

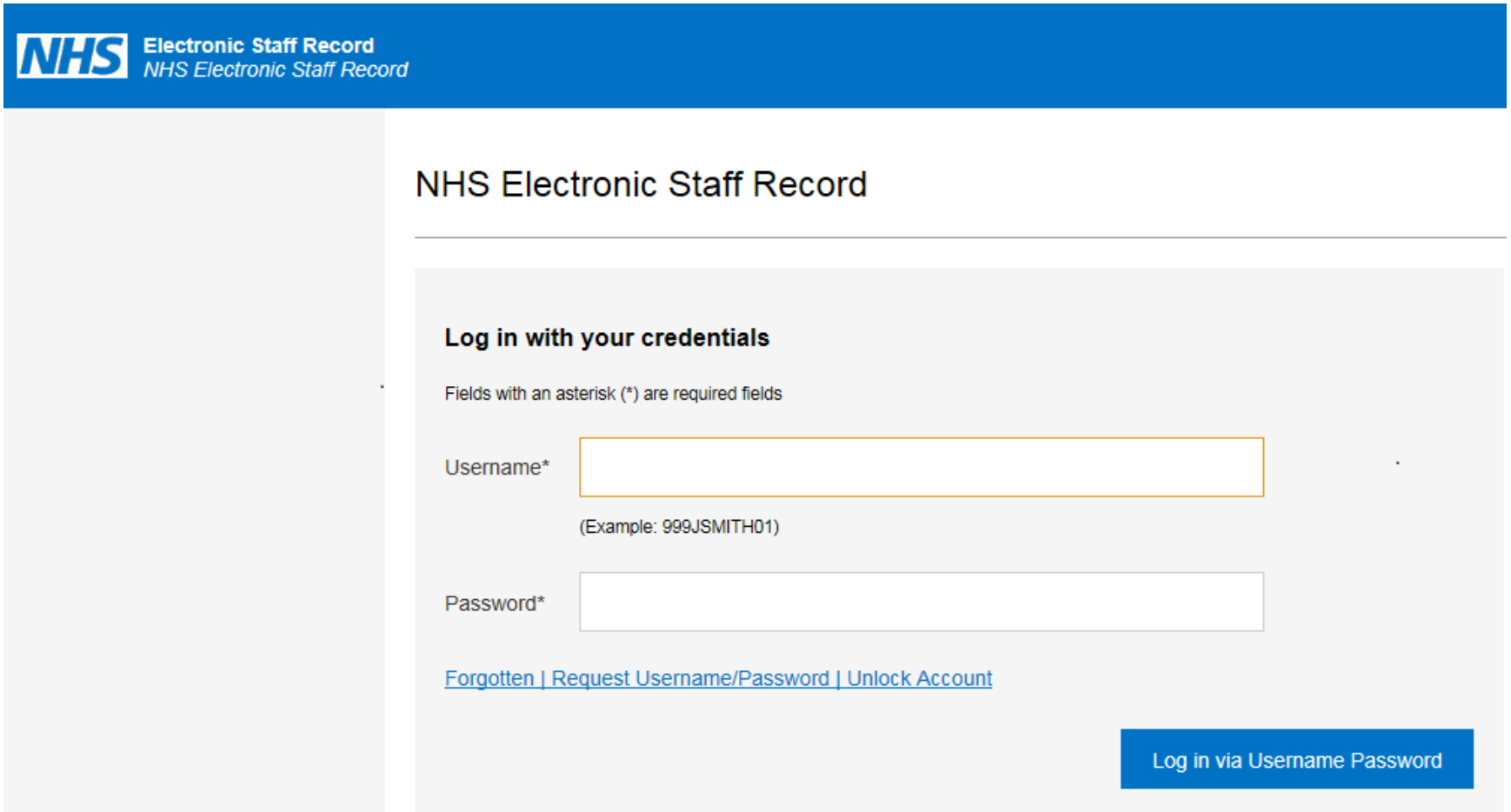
# Inputting Values Based Appraisal (VBA) Discussion into ESR

## GUIDANCE FOR SUPERVISORS/MANAGERS/ APPRAISERS ON ESR SELF SERVICE



**\* PLEASE NOTE – THERE WILL BE A  
SEPARATE PROCESS FOR RECORDING  
THE PAY PROGRESSION OUTCOME \***

# 1. To start a VBA for an appraisee – log into ESR



The screenshot shows the NHS Electronic Staff Record login interface. At the top left is the NHS logo and the text 'Electronic Staff Record' and 'NHS Electronic Staff Record'. The main heading is 'NHS Electronic Staff Record'. Below this is a section titled 'Log in with your credentials'. A note states 'Fields with an asterisk (\*) are required fields'. There are two input fields: 'Username\*' and 'Password\*'. An example username '(Example: 999JSMITH01)' is provided below the username field. Below the password field are three links: 'Forgotten', 'Request Username/Password', and 'Unlock Account'. A blue button labeled 'Log in via Username Password' is located at the bottom right of the login area.

**NHS** Electronic Staff Record  
NHS Electronic Staff Record

## NHS Electronic Staff Record

### Log in with your credentials

Fields with an asterisk (\*) are required fields

Username\*

(Example: 999JSMITH01)

Password\*

[Forgotten](#) | [Request Username/Password](#) | [Unlock Account](#)

[Log in via Username Password](#)

PLEASE NOTE: The appraisee can also start their own review and send onto you to complete.

## 2. Select either *Manager* or *Supervisor Self Service*

\* *further information about hierarchy set up is available at the end of this document*

The screenshot displays the NHS Electronic Staff Record interface for Cardiff and Vale University Health Board. The user is logged in as a Manager. The interface is divided into a left-hand navigation menu and a main content area with several portlets.

**Navigation Menu:**

- My Role:** Manager (selected)
- My Pages:** Dashboard, ESR Navigator, Talent Profile, Organisation Chart, My Team Personal Information, My Team Career Information (selected), Learning, Appraisals and Reviews, Compliance and Competency, Qualifications, Registrations and Memberships.

**Main Content Area Portlets:**

- My Team Pay Progression:** A gauge chart showing 100% completion. Below it is a table:

Increment Due	Assignments
Not within 12 Months	1
<b>Grand Total</b>	<b>1</b>

A "Manage Appraisals" button is located below the table.
- Team Compliance:** A gauge chart showing 100% compliance. Below it is a "Manage Compliance" button.
- Team Absence:** A gauge chart showing 2.66% sickness. Below it is a "Manage Absence" button.
- Team Appraisals:** A gauge chart showing 100% completion. Below it is a "Manage Appraisals" button.
- Appraisals Due:** A table showing 4 appraisals due within 365 days.

Appraisal Due	Assignments
Due within 365 days	4
<b>Grand Total</b>	<b>4</b>
- Absence Triggers:** A table showing 0 triggers for both criteria.

Absence Triggers	Assignments
>=3 Absences	0
>= 2 Absences & >= 14 Days	0
- Professional Registrations:** A section for managing professional registrations.

Then select 'Manage Appraisals' via the Team Appraisals portlet/ alternatively from the menu on the side select 'My Team Career Information', then 'Appraisals and Reviews'

3. On this page you can view appraisals 'In Progress' and those you have 'Completed, you can also start a new appraisal;

Main Appraiser Reviewer and Participant

### Appraisals and Reviews As Main Appraiser

View Appraisals and Reviews in People Hierarchy

These tabs list in progress and completed Appraisals and Reviews for which you are the Main Appraiser. To see Appraisals and Reviews for people in your people hierarchy (for which you may not be the Main Appraiser), click View Appraisals and Reviews in People Hierarchy.

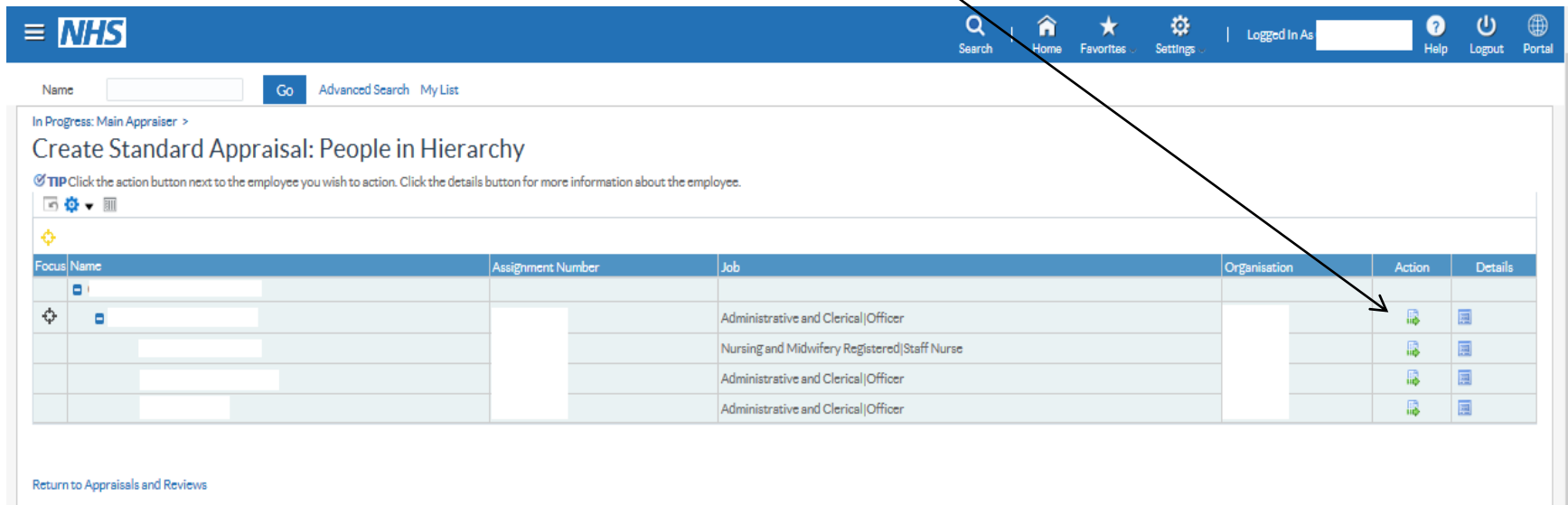
Appraisals and Reviews In Progress

Create Standard Appraisal Go









Initiator	Appraisee	Appraisal Date	Appraisal Status	Appraisal Purpose	Plan	Participation Status	Period Start Date	Period End Date	Download	Select a File	Clear Offline Status	Upload	Print	Details	Appraise	Delete
<input type="checkbox"/>		02-Dec-2019	Planned	Performance Appraisal		Open	01-Dec-2019	02-Dec-2019		<input type="text"/> <input type="button" value="Browse..."/>						

To start a new appraisal click create 'Standard Appraisal', then Go

4. This page will pull through your hierarchy of staff, select the *Action* button next to the appropriate appraisee's name and a new screen will appear:



The screenshot shows the NHS system interface. At the top, there is a blue header with the NHS logo on the left and navigation icons (Search, Home, Favorites, Settings) and user information (Logged In As, Help, Logout, Portal) on the right. Below the header, there is a search bar with a 'Go' button and links for 'Advanced Search' and 'My List'. The main content area is titled 'Create Standard Appraisal: People in Hierarchy' and includes a tip: 'TIP Click the action button next to the employee you wish to action. Click the details button for more information about the employee.' Below the tip is a table with the following columns: Focus, Name, Assignment Number, Job, Organisation, Action, and Details. The table contains four rows of data, each representing a staff member. The 'Action' column for each row contains a green arrow icon pointing right, and the 'Details' column contains a blue document icon. An arrow from the text above points to the 'Action' button of the first row. At the bottom left, there is a link 'Return to Appraisals and Reviews'.

Focus	Name	Assignment Number	Job	Organisation	Action	Details
			Administrative and Clerical Officer			
			Nursing and Midwifery Registered Staff Nurse			
			Administrative and Clerical Officer			
			Administrative and Clerical Officer			

# 5. Record the appraisee details

Select **Review Type** as follows;

For VBA select 'Performance Appraisal'

**Period Start Date;**

- Is the date you are appraising from...

**Period End Date;**

- Is the date up to the current VBA

**Template;**

- Click on the magnifier glass, a pop up box will appear – in the blue box type in %001 Values%, then click Go. The '001 Values Based Appraisal' template should pull through, click on the quick select icon.

**Appraisal Date;**

- Is the date the VBA is being undertaken

**Next Appraisal Date;**

- Date the next VBA will take place – if this date is entered, the system will generate reminders via the notifications to the manager and staff member (if they have an email address in ESR).

**Assignment Number** and **Main Reviewer** will pre-populate, however you can change the main reviewer by clicking on the magnifier glass and selecting the appropriate name



## Create Standard Appraisal: Setup Details

Cancel Save and

Step 1 of 2

Employee Name

Employee Number

### Setup Details

TIP You cannot change the appraisal template or the assignment after clicking Next.

\* Indicates required field

\* Review Type

\* Period Start Date

\* Period End Date

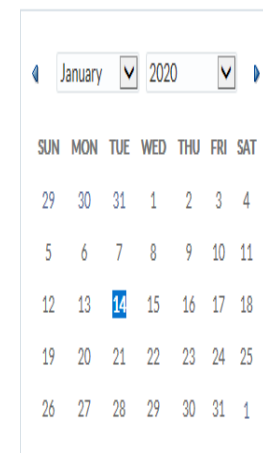
\* Template

\* Appraisal Date

Next Appraisal Date

Assignment Number

\* Main Reviewer



## 6. Once completed, click 'Add Details'

**Create Standard Appraisal: Setup Details**  
Step 1 of 2

Employee Name

Employee Number

Setup Details

**TIP** You cannot change the appraisal template or the assignment after clicking Next.  
\* Indicates required field

\* Review Type

\* Period Start Date

\* Period End Date

\* Template

\* Appraisal Date

Next Appraisal Date

Assignment Number

\* Main Reviewer

Calendar: January 2020

SUN	MON	TUE	WED	THU	FRI	SAT
29	30	31	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	1

Buttons: Cancel, Save and Close, Add Details

7. On this page you can complete the following;

## Objectives

If you have previously recorded objectives in ESR, please continue to do so, if not, this is NOT a mandatory requirement

## Setup Details

This information is pre-populated from the previous screen

## Questionnaire

**YOU MUST COMPLETE THIS SECTION**

Click on 'Complete Questionnaire' – this will open up a new screen –

A pop up will appear to indicate you have extra time to complete the following page

The screenshot displays the 'Update Standard Appraisal: Overview' page in the NHS My Team Career Information system. The page is titled 'Step 2 of 2' and includes navigation buttons for 'Save and Close', 'Back', and 'Save and Proceed'. The 'Objectives' section shows a table with columns for Objective Name, Start Date, Target Date, Achievement Date, Update Details, Delete, Duplicate, and Quick Update, with a note 'No results found.' The 'Setup Details' section includes fields for Initiator, Appraisal Purpose (Performance Appraisal), Appraisal Date (11-Sep-2019), Next Appraisal Date (11-Sep-2020), Period Start Date (11-Sep-2018), Period End Date (11-Sep-2019), Template (001 Values Based Appraisal), and Main Appraiser. The 'Learning Path' section has a button for 'Return to Top' and a note 'Add training activities to the reviewer's Personal Training Plan'. The 'Courses' section shows a table with columns for Course, Component Status, Completion Date, Update, and Delete, with a note 'No results found.' The 'Questionnaire' section features a 'Complete Questionnaire' button and a note 'Click Complete Questionnaire to respond to the questionnaire listed below. Last Answered tells you when you last answered the questionnaire.' The 'Progress through gateway' section includes a text area for 'Overall Comments' and a section for 'Appraisee Feedback'. The 'Participants' section has a 'Return to Top' button and a tip: 'TIP A participant is someone other than the main appraiser or appraisee who contributes to the appraisal.' The 'Additional Appraisal Details' section also has a 'Return to Top' button. At the bottom right, there are buttons for 'Save and Close', 'Back', and 'Save and Proceed'.



Answer Questionnaire

001 Values Based Appraisal Career Conversation Framework

Cancel Apply

Follow the instructions for completing the questionnaire below, then click Apply.

Cardiff & Vale UHB Career Conversation Framework



GOFALU AM BOBL CADW POBL YN IACH  
CARING FOR PEOPLE, KEEPING PEOPLE WELL

Kind and caring  
Caredig a gofalgar

Respectful  
Dangos parch

Trust and integrity  
Ymddiriedaeth ac unlondeb

Personal responsibility  
Cyfrifoldeb personol



Employee Forename:

Employee Surname:

Assignment Number:

Clinical Board:

Directorate:

**Values Based Appraisal Review**

Reviewer Name:  Actual Review Date:  dd/mm/year

Review Period Start Date:  dd/mm/year

Review Period End Date:  dd/mm/year

TO W A R D S B E T T E R R E S U L T S G O A L S W O R K I N G	Exceeds	1/3 You're a committed hardworking team member, waiting to prove what you're capable of.	2/3 You are a committed hardworking team member and a valuable asset for the future. You may want a greater challenge and stretch goals to allow you to focus on your increasing performance.	3/3 You're making your mark as a high performer and role model in the work that you do.
	Behaviour expectations	You need some help to focus where your strengths lie, so that you can turn your energy into great results		You will need to discuss where you go next and how to get there, whether that's to excel further in your current field or move onto a new chapter.
W A I T S G O A L S	Meets	1/2 You are showing potential and working hard, but may need support to meet your objectives.	2/2 You are clearly able to demonstrate how you meet objectives and are doing great job!	3/2 You're getting great results and leading in your field of expertise bringing added value to tasks.
	Behaviour Expectations	Focus on meeting your performance objectives so that your efforts match your results.	You are an expert in your role and have the potential to do more in the long term if ambition and development allows.	You are ready for exposure to a wider remit with supported growth and development. Focus on specific development gaps needed to move to the next level.
W O R K I N G	Partially	1/1 Your job isn't working out as well as it could for you yet.	2/1 You are clearly able to demonstrate how you meet objectives and are a consistent contributor to the role.	3/1 You're getting good (Maybe great) results, but things don't quite click with those around you. Your skills are vital for developing others.
	Demonstrate Behaviours	You may be new to the role or post, or not quite getting the support you need, or it may be that the role isn't quite right for you. Let's talk about what we can do to make your role work better for you.	You need some support to develop the behaviours and attributes that you need in the role at this level.	You may need to challenge your-self to find your own comfortable place as part of our shared working culture.

Partially Meets Expectations Meets Expectations

Towards Better Results from your work ->

**Career Conversation Framework Outcome**

Please select from the drop down box the outcome rating and provide any comments (as discussed during appraisal meeting)

Please Choose

1. Enter Your Comments in the box Below

- Summary actions
- Sign off and date

**Summary (to be completed by Reviewer)**

Provide a summary of your overall assessment of the individuals performance during the review period, including strengths and areas for improvement.

**Actions:**

Reviewee Signature:  Date:

Reviewer Signature:  Date:

**Development Action Plan**

Individual Objective Number Support Needed or Development opportunities identified How are Support / Development needs going to be met and by when?

Please Choose	Please Choose	<input type="text"/>
Please Choose	Please Choose	<input type="text"/>
Please Choose	Please Choose	<input type="text"/>
Please Choose	Please Choose	<input type="text"/>
Please Choose	Please Choose	<input type="text"/>

8. Complete all sections on this page as follows;

- Personal information and dates
- Agreed placement on the career conversation framework, by ticking the relevant box

- Complete the 'Development Action plan'

# 9. Completing the VBA, click 'Save and Proceed', then click 'Complete Appraisal', then click 'Continue'. Ensure you check the summary details at each stage.



**NHS My Team Career Information**

Search | Home | Favorites | Settings | Logged In As: [User] | Help | Logout | Portal

Setup Details | Training Activities and Competency Gaps | Questionnaire | Progress through gateway | Participants | Additional Appraisal Details

## Update Standard Appraisal: Overview

Step 2 of 2

Employee Name  
Employee Number  
Supervisor

Save and Close | Back | Save and Proceed

### Objectives

Add Objective | Find Objectives

Objective Name	Start Date	Target Date	Achievement
No results found.			

### Setup Details

\* Indicates required field

Initiator

Appraisal Purpose: Performance Appraisal

Period Start Date: 11-Sep-2018

Period End Date: 11-Sep-2019

Template: 001 Values Based Appraisal

Main Appraiser

### Learning Path

Add training activities to the reviewer's Personal Training Plan

#### Courses

Add Courses

Course	Component Status
No results found.	

**NHS**

Search | Home | Favorites | Settings | Logged In As: [User] | Help | Logout | Portal

Confirmation

Your changes have been saved. You are now required to complete the appraisal.

## Main Appraiser Review

Share With Appraisee | Update Appraisal | Complete Appraisal

Organisation

Employee Name  
Employee Number  
Job

### Setup Details

Initiator

Appraisal Purpose: Performance Appraisal

Period Start Date: 11-Sep-2018

Period End Date: 11-Sep-2019

Template: 001 Value

### Progress through gateway

Overall C

Appraiser F

### Manage Participants

Add Participant

Full Name	Participation Type	Questionnaire Name
No results found.		

### Objectives

**NHS**

Search | Home | Favorites | Settings | Logged In As: [User] | Help | Logout | Portal

## Give Final Ratings: Main Appraiser

Cancel | Save as Draft | Continue

Employee Name  
Employee Number  
Job

Organisation  
Organization Email Address  
Supervisor

### Objective Ratings

Details

Objective Name	Start Date	Target Date	Achievement Date	Comments	Score
No results found.					

### Overall Objective Information

Enter overall comments about the appraisee's objective ratings.

Total Score

Comments

### Learning Path

Add training activities to the reviewer's Personal Training Plan

#### Courses

Add Courses | Add Courses Based on Competency Gaps

Course	Component Status	Completion Date	Update	Delete
No results found.				

### Progress through gateway

Overall Comments

10. To finalise the VBA, click 'submit' – a 'Warning' pop up will appear to confirm you want to complete the appraisal – click 'Yes'

**NHS** Search Home Favorites Settings Logged In As Help Logout Portal

Give Final Ratings: Main Appraiser >  
**Give Final Ratings: Review** Cancel Printable Page Back Submit

To make changes to the appraisal, click Back. To complete the appraisal, click Submit.

Employee Name  
Employee Number  
Supervisor

Organisation  
Job

Objectives

Comments

Details	Objective Name	Start Date	Target Date	Achievement Date	Comments	Score
No results found.						

Learning Path

Courses


Course	Component Status	Completion Date
No results found.		

Progress through gateway

Overall Comments

Appraisee Feedback

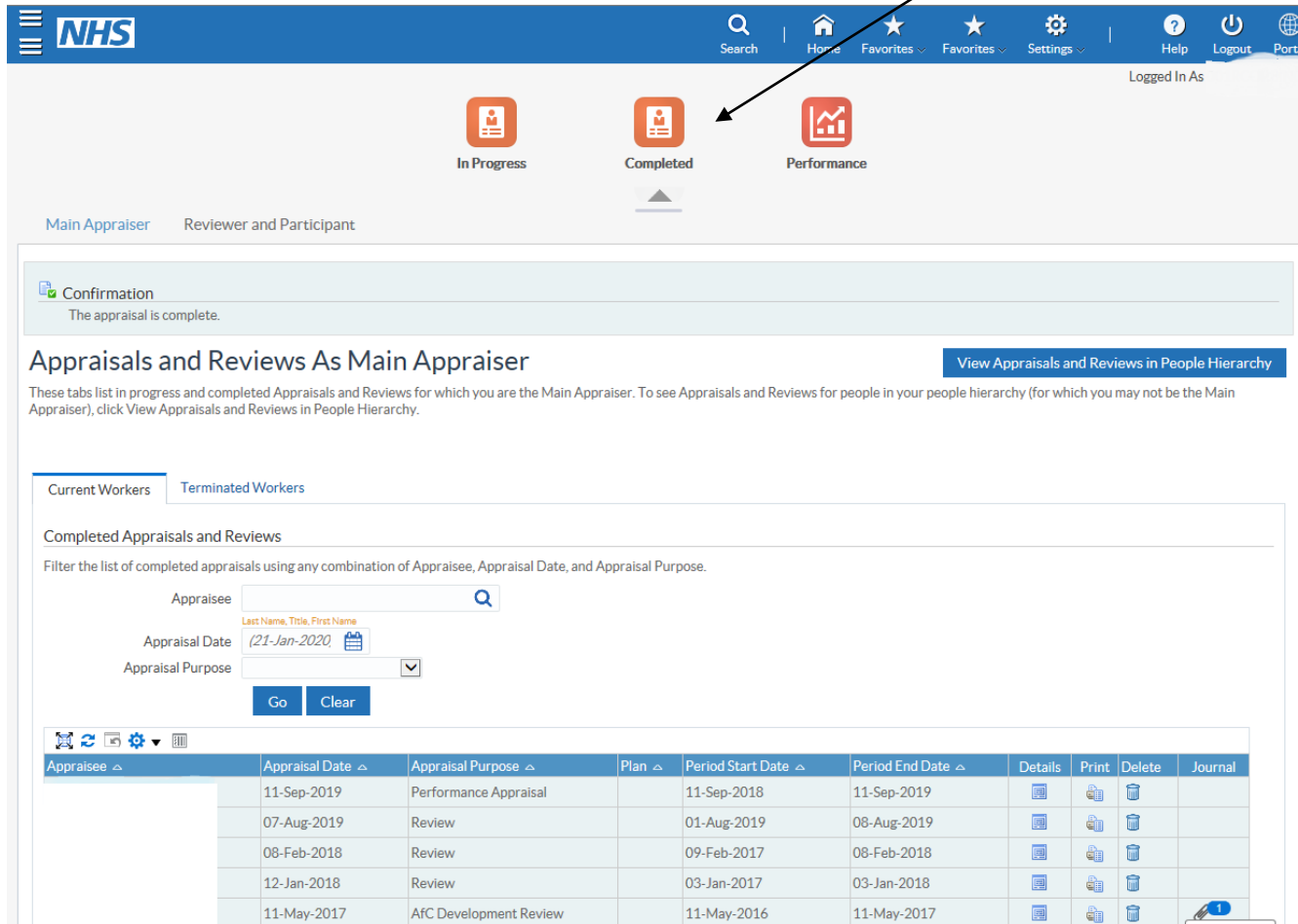
Details to be Shared with Appraisee

 **Warning**

**You have chosen to complete this appraisal.**

You cannot update a completed appraisal. Do you want to continue? No Yes

# 11. The VBA has been submitted and can be viewed in the 'Completed' appraisal section



The screenshot shows the NHS appraisal system interface. At the top, there is a navigation bar with the NHS logo and various utility icons (Search, Home, Favorites, Settings, Help, Logout, Portal). Below this, there are three main navigation buttons: 'In Progress', 'Completed', and 'Performance'. An arrow points to the 'Completed' button. Below the navigation bar, there are tabs for 'Main Appraiser' and 'Reviewer and Participant'. The main content area shows a confirmation message: 'Confirmation: The appraisal is complete.' Below this, there is a section titled 'Appraisals and Reviews As Main Appraiser' with a button to 'View Appraisals and Reviews in People Hierarchy'. Underneath, there are tabs for 'Current Workers' and 'Terminated Workers'. The 'Completed Appraisals and Reviews' section is active, showing a filter area with fields for 'Appraisee', 'Appraisal Date', and 'Appraisal Purpose', along with 'Go' and 'Clear' buttons. Below the filter is a table of completed appraisals.

Appraisee	Appraisal Date	Appraisal Purpose	Plan	Period Start Date	Period End Date	Details	Print	Delete	Journal
	11-Sep-2019	Performance Appraisal		11-Sep-2018	11-Sep-2019				
	07-Aug-2019	Review		01-Aug-2019	08-Aug-2019				
	08-Feb-2018	Review		09-Feb-2017	08-Feb-2018				
	12-Jan-2018	Review		03-Jan-2017	03-Jan-2018				
	11-May-2017	AFC Development Review		11-May-2016	11-May-2017				

# Hierarchies

It is important that your hierarchies are set up accurately in ESR to enable you to undertake the functionality required. There are 3 key areas of access available to allow you to enter on VBAs for your staff;

- Manager Self Service (MSS) – this access allows you to make changes and manage your staff, therefore input and complete appraisals. MSS access also allows you to have direct payroll approvals.
- Supervisor Self Service (SSS) – this functionality also allows you to input and complete appraisals for your staff. This access provides restricted/ condensed access to other areas
- Proxy Access – as a manager or supervisor, you can give permission to a nominated member of staff to view your MSS or SSS pages and subsequent functionality.

The following table provides a detailed list of ESR functionality available via manager and supervisor self service

# Supervisory URPs

## (User Responsibility Profiles)

Area	Functions	Manager Self Service	Supervisor Self Service
Manager Portlets	Team Absence	Yes	Yes
	Team Appraisal	Yes	Yes
	Team Compliance	Yes	Yes
	Team Actions	Yes	Yes
	Organisation Chart	Yes	Yes
My Team	Talent Profile	Yes	Yes
	Organisation Chart	Yes	Yes
My Team Personal Information	Personal Information	Yes	Yes
	Contacts	Yes	Yes
	Absence Calendar	Yes	Yes
	Absence	Yes	Yes
	Property Register	Yes	Yes

Area	Functions	Manager Self Service	Supervisor Self Service
My Team Career Information	Learning	Yes	Yes
	Appraisals and Reviews	Yes	Yes
	Compliance and Competency	Yes	Yes
	Qualifications	Yes	Yes
	Registrations and Memberships	Yes	Yes
	Suitability Matching	Yes	Yes
My Team Assignment Information	Employment Information	Yes	Yes
	Assignment	Yes	No
	Assignment (Approval Required)	No	No
	Hours	Yes	No
	Hours (Approval Required)	No	No
	Supervisor	Yes	No
	Additional Supervisor	Yes	No
	Location	Yes	No
	Medical and Dental Job Plans	Yes	Yes
	End Employment	Yes	No
	End Employment (Approval Required)	No	No

Area	Functions	Manager Self Service	Supervisor Self Service
My Team Assignment Information	End Non-Primary Assignment	Yes	No
	End Non-Primary Assignment (Approval Required)	No	No
Manage Hires	Manage Hires	Yes	No
	Manage Hires (Approval Required)	No	No
Reporting	Business Intelligence	Yes	Yes
	Discoverer Reports	Yes	Yes
	Discoverer Ad-Hoc Reports	Yes	Yes
My Access	Manage Internet Access	Yes	Yes
	Reset Password	Yes	Yes
Other	ESR Preferences	Yes	Yes
	Manage Proxies	Yes	Yes