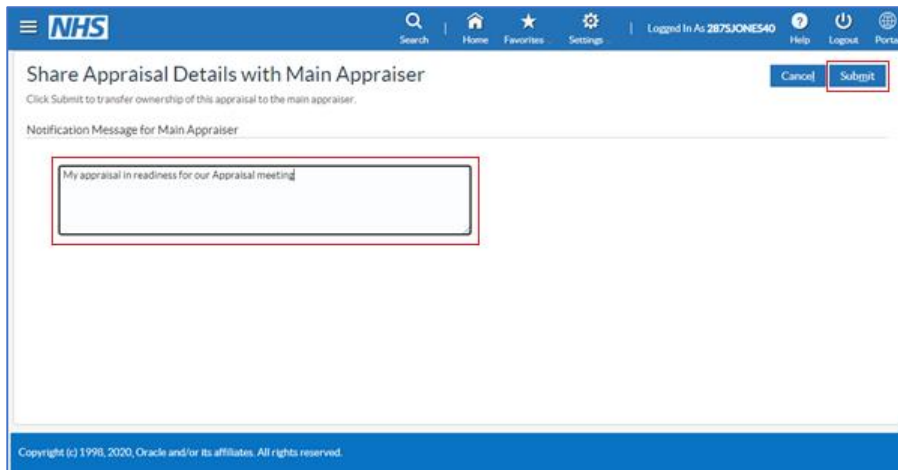
Scroll down the window to view all fields available within the template and enter your responses as required.

Once completed clicking the Apply button will save any entries which have been added.

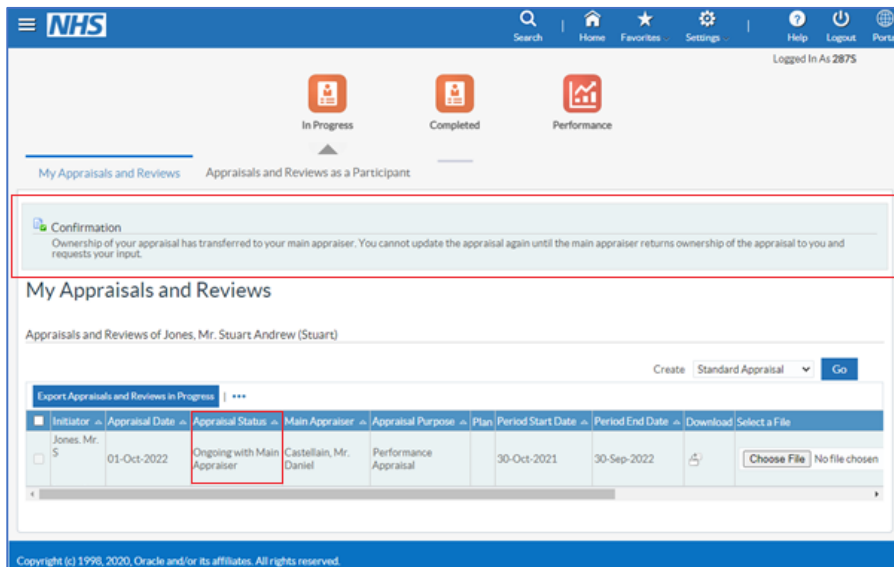
6. Click the button 'Share with Main Appraiser'. **DO NOT CLICK THE 'SAVE AND CLOSE' BUTTON.**



7. A box will appear where the employee can add freetext notes for their Main Appraiser should they wish. Click on the 'Submit' button to send this appraisal to the specified Main Appraiser.



8. A confirmation message will show to indicate that the appraisal has been transferred to the specified Main Appraiser, and that you can no longer update it. The appraisal now sits with the specified Main Appraiser.

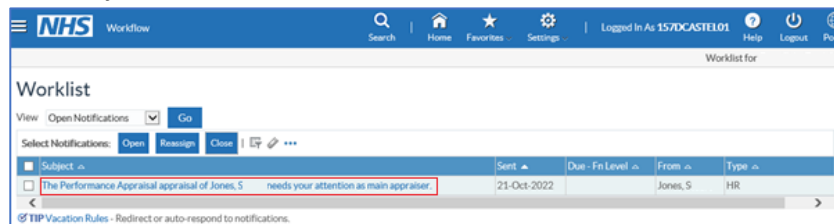


The Main Appraiser will now pick up the process to mark the appraisal as complete so it can be included in compliance figures. This should be done when the appraisal meeting takes place, or as soon as possible thereafter.

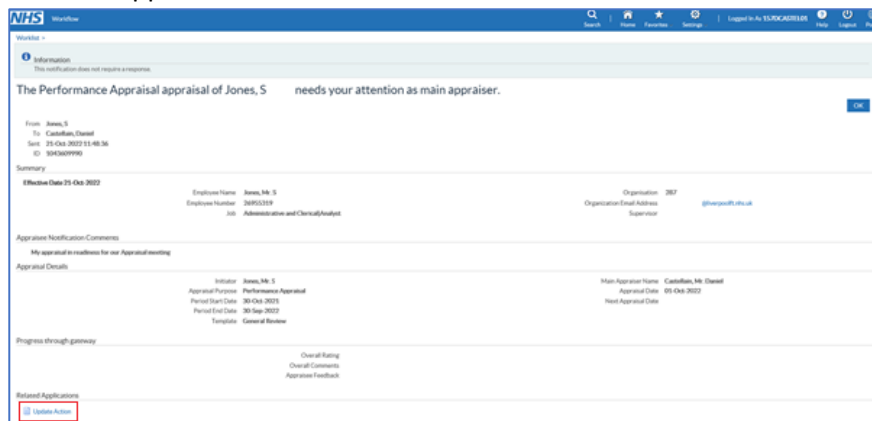
1. The Main Appraiser accesses their ESR record.
2. On the ESR Landing page navigate to the notification icon in the top right hand corner of the screen.



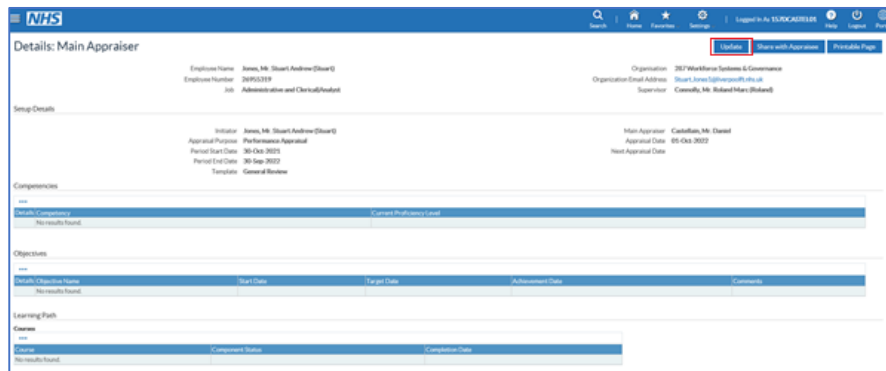
3. When the notifications section opens you will see a notification entitled '... an appraisal requires your attention'. Click on the subject title to access this notification.



4. When the notification opens scroll to the bottom and click on the 'Update Action' link in the bottom left hand corner to access the appraisal.

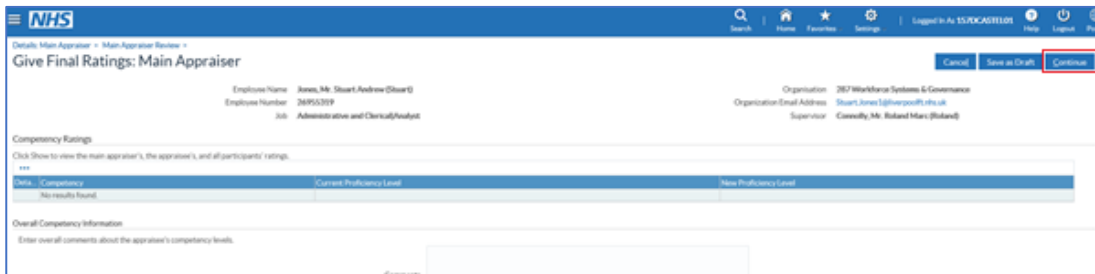


5. Review the appraisal details for accuracy, specifically the actual Appraisal Date. If dates are correct and the appraisal meeting has taken place, click on the 'Update' button in the top right hand corner.



No further details need to be recorded from this point on, and the only remaining action is to submit the appraisal to mark it as complete. Follow the final few steps to do this.

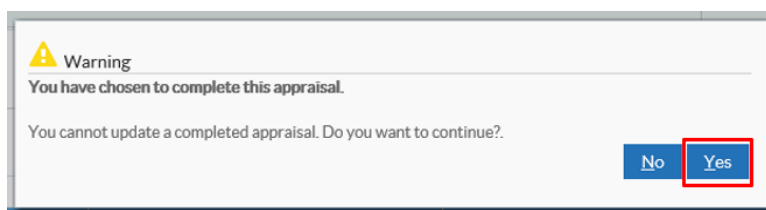
6. On the next screen click on the 'Continue' button in the top right hand corner. **DO NOT CLICK THE 'SAVE AS DRAFT' BUTTON.**



7. On the next screen click on the Submit button in the top right hand corner.



8. A warning message will show following your action to complete the appraisal. Click on the Yes button to complete the appraisal. A confirmation message will appear stating the appraisal is complete.



The appraisal has now been created, completed, submitted, and will be counted toward appraisal compliance!!

Both the Main Appraiser and the employee will receive a notification within ESR confirming that the appraisal has been completed.

Manager Initiated Appraisals – Step by Step Guidance

As stated earlier in this guidance document, **this approach requires that the completing Manager has their smartcard and can log into ESR Supervisor Self Service with it.** The employee who is being appraised must also sit beneath the Manager in the ESR Supervisor Hierarchy for their record to be visible.

1. The Manager accesses their ESR record.
2. On the ESR Landing page navigate to the 'Manager' tab and the 'Team Appraisals' portlet. Click on the 'Manage Appraisals' button.

The screenshot shows the NHS ESR Manager interface. The top navigation bar includes 'My ESR', 'Manager' (highlighted), 'Recruitment', 'HR', 'Payroll', 'Learning', 'Applicant', and 'Professional'. The 'My Pages' sidebar lists various options. The main content area features three portlets: 'Team Absence' with a gauge showing 1.03% sickness and a 'Manage Absence' button; 'Team Appraisals' with a gauge showing 66.67% and a 'Manage Appraisals' button (highlighted with a red box); and 'Team Compliance' with a gauge showing 95.77% and a 'Manage Compliance' button. Below the portlets are 'Team Actions' and 'Organisation Chart' sections.

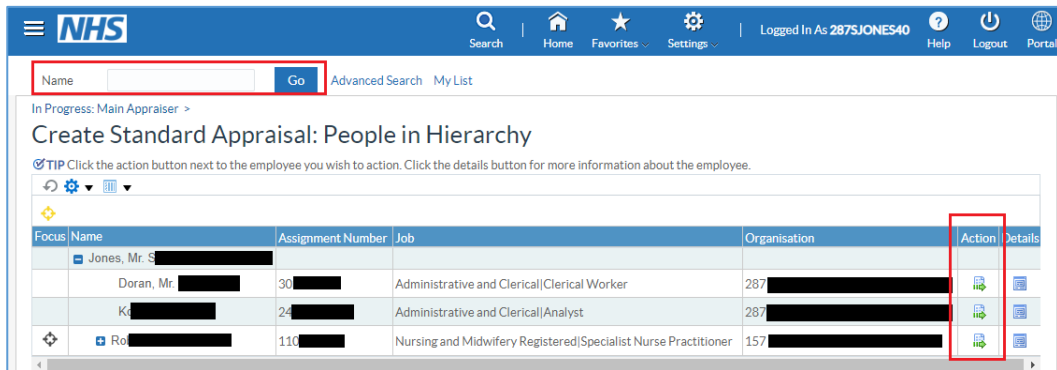
3. On the next screen click on the 'Go' button next to 'Create: Standard Appraisal'.

The screenshot shows the 'Appraisals and Reviews As Main Appraiser' section of the NHS ESR interface. The top navigation bar includes 'Search', 'Home', 'Favorites', 'Settings', 'Help', 'Logout', and 'Portal'. The main content area has three tabs: 'In Progress', 'Completed', and 'Performance'. Below the tabs, there are sections for 'Main Appraiser' and 'Reviewer and Participant'. The 'Appraisals and Reviews As Main Appraiser' section includes a 'View Appraisals and Reviews in People Hierarchy' button. At the bottom, there is a 'Create' dropdown menu with 'Standard Appraisal' selected and a 'Go' button highlighted with a red box.

- You will now be presented with the 'People in Hierarchy' screen.

To find the record for the person who is being appraised either search through the table which lists the staff beneath you in the hierarchy (if any names have a plus icon to the left of their name if this is clicked it will expand the view), alternatively enter the surname in the field in the top right of the screen and press 'Go'.

Once you have the required record click on the 'Action' icon.



- You will now be presented with the Create Standard Appraisal screen.

It is advised that the manager has all required basic appraisal details available before entering details. This must include the following information;

| DATA ITEM | INPUT DETAILS |
|---------------------------|---|
| Review Type: | Performance Appraisal |
| Period Start Date: | Date with is 12 months prior to this appraisal date |
| Period End Date: | Date which is immediately before this appraisal date |
| Template: | 287 LUHFT Appraisal Template xx/xx* |
| Appraisal Date: | Date appraisal meeting took place and was completed |
| Assignment Number: | Assignment number of the appraisee which will auto populate |
| Main Reviewer: | The person who is the appraiser |

*Choose the appropriate template based on the description

When entering the Main Appraiser details their name should be entered in the following format; Surname%First Name%, with % being a wildcard figure.

Once details have been added click on the 'Add Details' button.
DO NOT CLICK THE 'SAVE AND CLOSE' BUTTON.

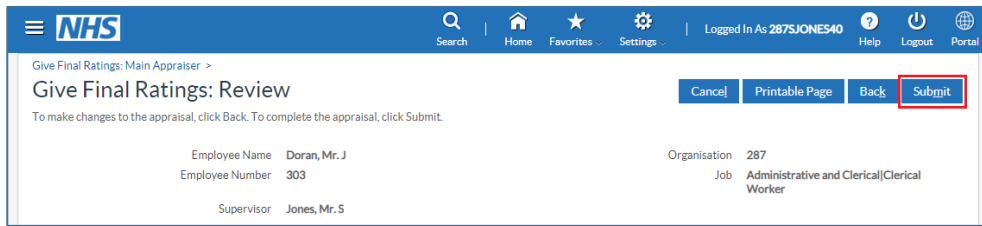
No further details need to be recorded from this point on. Appraisal templates cannot be completed by the Main Appraiser. The only remaining action is to submit the appraisal to mark it as complete. Follow these final few steps to complete the appraisal. **Appraisals MUST be marked as complete to be counted toward compliance.**

6. Click the 'Save and Proceed button.

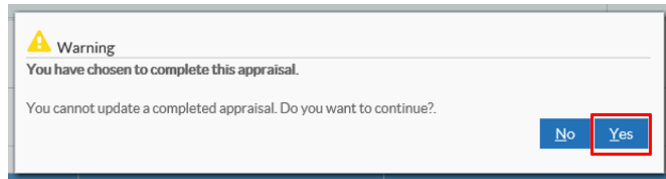
7. A message will show to state that changes have been saved, and that you now need to submit the appraisal. Click on the 'Complete Appraisal' button.

8. Click on the 'Continue' button. **DO NOT CLICK THE 'SAVE AS DRAFT' BUTTON.**

9. Click on the 'Submit' button.



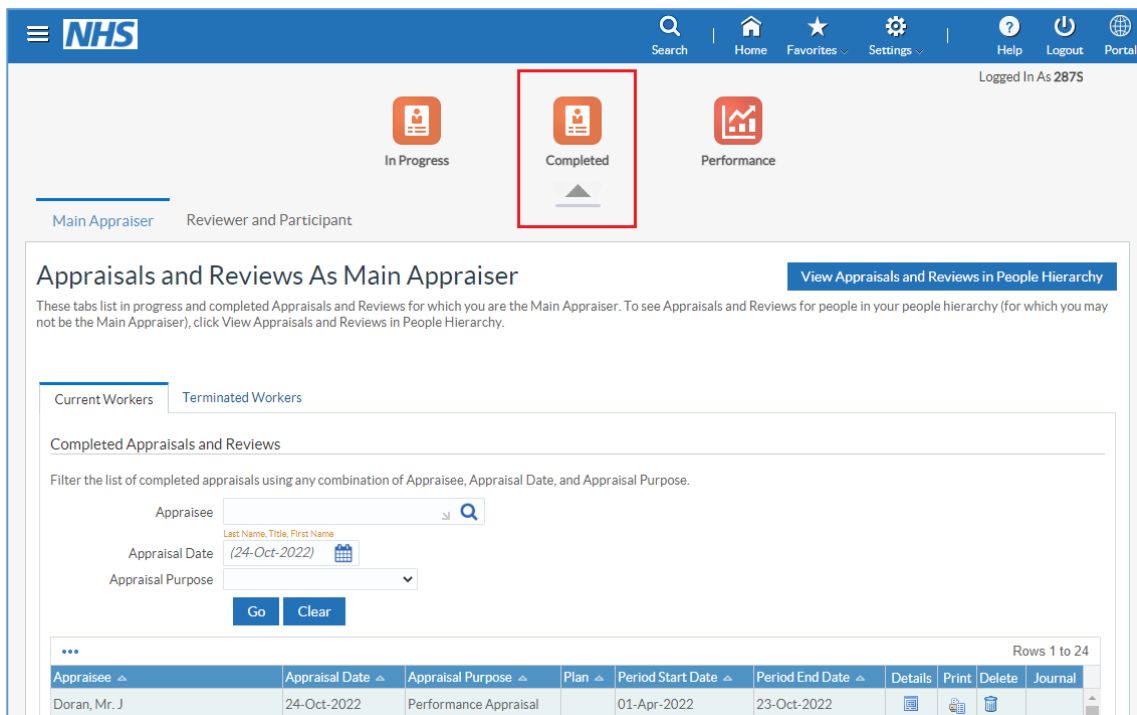
10. A warning message will appear asking if you are sure you wish to complete the appraisal. Click Yes.



The appraisal has now been created, completed, submitted, and will be counted toward appraisal compliance!!

Both the Main Appraiser and the employee will receive a notification within ESR confirming that the appraisal has been completed.

To check the completed appraisals for staff within your hierarchy click on the Completed icon within Appraisals and Reviews.



Appraisals in ESR - FAQ's

This FAQ document has been compiled to provide answers to common questions in relation to the input of appraisals to ESR. Details have been split by the approach being used so please ensure you refer to the appropriate section.

If viewing this electronically please click on the hyperlinks below to be taken to that question and answer.

EMPLOYEE INITIATED APPROACH

[Q1: When should I create my Employee Initiated appraisal in ESR?](#)

[Q2: I have created my Appraisal and shared with my Main Appraiser, but I can no longer make any amendments?](#)

[Q3: I have created my appraisal and shared it with my Main Appraiser, however the details it contains are incorrect. How can I correct this?](#)

[Q4: Following the Employee Initiated approach I have created my appraisal with the correct information but have clicked the 'Save and Close' button. How can I update my appraisal so I can share it with my Main Appraiser?](#)

[Q5: As an employee I wish to create my appraisal in ESR. How do I find out who my main appraiser will be and the date of my appraisal?](#)

[Q6: I am struggling to enter my Main Appraiser name into ESR. How should I enter this?](#)

[Q7: My appraisal has been completed, but when reviewing it on my ESR record it is not showing as complete. How can I change this?](#)

[Q8: I have completed an appraisal and details have been recorded on a paper copy of the template. Is there any way for an Appraisee to attach this to their Employee Initiated Appraisal within ESR?](#)

MANAGER INITIATED APPROACH

[Q1: When should I create a Manager Initiated appraisal for my team member in ESR?](#)

[Q2: Following the Manager Initiated approach I have created and saved the appraisal but I have included the incorrect Main Appraiser. How can I update this?](#)

[Q3: As a Manager I have created an appraisal in ESR. Why is this not being counted against my Teams appraisal compliance figures?](#)

[Q4: I have completed an appraisal and details have been recorded on a paper copy of the template. Is there any way to attach this to the record of the appraisal within ESR?](#)

EMPLOYEE INITIATED APPROACH

Q1: When should I create my Employee Initiated appraisal in ESR?

A1: Appraisals should be created during the appraisal meeting, or as soon as possible thereafter. Appraisals can be created in advance, however if the appraisal meeting date is rescheduled the appraisal will need to be deleted and reinput with the correct date.

Q2: I have created my Appraisal and shared with my Main Appraiser, but I can no longer make any amendments?

A2: Once an appraisal has been shared with the Main Appraiser the employee/appraisee will not be able to make any amendments to their appraisal unless the Main Appraiser transfers it back to them. The appraisal should not need to be transferred back to the employee/appraisee as the Main Appraiser should mark the appraisal as complete.

Q3: I have created my appraisal and shared it with my Main Appraiser, however the details it contains are incorrect. How can I correct this?

A3: Ask your Main Appraiser to navigate to your appraisal in ESR (see page 8, steps 2 and 3) and delete it by clicking on the bin icon. A new appraisal record must then be created containing the correct details.

Q4: Following the Employee Initiated approach I have created my appraisal with the correct information but have clicked the 'Save and Close' button. How can I update my appraisal so I can share it with my Main Appraiser?

A4: Navigate to your appraisal in ESR, (see page 4, steps 1, 2 and 3). Your appraisal will be visible in the bottom table. Click on the update pencil icon and then click on the 'Share with Main Appraiser' button.

Q5: As an employee I wish to create my appraisal in ESR. How do I find out who my main appraiser will be and the date of my appraisal?

A5: Your manager should discuss with you when your appraisal is due to take place and can confirm who your main appraiser will be.

Q6: I am struggling to enter my Main Appraiser name into ESR. How should I enter this?

A6: ESR stores names in a specific format therefore your entry must conform with o this. Wildcard characters (%) must also be used. When searching for an individual you must enter the surname first, followed by %, then the first name, followed by %. For example if searching for John Smith, enter Smith%John%.

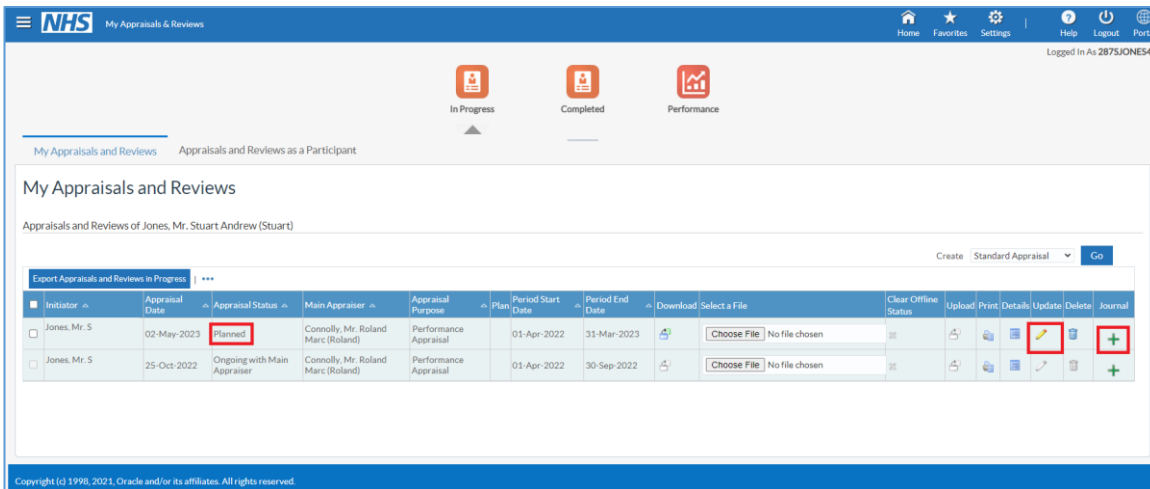
Q7: My appraisal has been completed, but when reviewing it on my ESR record it is not showing as complete. How can I change this?

A7: You will need to speak to the individual who is listed as the Main Appraiser. Once created only the main appraiser will be able to mark an appraisal as complete.

Q8: I have completed an appraisal and details have been recorded on a paper copy of the template. Is there any way for an Appraiser to attach this to their Employee Initiated Appraisal within ESR?

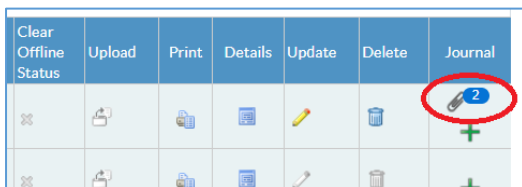
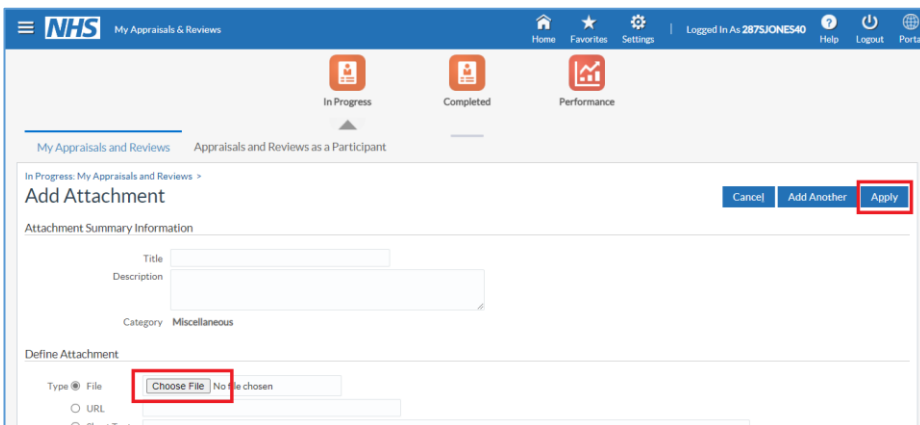
A7: It is possible for an electronic scanned copy of a handwritten Appraisal Conversation template to be attached to an Appraisal within ESR. Once the Appraisal has been created (see 'Employee Initiated Approach' step 6, page 6), before it is shared with the Main Appraiser it must be saved. You cannot add any attachments to an appraisal which sits with your Main Appraiser as they have control of the record. Attachments can only be added if the appraisal has been saved and if it has not been submitted and if it sits with you (as either Appraiser or Main Appraiser).

Once saved the Employee Initiated Appraisal record will appear in your 'My Appraisals and Reviews' section of ESR, similar to the below screenshot.



Clicking on the green plus icon in the Journal column to the right hand side will take you to the screen below. To add a file to your appraisal ensure Click on the 'Choose file' button, locate your saved electronic file and click the 'Apply' button to attach the selected file to your appraisal.

Most file types can be attached to an appraisal, however please try to ensure that Word or pdf documents are attached to reduce potential issues.



Once a file has been attached to an appraisal it will appear as a paper clip with a number bubble within the Journal column. To access attached files please click on the paperclip icon and select the file(s) required.

The appraisal must now be updated by clicking on the pencil icon and progressing through to submission (see 'Employee Initiated Approach' step 6, page 6).

MANAGER INITIATED APPROACH

Q1: When should I create a Manager Initiated appraisal for my team member in ESR?

A1: Appraisals should be created during the appraisal meeting, or as soon as possible thereafter. Appraisals can be created in advance, however if the appraisal meeting date is rescheduled the appraisal will need to be deleted and reinput with the correct date.

Q2: Following the Manager Initiated approach I have created and saved the appraisal, but I have included the incorrect Main Appraiser. How can I update this?

A2: Once you have created the appraisal and set the Main Appraiser, the appraisal will sit with the specified Main Appraiser. If this is recorded as you then you can amend the appraisal by accessing ESR and navigating to the Manager dashboard, clicking on Manage Appraisals within the Team Appraisals portlet (see page 8, steps 1 and 2), finding the appraisal required and clicking on the update pencil to change the Main Appraiser.

If the incorrect Main Appraiser is not you, you will not be able to access the appraisal as it sits with the Main Appraiser.

They will need to access the appraisal and delete it. A new appraisal will then need to be created.

Q3: As a Manager I have created an appraisal in ESR. Why is this not being counted against my Teams appraisal compliance figures?

A3: Only appraisals which have been marked as completed and submitted will be counted toward compliance figures. Appraisals which have been 'saved' or are marked as 'ongoing with main appraiser' will not be counted as compliant. Following the guidance (page 8-11) will ensure that appraisals are marked as complete from the first point of input.

Q4: I have completed an appraisal and details have been recorded on a paper copy of the template. Is there any way for a Main Appraiser to attach this to the Manager Initiated Appraisal within ESR?

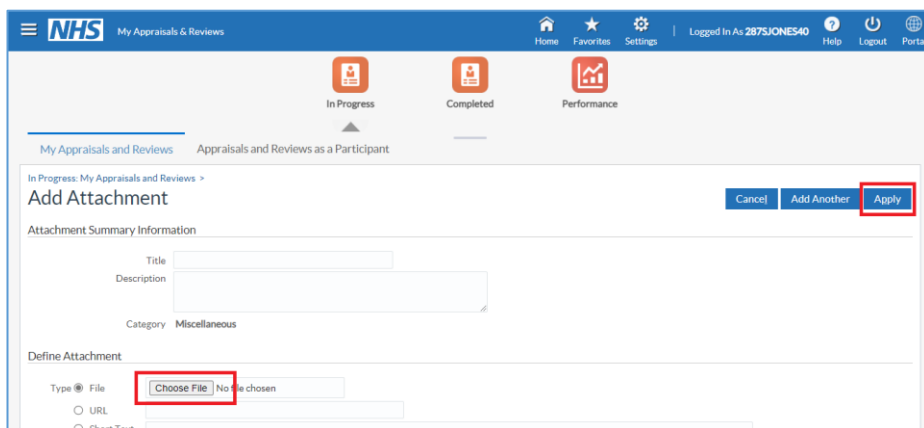
A4: It is possible for an electronic scanned copy of a handwritten Appraisal Conversation template to be attached to an Appraisal within ESR. Once the Appraisal has been created (see 'Manager Initiated Approach' step 6, page 11), before it progressed through to completion it must be saved. You cannot add any attachments to an appraisal which sits with the Appraisee as they have control of the record. Attachments can only be added if the appraisal is saved, if it has not been submitted and if it sits with you (as either Appraisee or Main Appraiser).

Once saved the Employee Initiated Appraisal record will appear in your 'My Appraisals and Reviews' section of ESR, similar to the below screenshot.

| Initiator | Appraisal Date | Appraisal Status | Main Appraiser | Appraisal Purpose | Plan | Period Start Date | Period End Date | Download | Select a File | Clear Offline Status | Upload | Print | Details | Update | Delete | Journal |
|--------------|----------------|-----------------------------|------------------------------------|-----------------------|------|-------------------|-----------------|----------|------------------------------|----------------------|--------|-------|---------|--------|--------|---------|
| Jones, Mr. S | 02-May-2023 | Planned | Connolly, Mr. Roland Marc (Roland) | Performance Appraisal | | 01-Apr-2022 | 31-Mar-2023 | | Choose File No file chosen | | | | | | | |
| Jones, Mr. S | 25-Oct-2022 | Ongoing with Main Appraiser | Connolly, Mr. Roland Marc (Roland) | Performance Appraisal | | 01-Apr-2022 | 30-Sep-2022 | | Choose File No file chosen | | | | | | | |

Clicking on the green plus icon in the Journal column to the right hand side will take you to the screen below. To add a file to your appraisal ensure Click on the 'Choose file' button, locate your saved electronic file and click the 'Apply' button to attach the selected file to your appraisal.

Most file types can be attached to an appraisal, however please try to ensure that Word or pdf documents are attached to reduce potential issues.



| Clear Offline Status | Upload | Print | Details | Update | Delete | Journal |
|----------------------|--------|-------|---------|--------|--------|---------|
| | | | | | | |
| | | | | | | |

Once a file has been attached to an appraisal it will appear as a paperclip with a number bubble within the Journal column. To access attached files please click on the paperclip icon and select the file(s) required.

The appraisal must now be updated by clicking on the pencil icon and progressing through to submission (see 'Manager Initiated Approach' step 6, page 11).