

# NHS ELECTRONIC STAFF RECORD

## ESR-NHS0219 - GUIDE TO ESRBI APPRAISAL REVIEWS DASHBOARD

Information Classification: PUBLIC

Owner:	Development and Operations Team
Author:	Matt Madya
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### Approvals:

Name	Chris Moorley
Title	Head of Development & Operations

# DOCUMENT CONTROL

## CHANGE RECORD

Date	Author	Version	Change Reference
09/05/2016	Matt Madya	1.0	Initial Release
16/08/2016	Matt Madya	2.0	Updated following new ESRBI developments
12/09/2016	Matt Madya	3.0	Updated following new ESRBI developments
21/11/2016	Matt Madya	4.0	Updated following new ESRBI developments
12/10/2017	Matt Madya	5.0	Updated following new ESRBI developments
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01/10/2019	Matt Madya	8.0	Updated following new ESRBI developments
04/02/2020	Matt Madya	9.0	Updated following new ESRBI developments
01/06/2020	Matt Madya	10.0	Updated following new ESRBI developments
12/02/2021	Matt Madya	11.0	Updated following new ESRBI developments
09/04/2021	Matt Madya	12.0	Updated following new ESRBI developments
18/06/2021	Matt Madya	13.0	Updated following new ESRBI developments
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16/05/2023	Matt Madya	16.0	Updated following new ESRBI developments
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01/02/2024	Matt Madya	18.0	Updated following new ESRBI developments
01/09/2025	Matt Madya	19.0	Updated following new ESRBI developments

## REVIEWERS

Name	Position
Charlotte Barnett	Assistant Development Advisor - BI
Chris Holroyd	Development Advisor - BI
James Haddon	Senior Development Advisor - BI, Reporting & Data Analysis
Pushpa Mistry	Assistant Development Advisor - HR/OLM/Self Service
Dionne Domingos	Development Advisor - Payroll and Pensions

## DISTRIBUTION

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1	Library Master	Project Library
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## Design Assumptions

The following design assumptions have been made and can be applied to all analyses and dashboards:

1. All analyses have an export button to enable the user to export to their format of choice.
2. All analyses have an 'Add to Briefing Book' button enabled to allow the user to group national analyses together into a board-report type document.
3. All dashboards are designed on a screen resolution of 1024 x 768 pixels to prevent horizontal scroll bars being displayed (except where wide tables of data are required).

## Examples

Where applicable, the examples included in this document contain fictional data only. The names and other personal details are fictional although look realistic enough to provide a useful example.

## Appraisal Reviews Dashboard

### *Description*

This dashboard is designed to provide the user with intelligence around Appraisal Reviews. Appraisal information is included within the Staff Requirements Dashboard however, it is not available to Learning Administrators. This dashboard allows Learning Administrators to access Appraisal information.

### *Allocation*

This dashboard is available to the following URPs:

XXX BI Administration  
XXX Learning Administration  
XXX Payroll Administration  
XXX Payroll Audit  
XXX Payroll Super Administration

## Summary Tab

### *Prompts*

Organisation(s)  
Staff Group(s) (Multi-select)  
Person Type(s) (Multi-select, default: Employee, Employee and Applicant)  
Employee Person Type(s) (Multi select)  
Assignment Status  
Occupation Code  
Assignment Category(s) (Multi-select: default: exclude Locum Bank and Honorary)  
Primary Assignments Only  
Review Type  
Organisation Level 1-13  
Amber From (60)  
Green From (90)  
Location  
  
Appraisal Review Effective Date  
Review Date From  
Review Date To  
Excl. New Starters from Appraisals (Months) (3)  
Excl. Open Sickness Absence from Appraisals- Start Date <=

## Appraisal Reviews

### Description

This analysis shows the percentage of employees that have a completed appraisal within the parameters available.

### Data Items

Title	Description
Appraisal %	(Appraisals Completed / Headcount) * 100

### Column Selectors

None

### View Selector

None

### Example Screenshot

#### Appraisal Reviews



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### Actions

Click->Detail Tab

## Appraisal Review Summary

### Description

This analysis shows the percentage of employees that have completed an appraisal, grouped by Org Levels 1-13 or Staff Group.

### Data Items

Title	Description
Appraisal %	(Appraisals Completed / Headcount) * 100
Assignment Count	
Reviews Completed	Distinct count of completed appraisals with the Date Prompt. (e.g. if a person has 2 completed appraisals in the period, this should be counted only once).
Org level 1-13	

### Column Selectors

Org Level 1-13

Staff Group

### View Selector

Column Graph (default)

Column Graph (formatted)

Bar Graph

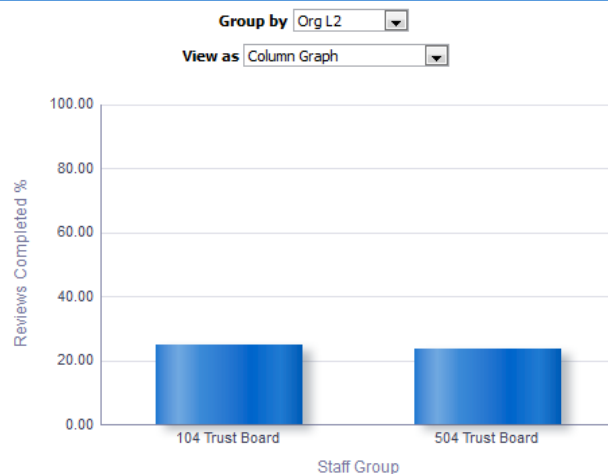
Radar Graph

Gauge

Table

### Example Screenshot

#### Appraisal Review Summary



### Actions

Click->Detail Tab

## Appraisal Forecasting

### Description

This analysis enables users to report the number of assignments required to complete appraisals in order to increase Appraisal % to a desired figure, or report predicted Appraisal % if a defined number of assignments complete appraisals.

### Data Items

Title	Description
Organisation L1-13	
Orgasniation	
Staff Group	
Assignment Count	
Assignments without In Date Appraisal	
Assignments with In Date Appraisal	
Appraisal %	(Appraisals Completed / Headcount) * 100
Assignments Required to Increase Appraisal %	Relevant prompt should be used to populate this column which shows the number of Assignments required to increase Appraisal percentage to a defined figure.
Predicted Appraisal %	Relevant prompt should be used to populate this column which shows the predicted Appraisal percentage expected when a defined number of assignments complete Appraisals.

### Column Selectors

Org Level 1-13

Organisation

Staff Group

### Example Screenshot

#### Appraisal Forecasting

Prompts should be used with relevant columns within the analysis below:

Number of Assignments required to increase Appraisal % to X where X is  Predicted Appraisal % if X Assignments complete appraisals where X is

Group by

Org L1	Assignment Count	Asg. without In Date Appraisal	Asg. with In Date Appraisal	Appraisal %	Asg. Required to Increase Appraisal %	Predicted Appraisal %
123 Organisation	1785	687	1098	61.51%		

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## Appraisal Timeline

### Description

This analysis shows the percentage of employees that have a completed appraisal over a period of time (defined using the available prompts).

**Please Note:** This analysis includes an optional Target measure which allows users to view a Reviews Completed % against a set target.

### Data Items

Title	Description
Appraisal %	(Appraisals Completed / Headcount) * 100
Assignment Count	
Reviews Completed	
Month	
Staff Group (Table View Only)	
Organisation Name (Table View Only)	
Organisation Level 1-13 (Table View Only)	

### Column Selectors

Staff Group (Table View Only)

Organisation Name (Table View Only)

Organisation Level 1-13 (Table View Only)

### View Selector

Line Graph (default)

Line Graph (without Target)

Table

### Prompts

Appraisal Reviews - Number of Months to use (12)

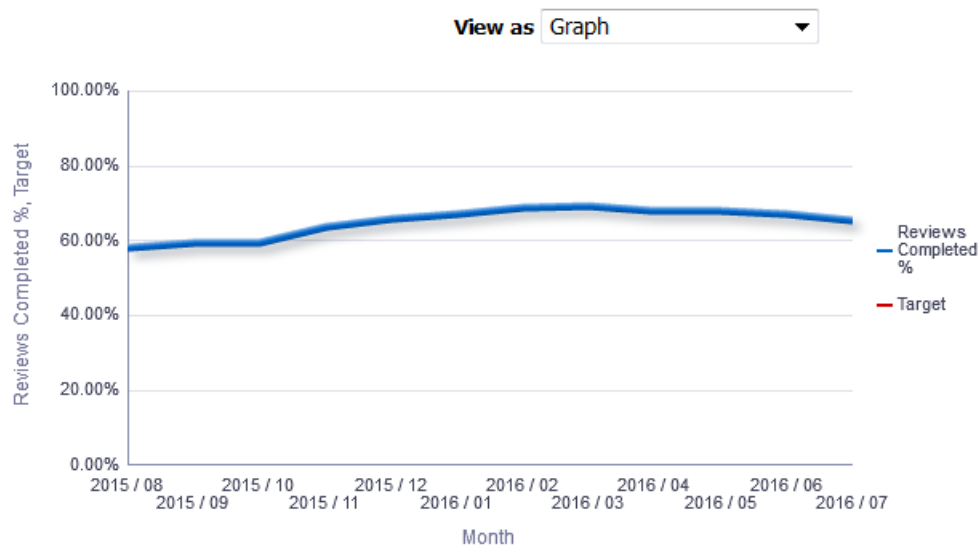
Excl. New Starters from Appraisals (Months)

Calculation Method (Last Day of Month)

Month Between

Target

## Example Screenshot



## By Organisation Tab

### Description

This tab is designed to provide the user with intelligence on Appraisals by Organisation.

### Column Selectors

Group By (Org Level 1-13)

Occupation Code

### View Selector

None




### Data Items


Org Level 1-13	Reviews Completed
Reviews Completed %	Occupation Code
Assignment Count	





### Conditional Formatting

Reviews Completed % - RAG Status as defined using prompts

## Example Screenshot

Appraisal Review Effective Date   Review Date From >=   Review Date To <=  

Excl. New Starters from Appraisals (Months)  Excl. Open Sickness Absence from Appraisals- Start Date <=  

Group by   and   and   and  

Org L3	Org L4		Assignment Count	Reviews Completed	Reviews Completed %
000 Hosted Organisations	000 Blood Service		477	289	60.59
000 Hosted Organisations	000 Cancer Centre		825	593	71.88
000 Hosted Organisations	000 Cancer Research Division		3	0	0.00
000 Hosted Organisations	000 Informatics Service Division		754	447	59.28
000 Hosted Organisations	000 Shared Services Partnership Division		2,776	1,426	51.37
<b>Grand Total</b>			<b>4,835</b>	<b>2,755</b>	<b>56.98</b>

[Refresh](#) - [Print](#) - [Export](#) - [Add to Briefing Book](#)

## Detail Tab

### Description

This tab is designed to provide detailed data relating to Appraisals.

### Prompts

Appraisal Review Effective Date

Define New Starters (Months)

Remove New Starters (Yes)

Review Date From >=

Review Date To <=

\* Show Reviews (Default: Latest Review Only)

Excl. Open Sickness Absence from Appraisals- Start Date <=

Restrict to Employees Due a Pay Affecting Pay Step in the Period (Yes)

Pay Step Date Between

### Actions

Navigate to ESR Self Service (available to self-service users only)

### Column Selectors

Organisation

Organisation Level (Org Level 1-13)

### Data Items

Employee Number	Pay Step Date
Assignment Number	Review Type
Last Name	Appraisal Date
First Name	Assignment Status
Title	Period Start Date
Organisation	Period End Date
Organisation Levels 1-13	Next Appraisal Date
Role	Status
Position	AfC Pay Progression
Passed Through Gateway	Supervisor
Appraisal Date (Including out of period)	Supervisor Employee Number
Reviewer	Staff Group
Payscale	Initial Assignment Start Date
Latest Start Date	

## Example Screenshot

Initial Assignment Start Date	Pay Step Date	Review Type	Reviewer	Appraisal Date	Appraisal Date (incl. out of period)	Assignment Status	Supervisor	Period Start Date	Period End Date	Next Appraisal Date	Status	AFC Pay Progression	Passed Through Gateway
09/04/2018	19/04/2019	Review	Blogs, Mr. Joe	25/01/2021	25/01/2021	Active Assignment	Blogs, Mrs. Jo	10/01/2020	25/01/2021	10/01/2022	New Starter		
01/06/2012	30/04/2019	AFC Development Review	Blogs, Mr. Joe	11/06/2020	11/06/2020	Active Assignment	Blogs, Mrs. Jo	11/03/2020	11/03/2021	09/07/2021			
02/09/2015	02/09/2018	Performance Appraisal	Blogs, Mr. Joe	25/09/2020	25/09/2020	Active Assignment	Blogs, Mrs. Jo	24/09/2019	24/09/2020	24/09/2021			
03/08/2016	03/08/2019		Blogs, Mr. Joe		03/08/2016	Active Assignment	Blogs, Mrs. Jo						
03/08/2016	03/08/2019		Blogs, Mr. Joe		11/07/2017	Active Assignment	Blogs, Mrs. Jo				Due Soon		
16/04/2018	16/04/2019		Blogs, Mr. Joe		14/12/2018	Active Assignment	Blogs, Mrs. Jo				New Starter		
01/08/2018	31/07/2019		Blogs, Mr. Joe			Active Assignment	Blogs, Mrs. Jo				New Starter		
01/02/2017	04/04/2018		Blogs, Mr. Joe		24/12/2015	Active Assignment	Blogs, Mrs. Jo						
12/02/2018	12/02/2019	Review	Blogs, Mr. Joe	04/06/2020	04/06/2020	Active Assignment	Blogs, Mrs. Jo	25/04/2019	03/06/2020	04/06/2021	New Starter		
01/08/2018	01/08/2019		Blogs, Mr. Joe			Active Assignment	Blogs, Mrs. Jo				New Starter		
09/09/2017			Blogs, Mr. Joe		03/04/2019	Active Assignment	Blogs, Mrs. Jo						
18/10/1999	10/09/2016		Blogs, Mr. Joe		25/03/2011	Active Assignment	Blogs, Mrs. Jo						
01/06/2012	20/08/2011	Review	Blogs, Mr. Joe	15/04/2020	15/04/2020	Active Assignment	Blogs, Mrs. Jo	15/04/2019	14/04/2020	15/04/2021			
04/02/2015	06/08/2019		Blogs, Mr. Joe		05/08/2015	Active Assignment	Blogs, Mrs. Jo						
04/02/2015	06/08/2019		Blogs, Mr. Joe		13/07/2016	Active Assignment	Blogs, Mrs. Jo						
04/02/2015	06/08/2019		Blogs, Mr. Joe		12/07/2017	Active Assignment	Blogs, Mrs. Jo				Due Soon		

## Monitoring Tab

The monitoring tab of the Appraisal Reviews Dashboards provides Appraisal intelligence grouped by the range of protected characteristics and assignment details.

Appraisal Reviews by Gender, Age Band, Religious Belief, Disability, Assignment Category, Sexual Orientation, Ethnic Origin and Full Time/Part Time

## Description

These group of analyses show an appraisal review % by each of the following protected characteristics and assignment details: Gender, Age Band, Religious Belief, Disability, Assignment Category, Sexual Orientation, Ethnic Origin and Full Time/Part Time.

## Data Items

Appraisal %	Age Band
Gender	Disability
Religious Belief	Sexual Orientation
Assignment Category	Full Time/Part Time
Ethnic Origin	

## Column Selectors

None

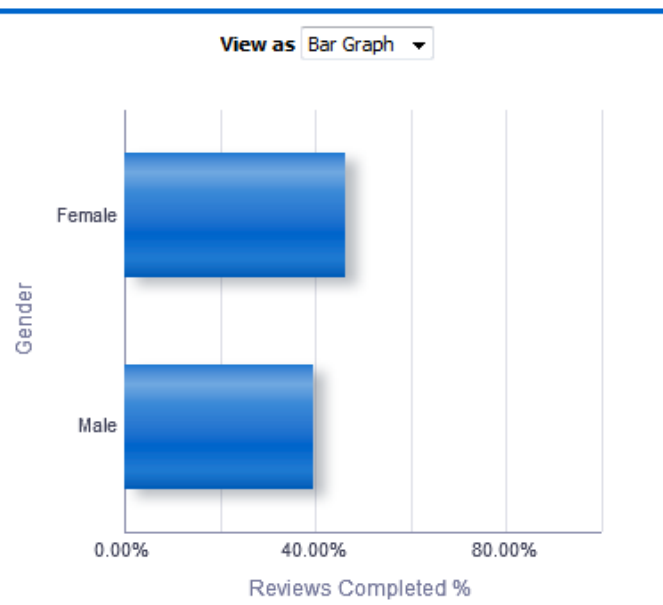
## View Selector

Bar Graph (default)

Pie Graph

Table

### Example Screenshot



### Actions

Click->Detail Tab

## Manage Appraisals Due

## Summary

### Description

This analysis is designed to show the number of assignments due for review in the next 12 months including overdue reviews.

### Data Items

Title	Description
Reviews Due	Distinct count of assignments due for review (e.g. if a person has an assignment with 2 reviews that are both due, this should be counted only once).
Month	
Staff Group	
Org Level 1-13	

### Example Screenshot

Group by Org L1 ▼

Org L1	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Overdue	Grand Total
000 NHS Organisation	41	63	72	63	155	137	96	88	89	107	77	74	37	500	1599
Grand Total	41	63	72	63	155	137	96	88	89	107	77	74	37	500	1599

## Detail

### Description

This analysis is designed to provide the user with a list of staff whose next development review is due or already overdue.

### Prompts

\* Show Appraisals Due (Now, Within 1 Month, 3 Months & 6 Months)

### Data Items

Title	Description
Assignment Number	
Last Name	
First Name	
Position Title	
Supervisor Name	
Pay Step Date	
Organisation	
Org Level 1-13	
Review Type	Type of review completed
Appraisal Date	Latest review date for the person within the Prompts selected.
Next Appraisal Date	Next review date as entered during review
Status	

### Example Screenshot

\* Show Appraisals Due:

Group by  and  and  and

Assignment Number	Last Name	First Name	Position Title	Supervisor Name	Pay Step Date	Organisation		Review Type	Appraisal Date	Next Appraisal Date	Status
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	03/06/2021	000 NHS ESR Organisation		Medical Appraisal	01/01/1900	01/01/1900	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	18/10/2021	000 NHS ESR Organisation		Medical Appraisal			
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	14/09/2021	000 NHS ESR Organisation		Medical Appraisal	01/09/2012		
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	22/03/2021	000 NHS ESR Organisation		Medical Appraisal	30/04/2014	30/04/2015	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	01/10/2014	000 NHS ESR Organisation		Performance Appraisal	12/05/2014	12/05/2015	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	02/09/2020	000 NHS ESR Organisation		Medical Appraisal	09/12/2014	09/12/2015	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	05/10/2021	000 NHS ESR Organisation		Medical Appraisal	10/04/2015	10/04/2016	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	01/04/2013	000 NHS ESR Organisation		Review	24/04/2015	24/04/2016	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	01/12/2015	000 NHS ESR Organisation		Medical Appraisal	25/09/2015	25/09/2016	
12345678	Blogs	Joe	Business Analyst	Blogs, Mrs. Jo	09/09/2020	000 NHS ESR Organisation		Medical Appraisal	29/09/2015	29/12/2016	

Rows 1 - 10

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## Pay Progression Tab

### Description

The Pay Progression Detail analysis is similar to the Appraisal Reviews detail analysis available within the NHS Appraisal Reviews dashboard but includes a number of new fields related to the new Agenda for Change pay progression changes.



Please note that the Start Date in Grade field used by the analysis is the one from the Assignment DFF however where that is not populated i.e. a date is not available, the analysis uses the Grade Effective Start Date from the Assignment Grade Step Placement form.

Please note also that the analysis uses only the current year's pay rates to establish key information such as the Date Of Pay Affecting Pay Step. Users wishing to report next year's rates are only able to do so after 1st April. The prompt below can be used to identify employees whose Date of Pay Affecting Pay Step will change based on the following years pay scales.

### Prompts

Appraisal Review Effective Date

Define New Starters (Months)

Remove New Starters (Yes)

Review Date From >=

Review Date To <=

\* Show Reviews (Default: Latest Review Only)

Excl. Open Sickness Absence from Appraisals- Start Date <=

Restrict to Employees Due a Pay Affecting Pay Step in the Period (Yes)

Pay Step Date Between

### Actions

Navigate to ESR Self Service (available to self-service users only)

### Column Selectors

Organisation

Organisation Level (Org Level 1-13)

### Data Items

Employee Number	Assignment Status
Assignment Number	Supervisor
Last Name	Supervisor Email Address
First Name	Supervisor Employee Number
Title	Period Start Date
Organisation	Period End Date
Role	Next Appraisal Date
Position Title	Status
Pay Grade	AfC Pay Progression
Latest Start Date	Passed Through Gateway
Initial Assignment Start Date	Date of Pay Progression Re-instatement
Start Date in Grade	Reason for Non Progression 1
Pay Step Date	Reason for Non Progression 2
Review Type	Reason for Non Progression 3
Reviewer	Reason for Non Progression 4
Appraisal Date	Reason for Non Progression 5
Next Grade Step Pay Affecting	Date of Pay Affecting Pay Step
Organisation	Grade Step Ceiling Reached
Email Address	Organisation Level (Org Level 1-13)

Appraisal Date (Including out of Period)	Grade Step
Spinal Point	

### Example Screenshot

Period Start Date	Period End Date	Next Appraisal Date	Status	AFC Pay Progression	Passed Through Gateway	Date of Pay Progression Re-instatement	Reason for Non Progression 1	Reason for Non Progression 2
30/11/2018	31/05/2019	08/05/2020	In Date					
19/01/2017	12/06/2018	12/06/2019	In Date					
01/11/2017	24/10/2018	24/10/2019	In Date					
22/09/2017	22/09/2018	04/09/2019	In Date					
22/02/2019	01/09/2019		In Date					
15/02/2019	05/12/2019	25/10/2019	In Date					
17/01/2018	16/01/2019	20/01/2020	In Date					
08/11/2018	07/11/2019		In Date					
15/10/2018	15/10/2018	15/10/2019	In Date					