

DRAFT MANAGEMENT ACTION PLAN

Directorate:	Business Services
Audit report:	A00695 / 2013/14 – Appraisals
Dated:	5 March 2014

PRIORITY RATINGS

Priority High (H) - major control weakness requiring immediate implementation of recommendation

Priority Medium (M) - existing procedures have a negative impact on internal control or the efficient use of resources

Priority Low (L) - recommendation represents good practice but its implementation is not fundamental to internal control

I agree to the actions below and accept overall accountability for their timely completion. I will inform Internal Audit if timescales are likely to be missed.

The auditor agrees that the actions set out below are satisfactory.

Lead Responsible Officer: Carmel Millar

Auditor: Pascal Barras

Date: 04/04/14

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Para Ref	Recommendation	Priority Rating	Management Action Proposed	Timescale for Action	Officer Responsible	Audit Agree?
5.8	HR & OD should ensure that future performance management calculations of appraisal completion are subject to thorough and rigorous quality checks.	H	HROD are aware of the importance of having a consistent and rigorous reporting process. Quality checks will be built into the work we are continuing to do on the portal reporting process. End of April – End of June – HR & OD to report on a monthly basis how many appraisal documents have	From April 2014 – IMT to rebuild downloadable reports on the portal. Appraisal data collection board meetings to continue in order to monitor progress. Quality checking process to be agreed. September 2014	Neil Bradley	Y

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5.11	HR & OD should implement a process for recording appraisals which allows consistent reporting of completion rates.	H	<p>been completed in the portal. Information to be sent to Strategic Directors and Heads of Service in order to encourage completion.</p> <p>We will continue to work with our colleagues in Audit to ensure that appraisal completion reporting is to the standards required from this perspective.</p> <p>HROD & Shared Services have worked with IMT to improve the way that appraisals are recorded in SAP. This makes it easier for managers and senior managers to know when they have completed their documents.</p> <p>We have now clearly defined the expected completion deadline for</p>	<p>25 March – updated recording process is now live for managers.</p> <p>From April – appraisal board meetings continue to take place to discuss reporting and agree a quality checking process.</p>	Neil Bradley	Y

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			<p>managers to do so, and have allowed a three month window until 30 June.</p> <p>Furthermore, the validity period of the appraisals (period of time the conversation concerns) is now automatically set by financial year. This will allow a more accurate set of reporting data.</p> <p>We now continue to work with our IMT colleagues to build a robust report so that we can accurately report on a monthly basis (April to June) to strategic directors on completion rates in their areas.</p>			
5.12	HR & OD should implement a process for reporting appraisals which is designed in such a manner as to allow	H	<p>Whilst SAP will not be able to replicate the same report twice as it is a live system (data is constantly changing), all reports</p>	From April – any reports taken on appraisal figures will be accurately referenced and kept with the descriptions of	Neil Bradley	Y

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	reproducible results (i.e. the same report from SAP for the same time period should always generate the same results).		downloaded will be properly referenced and stored in a master document with accurate descriptions of selection criteria used.	selection criteria used.		
5.13	HR & OD should clearly define which staff are included in appraisal completion performance management.	H	<p>This is documented in the scope of the 2013/14 project documents and replicates that of 2012/13.</p> <p>Scope: 'All centrally employed staff within the organisation including Fire & Rescue and Commercial Services'</p> <p>Out of scope: 'Teachers and any newly TUPE'd employees'</p> <p>Bank staff, Long Term Sick & Maternity do not have appraisal documents created and therefore will be excluded from the final results.</p>	<p>March 2014 – In scope colleagues have been clearly defined in the project documents. This replicates the information in the project brief from 2012/13.</p> <p>From April – Bank staff, long term sick and maternity will not be present in the reporting of appraisal data.</p>	Andrea Harrison	Y