RAQS ENHANCEMENTS

Automated Transfer/Approval of Performance Appraisals and Formal Reviews/Appeals

Instructions to Consultants

Contract Management Office

April 2007
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**Automated Transfer/Approval of Appraisals and Formal Appraisal Review/Appeal**

The purpose of this enhancement in RAQS is to expedite the review and approval of Performance Appraisal and Formal Appraisal Review/Appeal processes described in the CPSS Procedures Guide\(^1\) by automating the steps. The electronic process will apply to all performance appraisals created in RAQS on/after April 16, 2007:

- Appraisals issued are transferred to Consultants electronically through RAQS and not mailed.

- The Ministry Project Manager (PM / CCO) completes an Appraisal in RAQS and sends a regular e-mail to the Consultant’s Key/Alternate Contact listed in RAQS informing that an Appraisal has been issued and is awaiting their review in RAQS. The e-mail message specifies Deadline Date for a response (21 or 30 days, based on the signed Legal Agreement).

- The Consultant can access the Appraisal by logging in via the RAQS Consultant Web Site with their User ID and Password and selecting the Appraisals tab. The Consultant can view the Appraisal Letter and Appraisal sent by the ministry. The Consultant may approve the Appraisal and rating in RAQS.

- The Consultant can discuss the Appraisal and rating issued, with the Ministry Project Manager (PM / CCO) who may revise the Appraisal within the 21 (or 30) day deadline specified in the Appraisal Letter. The Ministry Project Manager (PM / CCO) may notify the Consultant by phone/fax if any revisions are made to the Appraisal.

- If the Consultant approves the Appraisal, they create and send an electronic letter to the Ministry Project Manager (PM / CCO) stating that the Appraisal has been accepted. The system will automatically fill in the Approval Date and First CPR Calculation Date.
  - If the Consultant does not make a decision prior to the deadline, the Appraisal is automatically approved.
  - If the Consultant does not approve the Appraisal and requests a Formal Review/Appeal, they create and send an electronic Appeal Letter to the ministry’s Regional/Office Manager. The reasoning and justification for a Formal Review/Appeal and any supporting documentation must be included with the Formal Review/Appeal request as attachments.

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• The Regional/Office Manager is immediately notified of the request for Formal Appraisal Review/Appeal through regular e-mail at their desk. The Regional/Office Manager investigates the request for Appraisal Review/Appeal.
  - In assessing a Formal Review/Appeal, the Regional/Office Manager may send “Additional Information Requests” through RAQS.
  - When an Additional Information Request is sent, the Consultant’s Key/Alternate Contact listed in RAQS receives a regular e-mail explaining what information is being requested and the details are available in RAQS.
  - The Consultant responds to Additional Information Requests through RAQS by logging into the RAQS Consultant Web Site, opening the letter, and attaching the requested electronic files along with any explanation/description, supporting the request.

• When a Level-One Formal Review/Appeal is completed, the decision is recorded on the Appraisal. The Regional/Office Manager sends a regular e-mail to the Consultant’s Key/Alternate Contact listed in RAQS, informing them that a decision has been made and is available in RAQS.
  - If the Consultant accepts the decision within 21 days (or 30 days), they send an electronic letter to the Regional/Office Manager, stating that they have approved the decision. If the Consultant does not request a Level-Two Formal Review before the deadline, the system will automatically approve the Level-One decision and fill in the Approval Date and First CPR Calculation Date on the Appraisal in RAQS.

• If the Consultant requests for Formal Appraisal Review/Appeal Level-Two, the Secretary of the Qualification Committee is immediately notified through regular e-mail. An Appeal Letter and the supporting documentation are available to the Secretary of the Qualification Committee, through RAQS.
  - During the investigation, the Qualification Committee may forward “Additional Information Requests” to the consultant and/or Regional/Office Manager, through RAQS.
  - The Consultant’s Key/Alternate Contact in RAQS and/or Regional/Office Manager receives a regular e-mail informing that the information is being requested and the details are available in RAQS.
  - A Consultant and/or Regional/Office Manager respond to Additional Information Requests through RAQS.
  - The Qualification Committee decides on the Appraisal and the Consultant is immediately notified through regular e-mail sent to the Consultant’s Key/Alternate Contact in RAQS. The Consultant can view the Decision Letter and Appraisal as decided. The Appraisal as decided by the Qualification Committee is approved in RAQS.
1.0 Approving Performance Appraisal through RAQS

1.1 Viewing Performance Appraisal

Appraisal is electronically transmitted by the ministry Project Manager (PM/CC)) to the Consultant.

1. A regular e-mail is sent to the Consultant’s Key/Alternate Contact listed in RAQS, informing that the Appraisal has been transmitted to them. The e-mail shows 21 (or 30) day Deadline Date for Consultant to act on the Appraisal. The consultant may approve the Appraisal, take no action or request for a Formal Review/Appeal with the deadline specified. If consultant takes no action, the appraisal is approved by default immediately after the expiry of the deadline. Appraisal is available for viewing through the RAQS Consultant Web Site.

2. Log in via web at the RAQS Consultant Website with ID/Password to open the Appraisal.
Note:
When using the RAQS Consultant Website, do not use your web browser’s back button. Only use the back buttons provided on the pages.

3. Open “Appraisals” Tab on the top navigation menu

4. Click the “Appraisals” button on the left Navigation Menu.

5. To expand the list of Appraisals that are waiting for Consultant Approval, click the button next to “Waiting for Approval” Menu. Navigate and locate Appraisal # (Appraisal carries the same # as Assignment).

6. Expand Assignment’s sub-list below and click on the Ministry Approval Letter for the specific Assignment #.

7. Appraisal Letter consists of Appraisal Details including the deadline for taking action by the Consultant and the ministry comments regarding the Appraisal. Once you have read Appraisal Letter, return to the “Appraisals” screen by clicking Back button.
8. Open the corresponding Appraisal in RAQS by clicking the Appraisal # (same as the Assignment #).

The Performance Appraisal Form will appear on the main screen.

9. Review the details within the Appraisal.

Within 21 days, the consultant may contact the ministry Project Manager to discuss the Appraisal. If as a result, the Appraisal is revised by the ministry Project Manager, you will be advised via phone/fax. You will then be able to view the revised appraisal using the above steps. Please be advised that you will not receive another electronic Appraisal Letter.

10. Click **Edit** on the left Navigation Bar as seen below:
1.2 Approving Performance Appraisal

If the Consultant chooses to approve the Appraisal:

1. Enter “Yes” in the “Approved?” selection box. The following message will appear indicating that once ‘Save and Close’ is pressed, the decision to approve the appraisal can no longer be reversed.

2. To finalize the approval, click **Save & Close**

3. You are prompted to create a Consultant Approval Letter:

   - To create the Approval Letter, now click **OK**
   - To create the Approval Letter in the future, click **Cancel**
Note: Appraisal will not be approved until the Approval Letter has been sent to the ministry. If you click Cancel at this time, to access the letter in the future, you will need to re-open Appraisal and click Edit. Scroll down to the bottom of the page and click on the Approval Letter icon:


5. Click Send to immediately transmit the Approval Letter to the ministry Project Manager/CCO. The Appraisal will now move to “Approved” under “Appraisals” tab.
   - For sending the letter at a later date/time, click Save. The letter can be opened/edited by opening the Appraisal and clicking the Approval Letter icon.

Please note that if the Consultant approves an Appraisal, the RAQS System locks the Appraisal, ready for calculation at the next Quarterly CPR calculation. If the Consultant takes no action within the 21 days (or 30 days, based on the signed Legal Agreement), the Appraisal is approved by default.
2.0 Requesting Formal Review/Appeal of an Appraisal

The Consultant may request for a Formal Review/Appeal. The ministry procedures require that a request for Formal Appraisal Review/Appeal must be submitted through RAQS with the 21 days (or 30 days) deadline specified by the ministry. If the deadline passes without any request for Formal Review/Appeal, the Appraisal is approved in RAQS “by default”. The RAQS System will not allow submitting Formal Appraisal Review after the expiry of the deadline.

2.1 Requesting Formal Appraisal Review/Appeal Level One

The consultant forwards the request for Formal Appraisal Review/Appeal Level One to the Regional/Office Manager, through RAQS.

1. To submit for Formal Appraisal Review/Appeal Level One, Consultant enters RAQS Consultant Site via the web, using ID/Password. Open Appraisals Tab on
the top navigation menu. Click the “Appraisals” button on the left navigation menu.

2. Click to expand Appraisal Review and Enter “No” into the “Approved?” space (see below)

3. This will allow for either option “No” or “Yes” under the “Consultant Appealed” entry.

- If “No” is entered under “Consultant Appealed?”, a Formal Review/Appeal request will not be sent at this time.

- If “Yes” is selected and other steps listed below are taken before the deadline, the Appraisal will be forwarded for Formal Review/Appeal. Otherwise, the Appraisal will be automatically approved, by default at the expiry of the deadline.

4. Click Save & Close. You are prompted to create Appeal Letter:
- To create Appeal Letter now click **OK**
- To create Appeal Letter later click **Cancel**

**NOTE:** If **Cancel** is selected at this time, to access the letter in future, re-open the Appraisal under the Appraisal tab and click **EDIT**. Scroll down to the bottom of the appraisal under “Performance Appraisal – Review” section and click on the Appeal Letter icon:

5. Review the Letter and complete the following steps:

- Fill in the “Comments” section at the bottom of the Letter.
- Attach any justification/documentation under “Attached Appeal Documentation” section. After attaching each document, click:

  ![Save]

The attached files will show up in the “Attachments” section of the letter. Any document type (doc, xls, PDF, etc.) can be attached.
6. To delete an attachment, highlight the file name in the “Remove Selected Attachments” section of the letter and click **Save**.
To save the letter without sending it, click Save. The letter can be re-opened by opening the Appraisal and clicking Appeal Letter.

When completed, click Send to immediately transmit the Appeal Letter, with attachments, to the Ministry’s Regional/Office Manager.

2.1.1 Responding to Additional Information Request by Regional/Office Manager

In conducting Level-One Review, the Regional/Office Manager may request additional information. The Consultant will receive a regular e-mail sent to their Key/Alternate Contact listed in RAQS, informing them of the request. The Additional Information Request becomes available in RAQS viewable by the Consultant through the RAQS Consultant Site using their ID/Password.

1. To respond, login to the RAQS Consultant Web Site and navigate to the Appraisal referenced in the e-mail.
2. Expand the list of documents under that Appraisal by clicking the button next to the Assignment number and look for the Additional Information Request letter.

- Letters that have not yet been responded to will say “Sent” and show the date the Ministry sent the letter.

- Letters that have been responded to will say “Replied” and display the date that the response was sent to the Ministry.

3. Click to open the “Additional Information Request Letter”.

4. View Additional Information that the MTO has requested under “Additional Information Request by MTO” and “Additional Information Documentation” fields in the Letter.

5. Click Edit to draft your response
6. Attach Files as necessary

- Fill out the “Additional Information” field with the appropriate Additional Information.
- If you need to attach a document, follow the instructions on the Letter in the “Additional Information Documentation” field.
- To delete an attachment, highlight the file name in the “Remove Selected Attachments” section of the letter and click Save.
7. If you are not ready to send at this time, click Save. You can re-open and complete the letter at a later date/time, by following steps 1-6. Once you have provided all information requested by the Ministry, click Send to send your response to the Ministry.

2.1.2 Viewing Formal Review/Appeal Level One Decision

The ministry’s Regional/Office Manager decides on Formal Review/Appeal and advises the Consultant. A regular e-mail is sent to the Consultant stating that the decision on the Review/Appeal Level has been made and is available for viewing (by logging into the RAQS Consultant Website).

The Consultant may opt to accept the decision and approve the appraisal decided, may take no action or submit for Formal Review/Appeal Level Two, within 21 (or 30) days from the date of the Decision Letter. If no action is taken by the Consultant within the specified deadline, the rating decided at Level One Review is automatically approved in RAQS, by default.

1. The Consultant’s Key/Alternate Contact listed in RAQS, receives a regular e-mail stating that a decision has been made on the Formal Review/Appeal and is available for viewing in RAQS. The email specifies 21 day deadline for taking any action on the decision.
2. Log into the RAQS Consultant Web Site. Open the “Appraisals” Tab on the top navigation menu. Open the “Appeals Level One” tab on the left navigation menu. Navigate through the main screen to find the appropriate Appraisal. Click on the Ministry Appeal Decision Letter for the specific Assignment #.

3. Review the Appeal Decision Letter, along with any attached documentation.

4. Click the Back Button to return to the Appraisals section.
5. Navigate to the Appraisal and open it. The original rating and the rating decided by Formal Appraisal Review/Appeal Level One can be viewed under the “Performance Appraisal – Summary” Section:

6. If the rating decided by the Regional/Office Manager is accepted, approve the rating in RAQS with the following steps:
   - Enter “No” under the “Level Two Review Requested?”
   - Save & Close.
7. You are prompted to create a Consultant Approval Letter:

- To create the Approval Letter, now click **OK**
- To create the Approval Letter in the future, click **Cancel**

**NOTE:** Appraisal will not be approved until the Approval Letter has been sent. If you click **Cancel** at this time, to access the letter in the future, you will need to re-open the Appraisal and click **Edit**. Scroll down to the bottom of the page and click on the **Approval Letter** icon:

8. Review the Consultant Appraisal Approval Letter and fill in your comments.

9. Click **Send** to immediately transmit the Approval Letter to the ministry Project Manager/CCO with the copy to the Regional/Office Manager. The Appraisal will now move to “Approved” under “Appraisals” Tab.

- For sending the letter at a later date/time, click **Save**. The letter can be opened /edited, by opening the Appraisal and clicking the **Approval Letter** icon.
2.2 Requesting Formal Appraisal Review/Appeal Level Two

The consultant forwards the request for Formal Appraisal Review/Appeal Level Two to the Secretary of Qualification Committee. When requesting for Level-Two Review, the Consultant must provide the supporting documentation.

1. To submit for Formal Appraisal Review/Appeal Level Two, the Consultant enters RAQS through RAQS Consultant Site via web using ID/Password. Open the “Appraisals” Tab on the top navigation menu. Click “Appraisals” Button on the left navigation menu. Navigate through the main screen and open the appropriate Appraisal.

2. The Consultant requests for a Level-Two Formal Review/Appeal by entering “Yes” under the “Level Two Review Requested?”
Please Note:
The Consultant Appeal Level Two Letter must be sent through RAQS within the 21 day deadline specified, to the Secretary of the Qualification Committee, along with the supporting documentation attached. The Level-Two Review/Appeal will not proceed until the above Letter has been sent through RAQS. If this letter is not sent prior to the expiry of the deadline, Level-One decision is automatically approved by default.

3. Click **Save & Close**. You are prompted to create an Appeal Letter:

- To create Appeal Letter now click **OK**
- To create Appeal Letter later click **Cancel**

If **Cancel** is selected at this time, to access Appeal Letter in future, re-open the Appraisal and click **EDIT**. Scroll down to the bottom and click on the **Appeal Letter** icon:
4. Review Appeal Letter and complete the following steps:

- Fill in the “Comments” section at the bottom of the Letter.

- Attach the justification/documentation under the “Attached Appeal Documentation” section. After attaching each document, click:

The attached files will show up in the “Attachments” section of the letter. Any document type (doc, xls, PDF, etc.) can be attached.
5. To delete an attachment, highlight the File name in the “Remove Selected Attachments” section of the letter and click **Save**.
- To save Appeal Letter without sending it, click Save. The letter can be re-opened by opening the Appraisal and clicking Appeal Letter.

- When you have completed it, click Send to immediately transmit the Appeal Letter with attachments, to the Secretary of the Qualification Committee.

2.2.1 Responding to Additional Information Request by Qualification Committee

In conducting Formal Appraisal Review/Appeal Level-Two, the Secretary of Qualification Committee may request additional information. The Consultant will receive a regular e-mail sent to their Key/Alternate Contact listed in RAQS, informing them of the request. Additional Information Request becomes available in RAQS and the consultant views this through RAQS Consultant Site using their ID/Password.
1. To respond, log into the RAQS Consultant Website and navigate to the Appraisal referenced in the e-mail.

2. Expand the list of documents under that Appraisal by clicking the button next to the Assignment number and look for the Additional Information Request Letter.

   - Letters that have not yet been responded to will say “Sent” and show the date the Ministry sent the letter.

   - Letters that have been responded to will say “Replied” and display the date that the response was sent to the Ministry.
3. Click to view “Additional Information Request to Consultant Letter”.

4. View Additional Information that the MTO has requested under “Additional Information Request by MTO” and “Additional Information Documentation” fields.

5. Click **Edit** to draft your response. Attach Files as necessary.

6. Attach Files as necessary
   
   - Fill out the “Additional Information” field with the appropriate Additional Information
   
   - If you need to attach a document, follow the instructions on the Letter in the “Additional Information Documentation” field.
   
   - To delete an attachment, highlight the file name in the “Remove Selected Attachments” section of the letter and click **Save**.
7. If you are unable to provide all the requested information at this time, click **Save**. You can re-open and complete the letter at a later date/time, by following steps 1-6. Once you have provided all information requested, click **Send** to send your response to the Secretary of Qualification Committee.

2.2.2 Viewing Formal Review/Appeal Level Two Decision

The ministry’s Qualification Committee decides on Formal Review/Appeal decision and advises the consultant. The decision of Qualification Committee is final and is implemented immediately. Appraisal rating is approved as decided for applying in CPR at the next Quarterly calculation.

A regular e-mail is sent to the consultant stating that the decision on the Review/Appeal Level Two has been made and can be viewed (by logging into the RAQS Consultant Web Site).

1. The Consultant’s Key/Alternate Contact listed in RAQS, receives a regular e-mail stating that a decision has been made and, the Appraisal has been approved.
2. Log into the RAQS Consultant Website. Open the “Appraisals” Tab on the top navigation menu. Open the “Appeals Level Two” tab on the left navigation menu. Navigate through the main screen to find the appropriate Appraisal. Click on the Ministry Appeal Decision Letter for the specific Assignment #.

3. Review the Appeal Decision Letter, along with any attached documentation.

4. Click the Back button to return to the Appraisals section.
The Appraisal will now be viewed under “Approved” on the “Appraisals” Tab.

It can no longer be edited:

The Ministry Appeal Level Two Decision has been received and this Appraisal has been approved.
5. Navigate to the Appraisal and open it. The original rating and the rating decided by Formal Appraisal Review/Appeal Level Two can be viewed under the “Performance Appraisal – Summary” section:

<table>
<thead>
<tr>
<th>Performance Appraisal - Summary</th>
<th>Rating Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appraisal Category</td>
<td>Rating</td>
</tr>
<tr>
<td>2.1 Project Management</td>
<td>3.48</td>
</tr>
<tr>
<td>2.2 Quality of Deliverables</td>
<td>3.00</td>
</tr>
<tr>
<td>Overall Performance Appraisal</td>
<td></td>
</tr>
</tbody>
</table>

Rating Decided In Appeal: 3.28