

Performance Management Specification

Version history

Date	Version	Description
19/11/12	0.1	Initial version.
11/12/12	0.2	First complete version for internal review.
20/12/12	0.3	First draft distributed for comments. Some reporting requirements still to add.
19/02/12	0.4	Updated to reflect initial feedback from core team and stakeholders.

Background

This document describes the requirements and a proposed solution for adding performance management features into TotaraLMS, with the aim of supporting organisations to allow them to get the most out of their staff.

Our solution centres around the concept of performance appraisals, but also links the appraisals with company and personal goals, 360° feedback from peers and learning plans.

Overview of solution

The aims of our solution are to be:

- Flexible, so as to provide a solution suitable for a wide range of organisations.
- Easy to use, for both administrators setting up the system but especially users of the system.
- Well integrated with the existing Totara features.

Goals

Goals provide a way for an organisation to define the key areas they require their users to consider during their performance appraisal. Goals have been divided into two types “Company Goals” and “Personal Goals”.

“Company Goals” represent the aims of the organisation as a whole. Typically an administrator or HR manager would create them. They are structured as one or more hierarchical trees, allowing for high-level goals that can be broken down into sub goals. Company goals would be visible across the organisation and assigned to individuals or groups to achieve.

“Personal Goals” represent more targeted, specific goals for an individual user to achieve. Personal goals are specific to the individual user they are created for, and do not form part of the overall site-wide hierarchy. Personal Goals will be private between the user and their manager/appraiser.

An individual can view and manage their goals via a new “My Goals” page. Managers can access an overview or details of their staff's goals via the “My Team” section. Administrators can update the Company goals and report on the overall progress towards achieving them.

360° Feedback

360° feedback provides a mechanism for individual users to receive feedback on their progress from a group of their peers. This provides a useful additional input into the appraisal process that complements the traditional model of a user having discussions with their manager.

Our system provides a flexible form builder to allow administrators to specify the structure of the feedback form, and control which recipients a user can request feedback from.

Users have access to a feedback request tool which allows them to ask a group of their peers to give feedback on them. The users can track the progress of the requests, send reminders and view the responses as they come in. Feedback can be pulled into an appraisal by the staff member or their manager.

Online Appraisals

The purpose of the online appraisal system is to facilitate discussions between a user and their appraiser, to provide a structure that explains what needs to be done, when and by whom. Integration with the learning management system allows progress to be reviewed more efficiently, and an all-digital format gives direct access to progress and outputs for the purpose of reporting.

Our system recognises the appraisal needs of all organisations are different, so the focus is on providing a flexible system which can be tailored to meet a wide range of needs. It provides an appraisal form builder to allow an administrator to create custom appraisal forms and assign the forms to groups of people within their organisation.

Typically the appraisal process takes place over a specific time-frame, so our system allows the administrator to define specific “Stages” during which certain actions must be completed. It also provides a system for notifying the participants that actions are required or are overdue.

Typically there are at least two roles involved with the appraisal process. Totara supports five specific roles:

- **Learner**
This refers to the employee being appraised.
- **Manager**
This refers to the direct manager of the learner, as defined by Totara's management hierarchy structure. Currently we only consider the manager of the user's primary position.
- **Team lead**
This refers to the manager of the learner's manager.
- **Appraiser**
This refers to another user who has been assigned to review a learner's appraisal. No specific relationship to the user is required, instead the appraiser is manually set via the user's position (see wire-frame A13).
- **Administrator**
This refers to the site administrator or HR representative who is managing the appraisal process. Typically they will have special privileges that may extend to viewing any appraisal or even modifying content.

An individual can interact with their current and past appraisals via a new “My Appraisals” page. Managers can access an overview or details of their staff's appraisals via the “My Team” section. Administrators can control the process, assign users, manage notifications and report on the site-wide progress towards achieving them.

Reporting

One of the benefits of moving to an online appraisal system is that it makes it much more straightforward to report on the data generated during the process. We provide two types of reporting “Progress tracking” and “Metrics”.

Progress tracking provides interested users with a way to see ongoing progress on the appraisal process. It allows the appraisal manager to see progress both in absolute terms, and relative to what is expected at that point in time.

Appraisal results reporting (metrics) give access to the data provided by individuals during the appraisal process, providing a way to understand the performance of individuals or groups within

your organisation. This quantitative data can be used to easily identify high or low performers across groups, teams or the whole organisation.

In both cases reporting is provided at multiple levels of detail, with aggregated data giving an overview, but with the ability to drill down to more detailed individual reports.

Detailed requirements

Goals

Administrator requirements

1. Ability to create goal scales

ID	Requirement	Wire frame	Comments
1.1	Ability to create a new goal scale	G01 G09	Goal scales are a customisable set of levels representing levels of achievement of a particular goal.
1.2	Ability to give the goal scale a name	G09	
1.3	Ability to give the goal scale a description	G09	A more detailed description of the purpose or contents of the scale.
1.4	Ability to define a set of scale values	G08	The values each represent one possible level of achievement a user could have. For example, a scale might include the values “Achieved” and “Not Achieved”.
1.5	Ability to define the order of the scale's values	G08	Typically the order of the scale determines progress towards achievement of the goal.
1.6	Ability to define the default value for the scale	G08	This defines which scale value is assigned to a user by default.

2. Ability to create company goal frameworks

ID	Requirement	Wire frame	Comments
2.1	Ability to create a new company goal framework	G01 G03	Frameworks provide a mechanism for grouping together a hierarchy of goals. There may be several goal frameworks for different parts of the organisation. All goals in a framework share the same goal scale.
2.2	Ability to give a goal framework a name	G03	
2.3	Ability to give a goal framework a description	G03	A more detailed description of the purpose or contents of the framework.
2.4	Ability to assign a goal scale from the list of existing scales (see 1.1 – 1.6)	G03	The scale can be chosen from any existing goal scales. The scale selected defines the levels of achievement available for goals that belong to the framework.
2.5	Ability to archive a goal framework	G01	Archiving a framework does not affect any

			existing assigned goals, it just prevents goals from the framework from being selected or assigned in future.
2.6	Ability to delete a goal framework	G01	Deleting a framework permanently deletes all of its goals, as well as any assignments to those goals and any goal achievement data for those goals.
2.7	Ability to edit a goal framework	G01 G03	The name and description can be updated. The scale is locked to maintain data consistency.
2.8	Ability to view an overview of all goal frameworks and goal scales	G01	

3. Ability to create goal types

ID	Requirement	Wire frame	Comments
3.1	Ability to create a new goal types	G11 G12	Types provide a mechanism for attaching custom meta-data to individual goals. Each goal can be assigned a type, which determines which custom fields appear when adding/editing a goal of that type.
3.2	Ability to give a goal type a name	G12	
3.3	Ability to give a goal type a description	G12	A more detailed description of the purpose or contents of the type.
3.4	Ability to define custom fields for each type	G13	Custom fields can be check-boxes, a menu of choices, date/time selector, text or file uploads.
3.5	Ability to reclassify individual goals or groups of goals to a new type	G11 G04	Includes the ability to migrate data to the new type.

4. Ability to create a hierarchy of company goals

ID	Requirement	Wire frame	Comments
4.1	Ability to create a new goal	G02 G04	Individual goals represent a single task that will be assigned to one or more users to try to achieve.
4.2	Ability to give a goal a name	G04	
4.3	Ability to give a goal a description	G04	A more detailed description of the goal, which may include details on how to achieve it.
4.4	Ability to give a goal a target date	G04	This indicates when the organisation aims to achieve the goal by. Target dates are optional.
4.5	Ability to give a goal a type	G04	Once a type is chosen, custom data fields associated with that type are available when editing that goal. Goal types are optional. If no type is set the goal is “unclassified” and no custom meta-data fields appear.
4.6	Ability to inherit a goal scale from the goal framework	G04	Each goal is automatically assigned to the scale associated with its framework. The scale is used

			to track progress of users towards achieving the goal.
4.7	Ability to define the goal's parent	G04	Goals can be assigned to the top level, or to any other existing goal within the goal's framework. This allows a hierarchy of goals to be constructed.
4.8	Ability to edit goal fields	G02 G04	Including name, description, target date, parent, type and any meta-data fields associated with that type.
4.9	Ability to delete a goal	G02	This will remove the goal, any of its children, and any associations or meta-data connected to that goal.
4.10	Ability to view the overall goal hierarchy	G02	
4.11	Ability to export the goal hierarchy into a CSV file or spreadsheet.	G02	
4.12	Ability to reorder goal items	G02 G04	Including moving items to new parents and reordering a set of siblings.
4.13	Ability to perform bulk actions on a set of hierarchy items	G02	Including bulk add, delete, move and reclassify (change types).
4.14	Ability to view a summary of an individual goal	G05	This will list the name, description, scale, parent, any custom meta data associated with the goal plus any assignments for that goal (see 5.1 – 5.5).

5. Ability to assign company goals to groups of users

ID	Requirement	Wire frame	Comments
5.1	The ability to assign a particular goal to one or more positions	G05 G06	When a goal is assigned to a position, all users who hold that position see the goal appear under “My Goals”.
5.2	The ability to assign a particular goal to a position, and all positions below that one in the hierarchy	G05 G06	A user assigned to any of the positions will receive the goal as if it had been assigned to each position individually.
5.3	The ability to assign a particular goal to one or more organisations	G05 G06	When a goal is assigned to an organisation, all users who are in that organisation see the goal appear under “My Goals”.
5.4	The ability to assign a particular goal to an organisation, and all organisations below that one in the hierarchy	G05 G06	A user assigned to any of the organisations will receive the goal as if it had been assigned to each organisation individually.
5.5	The ability to assign a particular goal to all members of one or more audiences	G05 G07	When a goal is assigned to an audience, all users who are part of that audience see the goal appear under “My Goals”.
5.6	The ability to view which groups of users are assigned to a particular goal, and how many users each group comprises of	G05	This gives the administrator an overview of how the goals are assigned.
5.7	The ability to unassign a group of users from a goal	G05	This will unlink the goal from the users in the position.
5.8	The ability to assign multiple goals to a single position	AG02 AG02b	This provides a quick way to assign multiple goals to one position.

5.9	The ability to assign multiple goals to a single position and all positions below that one in the hierarchy.	AG02 AG02b	
5.10	The ability to assign multiple goals to a single organisation	AG02 AG02b	This provides a quick way to assign multiple goals to one organisation.
5.11	The ability to assign multiple goals to a single organisation and all organisations below that one in the hierarchy	AG02 AG02b	
5.12	The ability to assign multiple goals to a single audience	AG01 AG01b	This provides a quick way to assign multiple goals to one audience.
5.13	The ability to see which goals are assigned to an individual position, organisation or audience	AG01 AG02	This gives the administrator an overview of how the goals are assigned to that group.
5.14	The ability to unassign a goal from a position, organisation, or audience	AG01 AG02	
5.15	The ability to gracefully handle users joining dynamic groups which have goals assigned	UG01	If new members are added to a position, organisation or audience, they should automatically have any goals assigned to their position/organisation/audience added to their “My Goals” page.
5.16	The ability to gracefully handle users leaving dynamic groups which have goals assigned	UG01	If members leave a position, organisation or audience, they should not have the goals removed from their “My Goals” page. Instead the goal should be assigned directly to them but marked with criteria indicating it was from their previous role. e.g. “From your previous position [position name]”.

6. The ability to control which users can assign goals

Note: It should be possible for the following abilities to be enabled or disabled via capabilities.

ID	Requirement	Wire frame	Comments
6.1	The ability to allow users to assign company goals to themselves	UG01 UG02	This allows users to browse the goal frameworks and add company goals to their “My Goals” page.
6.2	The ability to allow managers to assign company goals to their staff members	MG02 UG02	
6.3	The ability to allow users to create personal goals for themselves	UG01 UG03	
6.4	The ability to allow managers to create personal goals for their staff members	MG02 UG03	

7. The ability to manage any user’s goals

ID	Requirement	Wire frame	Comments
7.1	Ability to view and manage assigned goals for any individual staff member	MG02	Full access to all users goals would be restricted to high level administrators by default and could be turned off if required. An administrators abilities would be similar those that a manager would have over their staff

			(see 9). Access to an individual user's goals would be via goal reports (see sections 29 and 30).
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Learner requirements

8. The ability to manage their goals

ID	Requirement	Wire frame	Comments
8.1	Ability to view assigned goals	UG01	There must be a page providing a summary of the goals that are assigned to them.
8.2	Ability to view details about a goal	UG04	Including access to the goal description.
8.3	Ability to browse the company's goals and pick company goals for themselves	UG02	Dependent on permissions configured in 6.1.
8.4	Ability to create their own personal goals	UG03	Dependent on permissions configured in 6.3.
8.5	Ability to edit their own personal goals	UG03	Dependent on permissions this will allow the user to modify existing personal goals.
8.6	Ability to delete company goals	UG01	Depending on permissions.
8.7	Ability to delete personal goals	UG01	Depending on permissions.

Manager requirements

8. The ability to manage their staff's goals

ID	Requirement	Wire frame	Comments
9.1	Ability to view an overview of goal assignments for all of their staff	MG01	Access to their staff's goals is via the "My Team" page.
9.1	Ability to view and manage assigned goals for an individual staff member	MG02	
9.2	Ability to view details about a goal	UG04	Including access to the goal description.
9.3	Ability to browse the company's goals and pick company goals for their staff members	UG02	Dependent on permissions configured in 6.2.
9.4	Ability to create personal goals for their staff members	UG03	Dependent on permissions configured in 6.4.
9.5	Ability to edit their staff members' personal goals	UG03	Dependent on permissions this will allow the user to modify existing personal goals.
9.6	Ability to delete their staff members' company goals	MG02	Depending on permissions.
9.7	Ability to delete their staff members' personal goals	MG02	Depending on permissions.

Online Appraisals

Administrator requirements

10. Ability to create an appraisal

ID	Requirement	Wire frame	Comments
10.1	Ability to create a new appraisal	A02	An appraisal allows the administrator to define a form to be filled out, time-bound stages, a target audience and define notifications relevant to the appraisal.
10.2	Ability to give an appraisal a name	A02	
10.3	Ability to give an appraisal a description	A02	
10.4	Ability to modify an existing appraisal	A03	
10.5	Ability to use an example appraisal as a starting point	A01	This site should have some default example appraisals to provide a starting point to build on.
10.6	Ability to clone an existing appraisal	A01	To make a new copy which can be modified separately.

11. Ability to create appraisal stages

ID	Requirement	Wire frame	Comments
11.1	Ability to create a new stage within an appraisal	A04 A05	A stage is a period of time when specific actions need to be completed by certain users. Stages are used to show the users their progress through the appraisal, control when certain actions can occur and act as milestones for notifications and reporting.
11.2	Ability to give a stage a name	A05	Used to describe the stage for both administrators and the appraisal users.
11.3	Ability to give a stage a description	A05	A longer section of text that provides more details on the purpose of the stage.
11.4	Ability to set a completion date for the stage	A05	This defines when the stage should be completed by. Used by notifications and reporting to identify overdue appraisals. Stage completion dates also determine the order of the stages.
11.5	Ability to lock a stage once it has been completed	A05	This makes it possible to prevent a user from modifying their answers to a stage after it has been submitted. This setting can be disabled to allow users to continue to edit completed sections. This setting can be specified for each role, so some users may edit their answers while others have their answers locked.
11.6	Ability to view which roles are involved in each stage	A04	A role's involvement in a stage is determined by the system, depending on if they have to answer any questions that are in that stage. The roles that are involved should be clear to the appraisal creator.

11.7	Ability to see an overview of all stages within an appraisal	A04	
11.8	Ability to easily switch between stages to view the content of an individual stage	A04	This is achieved by clicking the stage within the list.

12. Ability to create pages within an appraisal

ID	Requirement	Wire frame	Comments
12.1	Ability to create a new page within a stage	A04	Pages provide a way to break long appraisal forms into logical sections. Users completing the appraisal will only see the questions for one page at a time.
12.2	Ability to give each page a name	A06	
12.3	Ability to reorder pages within a stage	A04	
12.4	Ability to move a page to a different stage	A04	If moved the page will appear at the end of the list of pages in its new stage. This functionality may be excluded from the first release.
12.5	Ability to rename an existing page	A06	
12.6	Ability to delete an existing page	A04	This will delete all elements defined for the page.

13. Ability to add elements to an appraisal form

ID	Requirement	Wire frame	Comments
13.1	Ability to select a type of question element to be added to an appraisal form page	A04	Questions provide direct input to the person completing the form and expect a response from them. See below for the different types of questions available.
13.2	Ability to control the permissions for individual questions	e.g. A07b	Question permissions control access to individual questions, and they also determine which roles must complete each stage (every role which must answer one or more of a stage's questions must complete that stage).
13.3	Ability to specify which roles are able to answer a particular question	e.g. A07b	Multiple roles can be set to answer the same question, each role will give their own answer.
13.4	Ability to specify which roles are required to answer a particular question	e.g. A07b	This option is only available for roles that are able to answer the question. If selected the form will prevent them from submitting the stage until the question has been answered.
13.5	Ability to specify which roles are able to view the answers provided by other roles	e.g. A07b	If checked the role will see any answers provided by all other roles. If a role is not able to answer the question <i>or</i> able to view other's answers then the question is not shown to them at all.

13.6	Ability to specify if the permissions for a new question should be copied from the last question	e.g. A07b	When “Same as preceding question” is checked, the permissions check-boxes auto-fill to the same values as the previous question in the form. When unchecked, the permissions are cleared. This option is not available for the first question in a form.
13.7	Ability to add a short text question	A07b	Answered by filling in a single-line text field.
13.8	Ability to add a long text question	A07c	Answered by filling in a multi-line text field (rich text formatting allowed).
13.9	Ability to add a multiple choice question (single answer)	A07d	Answered by selecting one choice from a list of possible options. Single choice questions can be displayed as either a set of radio buttons or a pull-down menu. One choice can be set to be selected by default.
13.10	Ability to add a multiple choice question (multiple answers)	A07e	Answered by selecting one or more choices from a list of possible options. Multi-answer questions can be displayed as either a set of check-boxes or a multi-select set of choices. One or more choices can be set to be selected by default.
13.11	Ability to add a rating question using a custom scale	A07f	Similar to multiple choice (single answer), except the choices are mapped to numeric values to allow aggregation and analysis. Rating questions can be displayed as either a set of radio buttons or a pull-down menu. One option can be set to be selected by default.
13.12	Ability to specify the individual choices for questions based on a set of choices	A07d	Each choice can be given its own text string. The question creator can define how many choices appear, although they must define at least two choices.
13.13	Ability to save a set of choices to be reused in later questions	A07d	Once a set of choices is created, the form creator should be able to save those choices, for reuse by later questions.
13.14	Ability to choose a previously saved set of choices	A07d	When a previous set of choices is selected the choices section should be automatically populated with the existing choice values.
13.15	Ability to add a rating question using a numeric scale	A07g	Answered by choosing a number from the list of possible values. Rating questions can be displayed as either a set of radio buttons or a pull-down menu. The form creator can also select the range of choices and set a default value if required.
13.16	Ability to add a date picker question	A07h	Answered by selecting a specific date, and optionally setting a time. The form creator can set the year range available and specify if the user can set a time.
13.17	Ability to add a file upload question	A07i	Answered by uploading one or more files to the form. The form creator can specify the maximum number of files a user can upload.
13.18	Ability to select a type of review question to be added to an appraisal form page	A04	Review questions allow the person filling out the form to select items to pull into their plan, and then comment on those items.

			See below for the different types of review questions available.
13.19	Ability to review goals	e.g. A07j	Answered by selecting one or more goals belonging to the user being appraised, and then commenting on each goal. If multiple roles are answering they can all select goals and comment but each goal is only listed once.
13.20	Ability to review courses from learning plans	A07j	Answered by selecting one or more courses which are part of a learning plan belonging to the user being appraised, and then commenting on each course. If multiple roles are answering they can all select courses and comment but each course is only listed once.
13.21	Ability to review competencies from learning plans	e.g. A07j	Answered by selecting one or more competencies that are part of a learning plan belonging to the user being appraised, and then commenting on each competency. If multiple roles are answering they can all select competencies and comment but each competency is only listed once.
13.22	Ability to review objectives from learning plans	e.g. A07j	Answered by selecting one or more objectives which are part of a learning plan belonging to the user being appraised, and then commenting on each objective. If multiple roles are answering they can all select objectives and comment but each objective is only listed once.
13.23	Ability to review programs from learning plans	e.g. A07j	Answered by selecting one or more programs which are part of a learning plan belonging to the user being appraised, and then commenting on each program. If multiple roles are answering they can all select programs and comment but each program is only listed once.
13.24	Ability to review evidence from learning plans	e.g. A07j	Answered by selecting one or more evidence items which are part of a learning plan belonging to the user being appraised, and then commenting on each item. If multiple roles are answering they can all select evidence items and comment but each item is only listed once.
13.25	Ability to review 360° feedback	e.g. A07j	Answered by selecting one or more items of feedback received by the user being appraised, and then commenting on each item. If multiple roles are answering they can all select feedback items and comment but each item is only listed once.
13.26	Ability to select a type of static element to be added to an appraisal form page	A04	Static elements are defined by the form creator, but do not expect a response from the person filling in the form. See below for the different types of static elements available.
13.27	Ability to add custom text	A07	The form creator can specify some static text that

			will be displayed on the form. This can be used to provide instructional text to the user. They can also control which roles the text should be visible for.
13.28	Ability to add a custom image	A07	The form creator can specify a static image which will be displayed on the form. They can also control which roles the image should be visible for.
13.29	Ability to add user profile information	A07	The form creator can select one or more user profile fields (including custom profile fields). The data for the user which the form belongs to will be displayed. They can also control which roles the data should be visible for.

14. Ability to modify existing appraisal form elements

ID	Requirement	Wire frame	Comments
14.1	Ability to reorder an element within a page	A04	The order of elements displayed to a form creator is the same as when the form is viewed by the user.
14.2	Ability to edit the settings for an existing element	A04 A07b-j	
14.3	Ability to delete an element	A04	
14.4	Ability to clone an existing element	A04	This makes a new copy of the question with all the same settings as cloned question. The user can then modify the new question.
14.5	Ability to move an element to another page within the current stage	A04	If moved, the element will appear at the end of the listing on the destination page. This functionality may be excluded from the first release.
14.6	Ability to move an element to another page in a different stage	A04	If moved, the element will appear at the end of the listing on the last page of the destination stage. This functionality may be excluded from the first release.

15. Ability to assign users to an appraisal

Note: The ability to assign and unassign users is restricted once any appraisal has been activated. See section 17 for details.

ID	Requirement	Wire frame	Comments
15.1	Ability to assign an appraisal to one or more audiences	A08 A08b A08c	The audience must already exist in the system.
15.2	Ability to assign an appraisal to one or more positions	A08b	When selecting positions, it is possible to choose to “include all children” which will also assign all users assigned to all positions below the selected position.
15.3	Ability to assign an appraisal to one or more organisations	A08b	When selecting organisations, it is possible to choose to “include all children” which will also assign all users assigned to all organisations below the selected organisation.

15.4	Ability to remove audiences that have been assigned to an appraisal	A08c	
15.5	Ability to remove positions that have been assigned to an appraisal	A08c	
15.6	Ability to remove organisations that have been assigned to an appraisal	A08c	
15.7	The ability to see how many users are assigned by each group selected	A08c	
15.8	The ability to see a full listing of all the individuals currently assigned to the appraisal	A08c	The user's name will be linked to their profile. Each user will display the group or groups which have lead to them being assigned. The list will be paginated if there are too many users to list on a single page.
15.9	The ability to search the full listing of individuals currently assigned to the appraisal	A08c	Searching will filter the full list of individuals.

16. Ability to create notifications related to an appraisal

ID	Requirement	Wire frame	Comments
16.1	Ability to create notification messages related to a particular appraisal	A09	Multiple messages can be created.
16.2	Ability to send messages relative to the appraisal activation event	A09b	
16.3	Ability to send messages relative to the completion of any stage within the appraisal	A09b	
16.4	Ability to send messages relative to the “complete by” date for any stage within the appraisal	A09b	
16.5	Ability to send message when the event described above occurs	A09b	
16.6	Ability to send messages a set number of days/weeks/months before or after the event described above occurs	A09b	There are some limitations: if the date of the event is not known in advance (e.g. activation) it is impossible to configure a message to be sent before it occurs.
16.7	Ability to specify which roles should receive the message	A09b	Multiple roles can be selected.
16.8	Ability to specify that users should only receive a particular message if they have (or haven't) completed the stage	A09b	Only relevant for messages using the stage “complete by date” event.
16.9	Ability to specify the subject and body of the message	A09b	
16.10	Ability to specify whether all roles should receive the same message, or whether to send different messages to different roles	A09b	If different messages are selected, requirement 16.9 is repeated for each role chosen in 16.7.

17. Ability to control if an appraisal is active on the site

ID	Requirement	Wire frame	Comments
17.1	Ability to activate a draft appraisal	A01 A10b	Activating an appraisal will freeze the assigned users, make it available to those users and may send out notifications.
17.2	Ability to close an active appraisal	A01 A11	Closing an appraisal will prevent the assigned users from interacting with the appraisal.
17.3	Ability to message all users assigned to an active appraisal that is being closed	A11	Allows the administrator to send a one-off email explaining why the active appraisal has been closed.
17.4	Ability to validate an appraisal is ready for activation and receive notification of the problem if an appraisal cannot be activated	A10	Reasons why an appraisal may not be activated include a lack of questions, missing stage end dates, no assigned users or missing roles for assigned users.

18. Ability to preview an appraisal form

ID	Requirement	Wire frame	Comments
18.1	Ability for the form creator to see how the current form would appear to different roles.	A12	Form should appear in a new window.

Learner requirements

These requirements apply to any role that is completing the appraisal form (“learner”, “manager”, “team lead” or “appraiser”, but are described below in terms of the “learner” as the primary actor.

19. Ability to view appraisals

ID	Requirement	Wire frame	Comments
19.1	Ability to view current active appraisal	UA00b	Accessed via “Latest Appraisal” link.
19.2	Ability to view older active appraisals	UA10	Accessed via Appraisal History.
19.3	Ability to view previously completed appraisals	UA10	Accessed via Appraisal History.

20. Ability to print an appraisal

ID	Requirement	Wire frame	Comments
20.1	Ability to print an appraisal	UA01	The printed form of the appraisal should include the questions and any answers visible to the user who is printing the form.
20.2	Ability to select which stages to include when printing	UA01	The user can choose to exclude some stages when printing.
20.3	Ability to specify to print leaving additional space on the page for entering comments	UA01	This is useful if the form is being printed to be taken to a meeting for discussion.

21. Ability to save and view appraisal snapshots

ID	Requirement	Wire frame	Comments
21.1	Ability to save a PDF hard-copy of an appraisal	UA01	The file contains the contents of the appraisal, as visible to the user taking the snapshot. Snapshots are not editable copies of the appraisal.
21.2	Ability to download a snapshot immediately	UA01	
21.3	Ability to download previously saved snapshots	UA10	Access to previous snapshots is via the appraisal history link.

22. Ability to see an overview of an appraisal

ID	Requirement	Wire frame	Comments
22.1	Ability to see an overview page for an individual appraisal	UA01 UA07 UA08 UA09 UA11 MA01 MA07 MA08 AA01	This page provides a summary of the contents and current status of the appraisal.
22.2	Ability to see each of the stages an appraisal involves	UA01	Stages should be listed in order by stage “complete by” date.
22.3	Ability to see the currently active stage of an appraisal	UA01	Including the name and description of the stage.
22.4	Ability to see which roles must complete each stage	UA01	Described in terms of the user viewing the page (e.g. “You must complete this stage”)
22.5	Ability to see the status of each stage	UA01	For example “In progress”, “Complete”, “Overdue”, or “Unavailable”.
22.6	Ability to see a call to action when required	UA01	A user who has actions to complete should clearly be able see how to start working on it.
22.7	Ability to see the due date of each stage	UA01	
22.8	Ability to see if a stage is overdue	UA08 MA08	Should also make it clear who is required to take action.
22.9	Ability to see if an appraisal is already complete or has been cancelled	UA09 UA11	If so, include the date the appraisal was completed/cancelled.
22.10	Ability to view an appraisal	UA07 UA09 UA11 MA08	Users should be able to view the appraisal, even if they don't have any actions to perform at that time.

23. Ability to complete an appraisal stage

ID	Requirement	Wire frame	Comments
23.1	Ability to view the form pages associated with a particular stage	UA02 UA03 UA04 UA05 UA06 MA04	

		MA06 AA06	
23.2	Ability to progress through the form to subsequent pages	UA02	
23.3	Ability to save the form at any time	UA02	The user should be able to save even if they haven't filled in all the required fields.
23.4	Ability to mark a stage as complete	UA03	Should only become available once a user has completed all pages that require responses.
23.5	Ability to see which pages have been completed	UA03 UA04	A tick is shown next to a page once it is complete.
23.6	Ability to view pages from previously completed stages	UA04	
23.7	Ability to edit pages from previously completed stages	UA04	Only if "Lock after completion" is disabled for that role, otherwise previous stages are visible but read-only.
23.8	Ability to receive validation errors if data is incorrect or missing when required	UA05	
23.9	Ability to view the answers of other users	UA06 MA04 MA06	Only if question permissions allow it.

Manager requirements

24. Ability to see appraisals for team members

ID	Requirement	Wire frame	Comments
24.1	Ability to see a link to the current appraisal of each staff member	MA10	Displayed on the "My Team" summary page.
24.2	Ability to view appraisals belonging to each staff member	UA00b	Appraisals appear with heading banner, indicating whose appraisal is being viewed.
24.3	Ability to view summary data for all staff members	MA10	Gives details of current appraisal, current stage, status and access to appraisal history for each staff member. Accessed via Appraisals tab under "My Team".

Reporting

Administrator requirements

25. Ability to report on active appraisals

ID	Requirement	Wire frame	Comments
25.1	Ability to view a list of active appraisals with summary statistics	R01	
25.2	Ability to view the number of users with overdue stages	R01	Defined as users who's latest stage complete by date is in the past. Clicking number gives detailed report.
25.3	Ability to view the number of users that	R01	Defined as users who's latest stage complete by

	are on time		date is in the future, but don't meet the criteria below. Clicking number gives detailed report.
25.4	Ability to view the number of users that are ahead	R01	Defined as having completed a stage where the stage's complete by date hasn't yet passed. Clicking number gives detailed report.

26. Ability to report on closed appraisals

ID	Requirement	Wire frame	Comments
26.1	Ability to view a list of completed appraisals with summary statistics	R01	
26.2	Ability to see when each appraisal was completed	R01	
26.3	Ability to see how many users completed the appraisal before it was closed	R01	Clicking number gives detailed report.
26.4	Ability to see how many users failed to complete the appraisal before it was closed	R01	Clicking number gives detailed report.
26.5	Ability to see how many users were cancelled when the appraisal was closed	R01	Clicking number gives detailed report.

27. Ability to view a status report on an individual appraisal

ID	Requirement	Wire frame	Comments
27.1	Ability to review details for each individual user that is assigned to a particular appraisal	R02 R03	Each row contains details for one user.
27.2	Ability to view and filter on user profile data as part of the report	R02 R03	For example, position, manager name, etc.
27.3	Ability to view and filter by the user's current stage	R02 R03	Defined as the latest stage that isn't yet completed.
27.4	Ability to view the date of completion of the last stage	R02 R03	Blank if no stages have been completed.
27.5	Ability to view and filter by the user's status for the appraisal	R02 R03	For example "Overdue", "On Target", "Ahead".
27.6	Ability to click the user's name to view the full appraisal form	R02 R03	Only if the user has appropriate permissions.

28. Ability to view a metric report on an individual appraisal

Issue to be resolved: How does the user select which questions should appear in the report? Is there a screen shown before the report is displayed that allows them to select the questions to show?

ID	Requirement	Wire frame	Comments
28.1	Ability to view the answers to individual appraisal questions for multiple users in a single report	R03	Only questions with a quantitative result (e.g. competency scale or "rating" questions can be
	Remaining requirements TBC		

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29. Ability to view a Goal summary report

Issue to be resolved: Currently each goal scale value has a column in the report. Because goals in different frameworks can have different goal scales you could end up with lots of columns and a sparse results set if we show all goal scale values at once. It would probably make sense to select which goal scale you want to view before seeing the report.

ID	Requirement	Wire frame	Comments
29.1	Ability to view a list of all company goals	R04	
29.2	Ability to view how many users each company goal has been assigned to	R04	
29.3	Ability to view how many users have each possible goal status	R04	
29.4	Ability to sort the report by any of the values above	R04	
29.5	Ability to filter the report to find a specific goal or goals	R04	
29.6	Ability to filter the report to only show results with a specific number of users	R04	
29.7	Ability to drill-down into a particular goal to see a more detailed report	R04	By clicking on the goal name, see 30 (R05).
29.8	Ability to export the report	R04	

30. Ability to view a Goal details report

ID	Requirement	Wire frame	Comments
30.1	Ability to view all the users who are assigned to any goal	R05	Each row contains an assignment between a goal and a user.
30.2	Ability to add any user data columns to the report	R05	Including fields such as “position”, “organisation”, “manager” or any custom profile fields.
30.3	Ability to view the goal each user has been assigned and click for more details on that goal	R05	
30.4	Ability to see the user's status towards achieving that goal	R05	E.g. the goal scale value assigned to the user for that goal.
30.5	Ability to sort by any columns in the report	R05	
30.6	Ability to filter by any columns in the report	R05	Including user fields, goal name and goal status.
30.7	Ability to click a goal name in 29.7 and access a pre-filtered version of the report	R05	Showing only results for the goal that was clicked.

360 Feedback

Administrator requirements

31. Ability to create feedback forms

ID	Requirement	Wire frame	Comments
31.1	Ability to create a new feedback form	FB01 FB02	
31.2	Ability to give a form a name	FB02	
31.3	Ability to give a form a description	FB02	
31.4	Ability to edit an existing form	FB03	
31.5	Ability to make a copy of an existing feedback form	FB01	
31.6	Ability to delete an existing feedback form	FB01	User would be required to confirm before the form was deleted.
31.7	Ability to preview how the form will appear to users	FB04	

32. Ability to define the elements that make up a feedback form

These form elements are very similar to the appraisal form elements described in 13. The underlying code to produce both question types is expected to be the same, although there are some slight variations in behaviour.

ID	Requirement	Wire frame	Comments
32.1	Ability to select a type of question element to be added to a feedback form page	FB04	Questions provide direct input to the person completing the form and expect a response from them. See below for the different types of questions available.
32.2	Ability to specify which roles are required to answer a particular question	E.g. FB07b	If selected the form will prevent them from submitting until the question has been answered.
32.3	Ability to add a short text question	Similar to A07b but without permissions section	Answered by filling in a single-line text field.
32.4	Ability to add a long text question	FB06b	Answered by filling in a multi-line text field (rich text formatting allowed).
32.5	Ability to add a multiple choice question (single answer)	Similar to A07d but without permissions section	Answered by selecting one choice from a list of possible options. Single choice questions can be displayed as either a set of radio buttons or a pull-down menu. One choice can be set to be selected by default.
32.6	Ability to add a multiple choice question (multiple answers)	Similar to A07e but without permissions section	Answered by selecting one or more choices from a list of possible options. Multi-answer questions can be displayed as either a set of check-boxes or a multi-select set of choices. One or more choices can be set to be selected by default.
32.7	Ability to add a rating question using a custom scale	Similar to A07f but without permissions section	Similar to multiple choice (single answer), except the choices are mapped to numeric values to allow aggregation and analysis. Rating questions can be displayed as either a set of radio buttons or a pull-down menu. One option can be set to be selected by

			default.
32.8	Ability to specify the individual choices for questions based on a set of choices	Similar to A07f but without permissions section	Each choice can be given its own text string. The question creator can define how many choices appear, although they must define at least two choices.
32.9	Ability to save a set of choices to be reused in later questions	Similar to A07f but without permissions section	Once a set of choices is created, the form creator should be able to save those choices, for reuse by later questions.
32.10	Ability to choose a previously saved set of choices	Similar to A07f but without permissions section	When a previous set of choices is selected the choices section should be automatically populated with the existing choice values.
32.11	Ability to add a rating question using a numeric scale	Similar to A07g but without permissions section	Answered by choosing a number from the list of possible values. Rating questions can be displayed as either a set of radio buttons or a pull-down menu. The form creator can also select the range of choices and set a default value if required.
32.12	Ability to add a date picker question	Similar to A07h but without permissions section	Answered by selecting a specific date, and optionally setting a time. The form creator can set the year range available and specify if the user can set a time.
32.13	Ability to add a file upload question	Similar to A07i but without permissions section	Answered by uploading one or more files to the form. The form creator can specify the maximum number of files a user can upload.
32.14	Ability to add custom text	FB06	The form creator can specify some static text that will be displayed on the form. This can be used to provide instructional text to the user.
32.15	Ability to add a custom image	FB06	The form creator can specify a static image which will be displayed on the form.
32.16	Ability to add user profile information	FB06	The form creator can select one or more user profile fields (including custom profile fields). The data for the user who requested the feedback will be displayed.

33. Ability to modify existing feedback form elements

ID	Requirement	Wire frame	Comments
33.1	Ability to reorder an element within a form	FB04	The order of elements displayed to a form creator is the same as when the form is viewed by the user.
33.2	Ability to edit the settings for an existing element	FB04 FB06-FB06b A07b-j	
33.3	Ability to delete an element	FB04	The user would be prompted to confirm before the element is deleted.

33.4	Ability to clone an existing element	FB04	This makes a new copy of the question with all the same settings as cloned question. The user can then modify the new question.
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34. Ability to define who is able to access a particular feedback form

ID	Requirement	Wire frame	Comments
34.1	Ability to add groups of users (positions, organisation or audiences) to a feedback form	FB07	Adding a group allows all the members of the group to request feedback using this form.
34.2	Ability to add all users below a certain point of a hierarchy (organisations or positions)	FB07	Any user assigned to any organisation or position below the selected one will be part of the group.
34.3	Ability to remove a previously added group	FB07	Users in the removed group will no longer be able to request new feedback using the form, though any existing requests will still work.
34.4	Ability to see how many users are assigned to the form via the various groups	FB07	

35. Ability to control who a user can request feedback from

ID	Requirement	Wire frame	Comments
35.1	Ability to control who a user can request feedback from	FB05	In this context “a user” refers to a member of the site who has been assigned this feedback form in FB07. These options restrict which users they can contact to get feedback from.
35.2	Ability to allow the user to specify any email address	FB05	If checked the user will be able to specify any email address to ask for feedback. There is no requirement for the user to be a member of the site.
35.3	Ability to allow the user to request feedback from their direct line manager	FB05	
35.4	Ability to allow the user to request feedback from any of their direct reports	FB05	This option only applies if the user is a manager of one or more users.
35.5	Ability to allow the user to request feedback from any user who is part of an audience that the user is a member of.	FB05	
35.6	Ability to allow the user to request feedback from any user who is part of the user's current position	FB05	This functionality may to added in a subsequent release.
35.7	Ability to allow the user to request feedback from any user who is part of the user's current organisation	FB05	This functionality may to added in a subsequent release.
35.8	Ability to allow the user to request feedback from any user who is part of one or more specific groups of users (organisations, positions or audiences)	FB05	This functionality may to added in a subsequent release.

36. Ability to activate a form so it becomes available to users

ID	Requirement	Wire frame	Comments
36.1	Ability to activate a form so that it becomes available to users	FB01	Forms are inactive while they are being created.
36.2	Ability to deactivate a form	FB01	Inactive forms are not available for users to use to request new feedback. Any existing feedback requests remain unchanged.
36.3	Ability to validate a form when a user tries to activate it	FB01 FB01b	This prevents a form being enabled if there are problems with the configuration, including: <ul style="list-style-type: none"> • No questions added yet • No recipient types enabled • No users are currently assigned (warning only)

Employee requesting feedback requirements

37. Ability to request feedback using forms that have been made available to you

ID	Requirement	Wire frame	Comments
37.1	The ability to visit a “Feedback” page for an overview of all feedback	UFB01	Should include feedback given and received.
37.2	The ability to make a new request for feedback	UFB01	Only available if the user has been assigned to at least one active feedback form.
37.3	The ability to select which form to use when requesting feedback	UFB06	Only available if the user has been assigned more than one active feedback form. If they have been assigned only one they don't get to choose the form, instead they are taken directly to UFB07
37.4	The ability to choose which users you want to receive feedback from	UFB07	The options here are restricted depending on the configuration of the feedback form as defined in 35.1 – 35.8 (FB05).
37.5	The ability to set a date when you would like to receive the feedback by	UFB07	The user will see an overdue notice if they do not respond in time.
37.6	The ability to receive confirmation that your request for feedback has been initiated and who feedback was requested from	UFB08	

38. Ability to track who has responded to your requests for feedback

ID	Requirement	Wire frame	Comments
38.1	Ability to see a summary of feedback requests that you have made	UFB01	“Feedback about you” section.
38.2	Ability to see how many users you requested feedback from when you made the request	UFB01	
38.3	Ability to see how many users have responded to your request for feedback in total	UFB01	
38.4	Ability to see how many users have	UFB01	

	responded to your request since the last time you viewed this page		
38.5	Ability to see when your request was made and when it is due.	UFB01	
38.6	Ability to mail a reminder to all users who have yet to respond	UFB01	
38.7	Ability to cancel a feedback item	UFB01	Any users who have yet to respond will no longer have to do so. This does not affect users who have already responded.
38.8	Ability to see a detailed breakdown of who has and hasn't responded to your request	UFB03	
38.9	Ability to see the individual responses	UFB03 UFB04	Should include who responded, when they responded as well as their answers to the individual form questions.

Employee giving feedback requirements

39. Ability to know that you have been asked to give feedback

ID	Requirement	Wire frame	Comments
39.1	Ability to see that you have been asked to give feedback on your colleagues	UFB01	"Give feedback about your colleagues" section.
39.2	Ability to see the list of requests sorted by due date or requester's name	UFB01	
39.3	Ability to quickly see any requests that are overdue or already completed	UFB01	
39.4	Ability to respond to a request	UFB01	
39.5	Ability to view your response to requests you have already responded to	UFB01	

40. Ability to respond to the feedback using a feedback form

ID	Requirement	Wire frame	Comments
40.1	Ability to see who the feedback you are filling out is about	UFB05	
40.2	Ability to save your progress without submitting the feedback	UFB05	
40.3	Ability to submit the feedback once you have completed the form	UFB05	The exact questions will depend on the elements selected when the form was created.
40.4	Ability to confirm that you wish to submit the feedback	UFB05	
40.5	Ability to see that your feedback has been successfully sent	UFB09	