

## Pay Progression Policy

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<b>Consultation</b>	HR Policy Group	<b>Applicable to:</b>	All staff All Sites
<b>Equality, Diversity And Human Right Statement</b>	The Trust is committed to an environment that promotes equality and embraces diversity in its performance both as a service provider and employer. It will adhere to legal and performance requirements and will mainstream Equality, Diversity and Human Rights principles through its policies, procedures, service development and engagement processes. This procedure should be implemented with due regard to this commitment.		
<b>To be read In conjunction with / Associated Documents:</b>	<ul style="list-style-type: none"> <li>• Appraisal Process, Framework and Guidance</li> <li>• Mandatory Risk Management Policy</li> <li>• Staff Induction Policy</li> <li>• Capability Policy</li> </ul>	<b>Information Classification Label</b>	<input type="checkbox"/> <b>Unclassified</b>
<b>Access to Information</b>	To access this document in another language or format please contact the policy author.		

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Version number	Page	Changes made with rationale and impact on practice	Date
1	ALL	New Trustwide policy	April 2023

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## 1. Principles

Consultation has taken place with staff side colleagues and this policy has been developed in partnership.

Regular Appraisal Contribution Conversations will be one of a number of important measures for determining whether an individual has met the expected requirements to gain their pay affecting step.

Everyone who has line manager responsibilities has access to appropriate training and development to enable them to carry out their responsibilities.

Pay Progression is not an automatic process or right for any colleague and is earned as a reward when performance, conduct and behaviour requirements can be demonstrated for their job role.

Pay progression should no longer be regarded as an annual increment.

From 1 April 2023 pay progression will only take place after two, three or five years depending on their band:

- 2, 3, 4, 8a, 8b, 8c, 8d and 9 will have one pay affecting step date as the national pay scales have an entry point entry point and a top point
- 5, 6, 7 will have two pay affecting step dates as these bands have an entry point, an intermediate point and a top point
- 8c, 8d and 9 pay progression in the last pay point in the pay band are annually re-earned. This will also apply to all staff who are currently at the top of their band. Full details of this can be found in Section 9.

Although the time spent between the pay affecting step is longer, colleagues will reach the top of their band more quickly than before.

Pay progression reviews will take place from 1 April 2023. Staff who are currently on the top of their pay band will remain on this pay affecting step, however, they will be required to re-earn the top 5% or 10% (see section 9 for full details).

## 2. Purpose

This Policy describes the appropriate management of [Insert details of why the policy is necessary, its scope and the key objectives]

The aim of this Policy is to provide a uniform and equitable approach to the calculation of annual leave and bank holiday entitlements which take into account the entitlements and arrangements defined under Agenda for Change.

### 3. Scope

The content of the policy should indicate what the Trust policy is. This should be simple as simple as possible to promote knowledge management.

### 4. Definitions

The content of the policy should indicate what the Trust policy is. This should be as simple as possible to promote knowledge management.

#### 4.1 Appraisal Contribution Conversation

Appraisal is defined as LUHFT's Appraisal Contribution Conversation which is a formal review of performance by an individual's contribution carried out by a line manager, nominated deputy or a senior colleague within that specialty. The appraisal will take place annually for all colleagues. Other terms with the same meaning previously used within the Trust include Individual Performance review (IPR) or Performance, Development and Review (PDR).

#### 4.2 Pay Affecting Step Date

Previously known as incremental pay progression / incremental points which were annually earned until colleagues reached the top point of their respective pay band. Pay progression will now be conditional on having met the pay progression standards detailed within Section 5 of this policy.

The national Agenda for Changes Pay Scales are still subject to step dates as length of service within a pay band will continue to be relevant when review pay progression. Within the Pay Scales, there are steps that are classed as 'pay affecting steps' which allow staff to progress to the next incremental point within the pay scale provided all required standards are met.

#### 4.3 National NHS Pay Award

The governments in England, Northern Ireland and Wales can use different routes to decide pay increases. Often the UK government uses the Pay Review Body process to help with their decisions on a pay award. Ministers then set the award for NHS colleagues employed on Agenda for Change contracts. This process is separate from the Pay Progression framework.

#### 4.4 Deferral

Pay progression may be deferred from the pay affecting step date until the required standards for pay progression are achieved.

#### 4.5 Mandatory Training

Mandatory training is essential training required for each role and a training matrix is available [here](#), detailing what this training is for each role. Statutory training is often referred to and is included under the definition of mandatory training.

#### 4.6 Step Dates

The pay step date is the anniversary of the date the individual commenced employment in their current band. Where staff move to a job in a higher band, their pay step will become the anniversary of the date they commenced in that new band. The exception to this is professional roles covered by annex 20 who will retain their original pay step.

Where a post is re-banded to a higher band as a result of a changed job evaluation outcome, the pay step date will become the anniversary of the agreed date that the new job description is deemed to have taken effect.

In all other cases including job changes to the same band, moving to a lower band as part of organisational change, pay steps will remain unchanged.

#### 4.7 Pay Progression Review Meeting

All staff will be invited to a Pay Progression Review Meeting with their line manager prior to reaching their pay affecting step. This meeting will be an opportunity for managers to discuss the required standards with staff and determine if they have been met to enable a pay progression.

## 5. Required Standards for Pay Progression

For colleagues to progress to the next pay affecting step point on their pay step the staff member must have met the following required standards:

- The appraisal contribution conversation process has been completed as detailed within the Appraisal Framework Guidance within the last 12 months. The outcomes are required to be in line with the Trust's standards.
- All Mandatory training has been completed.
- There is no formal capability warning in place in line with the Trust's Capability Policy.
- There is no formal disciplinary sanction live on the colleague's record.
- For line managers only: Appraisal Contribution Conversations have been completed for all their direct reports and ESR has been updated to reflect this.

The expectation is that all staff will meet the required standards and therefore be able to progress on their pay affecting step date.

Please note, this policy excludes warnings issued in line with the Sickness Absence Policy in relation to absence due to ill health.

If a staff member has a formal warning on file this will prevent them progressing through their pay affecting step. If the staff member opts to appeal against the sanction and is successful, the pay affecting step will be backdated accordingly provided all other standards have been met.

## 6. Pay Progression Review Meeting

The pay progression framework is underpinned by the mandatory annual Appraisal Contribution Conversation process and is intended to ensure that staff within each pay band have the appropriate knowledge and skills they need to carry out their roles and so make the greatest possible contribution to patient care.

It is the expectation that all staff undertake an annual appraisal contribution conversation even during years where they are not eligible for a pay affecting step.

In years where staff are eligible for a pay affecting step, they will be invited to attend a Pay Progression Review Meeting with their line manager so they can progress to the next pay step on their pay affecting step date where all standards have been met.

In preparation for the Pay Progression Review Meeting, line managers will automatically receive a notification 90 days before the next pay affecting step is due. The staff member will receive this notification 4 months prior. Upon receipt of the notification, managers should link in with staff to ensure that appropriate support has been given to meet the required standards. The line manager will invite staff to attend a meeting to review whether all requirements for the progression have been met. Appendix 4, 6 and 7 should be used to support the pay progression review meeting.

Please note, the meeting must have taken place and all steps be completed including updating ESR by the first day of the month the pay affecting step is due.

## 7. Decisions to Delay Pay Progression

It is expected that colleagues will achieve the required standards at the point of their pay affecting step date. It is also expected that colleagues and their line manager should have regular discussions about any problems in reaching the required standards before the pay affecting step date. This will allow time for issues to be raised and possible solutions found to enable the pay affecting step point to be opened on time.

Where the required standards for pay progression have not been met and there are

no extenuating circumstances an individual's pay affecting step will be delayed subject to the arrangements set out below:

- The line manager must use the pay progression review meeting to discuss the standards that have not been met and review previous discussions about these, consider any mitigating factors, and record their decision.
- As part of this discussion, the manager should agree a supportive action plan with the staff member to help them achieve the required standards. In instances where the standards continue to not be met, the manager should consider action in line with the Capability Policy.
- The line manager should advise the individual of their right to contest any decision (using the appeal process set out in section 10) where the required level of performance is deemed not to have been met and the pay affecting step is deferred. If an appeal is upheld, the pay affecting step will be applied backdated to the pay affecting step date.
- The colleague must take all necessary steps to meet the requirements as soon as possible and the line manager must provide the necessary support.
- A further pay progression review meeting should be arranged at an agreed date to review progress and, where satisfactory, initiate the opening of the pay affecting step. The effective date for progressing to the next pay affecting step should be the earliest date that the relevant requirements are shown to have been met. The pay affecting step date for future years will remain unchanged.
- Where a pay affecting step is delayed due to a live disciplinary sanction, or a formal capability process, the line manager should initiate a pay affecting step review meeting before the expiry of the sanction or capability plan. A disciplinary sanction cannot be applied retrospectively to delay a pay affecting step if it comes into effect after the pay affecting step date.
- At the pay progression review meeting the manager should confirm with the colleague that all other requirements have been met. The manager should confirm this by completing section B of the Pay Progression Declaration form (appendix 6) and by updating ESR to ensure that the colleague progresses to the next pay affecting step.

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## 8. Extenuating Circumstances

### 8.1 Appraisal Contribution Conversation

All colleagues are required to have meaningfully participated in and completed their



annual Appraisal Contribution Conversation including agreement of a personal development plan and agreed set of objectives.

Managers and colleagues must take responsibility for ensuring an annual Appraisal Contribution Conversation takes place. In the event the manager fails to hold an appraisal contribution conversation and is unable to provide evidence to show attempts to arrange an appraisal meeting the colleague will **not** have their pay progression withheld provided all other required standards are achieved. The manager should update ESR to enable the pay affecting step from the date it would normally have been effective. If the colleague fails to attend the appraisal contribution conversation and any subsequent re-arranged dates, they will be written to advising that their pay progression will be deferred. The Appraisal Framework is available [here](#).

## 8.2 Mandatory Training

All colleagues are required to attend mandatory training that has been identified as essential for their role and for them to be able to provide safe patient care.

A list of mandatory training that is required for each role is provided via the organisations training matrix which is included in appendix 7 and Managers will also make their colleagues aware of this through local induction and the Appraisal Framework process. They will also make them aware of how the training can be accessed and of what they should do if they have problems accessing the training.

Where colleagues fail to complete 100 per cent of their mandatory training, within the required period, then, unless there are exceptional mitigating circumstances the manager will defer the individual's pay affecting step date.

Pay progression will not be withheld if there is evidence (provided by the colleague) that they were not able to attend due to their manager's decision not to release them or where training has not been available.

The onus is on the colleague to take personal responsibility for completion of their mandatory training and ensuring any cancellation of mandatory training or appraisal is evidenced and re-booked.

The manager is responsible for facilitating and supporting colleagues to attend training, reviewing the monthly training reports, and ensuring any cancellation of mandatory training or appraisal is evidenced and recorded.

## 8.3 Absent from Work when Pay affecting step is Due

If a colleague is absent from work for reasons such as sickness or parental leave (e.g. maternity leave) when a pay affecting step is due, the principle of equal and fair treatment will be followed so that no detriment is suffered as a result. In the case of a planned long-term paid absence such as maternity, adoption and shared parental leave the pay progression review can be conducted early if this is reasonably practical, allowing the pay affecting step to be applied on their pay affecting step date in their absence. If a colleague is on long-term paid absence such as maternity, adoption and

shared parental leave and a pay progression review cannot be conducted prior to the pay affecting step date, the pay affecting step should be automatically applied in their absence. If there was a live warning in place at the point the individual went on leave, the pay affecting step point should be applied in their absence if appropriate, effective the day after the sanction expires.

If there was an active formal capability process underway at the point they went on leave, the pay affecting step can be delayed. The improvement process should be resumed immediately upon their return. On satisfactory completion, the period of their absence should be set aside and the pay affecting step backdated to an agreed date as if they had completed the improvement process without being absent.

## 8.4 Suspension

Where a period of suspension from work on full pay coincides with a pay affecting step date the manager should seek advice from their HR Business Partner in relation to how this should be managed.

Suspension is regarded as a neutral act. In order to ensure this is the case, the line manager should ensure that the pay affecting step point is applied from the pay review date where an individual is suspended, provided they were meeting all the required standards at the point of suspension. The manager should complete ESR to enable the pay affecting step from the date it would normally have been effective.

In the event they had not meaningfully participated and completed their annual Appraisal Contribution Conversation and mandatory training prior to going on a period of suspension the manager will write to the colleague notifying them of the reasons and that they are withholding the pay progression point until the colleague returns to work.

## 9. Re-earnable Process for Bands 8c, 8d & 9

The required standards for pay progression and then re-earnable pay for colleagues in bands 8c, 8d and 9 are the same as the required standards for all other colleagues.

Once colleagues in bands 8c, 8d and 9 have reached the top of their band, the expectation is that they will meet the required standards and will re-earn the relevant element of pay annually. The first point at which the re-earnable element becomes relevant is 12 months after colleagues have passed through their pay affecting step point to reach the top of the band.

In the year after a colleague has reached the top of bands 8c, 8d or 9, 5 per cent or 10 per cent of basic salary will become re-earnable i.e., is not guaranteed. Re-earning the relevant portion of salary is conditional on meeting the required standards. Where the required standards are met, salary is retained at the top of the band.

In 2023/24, if required standards are not met salary may be reduced by 5 per cent pay  
Pay Progression Policy, Version 1, Agreed April 2023

affecting step unless there are exceptional circumstances. The colleague will be able to restore their salary to the top of the band at the end of the following year by meeting the required standards. The colleague has the right to contest a decision to reduce their pay using the appeal process set out in section 10.

In 2024/25 and thereafter, if required standards and appraisal objectives are not met, salary may be reduced by 10%.

Colleagues who were already on one of the top two points of these bands on 31 March 2013 have reserved the rights to the relevant point. This reserved right will be retained on a marked time basis. At the end of March 2022, 5 per cent of pay will become annually earned and then, when annual increases to the top of the band add a further 5 per cent, annually earned pay will apply to 10 per cent of basic pay.

## 10. Right of Appeal

A colleague has the right to appeal against the decision to defer their pay affecting step. Colleagues at the top of Bands 8c, 8d and 9 have the right to appeal against a decision to withhold re-earnable pay.

Colleagues wishing to lodge an appeal follow the process in Section 8 and 9 and submit this within 14 calendar days of the date of their decision letter, to their Head of Department and the Business HR Team. Where the colleague is already at this level, the review will be undertaken by the relevant Director and an appropriate member of the HR Team.

The letter should outline the grounds for requesting the review and highlighting any relevant information to be taken into account.

An Appeal panel will be convened on receipt of an appeal to consider the case. The appeal hearing panel will consist of one Senior manager and an appropriate member of the Business HR Team. The remit of the Appeal panel is to consider whether the deferment of pay affecting step date (or the withholding of re-earnable pay) was fair and reasonable taking into account of the circumstances, and whether or not the criterion was met.

In exceptional circumstances the Trust reserves the right at appeal to defer the decision until relevant information is provided to ensure all information is considered.

The colleague has the right to be represented or accompanied at the appeal by either a Trade Union Representative or workplace colleague.

The Appeal hearing will be the final appeal stage and there will be no further Trust policy or procedure the colleague may use to appeal further.

In the event the appeal is upheld the appeal panel will make arrangements for the colleagues pay affecting step to be awarded and backdated.

Colleagues will be notified of the outcome of their appeal in writing no later than 5 working days of the Appeal Hearing.

## 11 Exceptions

No exceptions.

## 12 Training

We have a range of skills training support for managers and appraisers, via our learning and development team offers. You can access details [here](#)

The support includes:

- giving effective feedback
- having a development conversation
- how to have an effective one to one
- coaching skills
- Appraisal training

To understand the appraisal framework and process used at the trust there is training available via ESR. Please log into ESR and scroll down to the My Contribution Conversation icon to join. All details of which are on the staff hub at [Managing Compliance \(liverpoolft.nhs.uk\)](http://Managing Compliance (liverpoolft.nhs.uk))

## 13 Monitoring of Compliance

Minimum requirement to be monitored	Process for monitoring e.g. audit/ review of incidents/ performance management	Job title of individual( s) responsible for monitoring and developing action plan	Minimum frequency of monitoring	Name of committee responsible for Review of results and action plan	Job title of individual/ committee responsible for monitoring implementation of action plan
Objective decisions have been made to defer any pay affecting step (increment) point increases	Annual report	Associate Director of Workforce	Annual	Workforce & Education Committee	Chief People Officer / Executive People & OD Group

Review of Pay Outcomes against protected characteristics	Annual report	Associate Director of Workforce	Annual	Workforce & Education Committee	Chief People Officer / Executive People & OD Group
Sample review of pay outcomes against pay progression required standards	Annual report	Associate Director of Workforce	Annual	Workforce & Education Committee	Chief People Officer / Executive People & OD Group

## 14.Relevant regulations, standards and references

Agenda for Change Terms and Conditions of Service Handbook

## 15. Equality, diversity and human right statement

The Trust is committed to an environment that promotes equality and embraces diversity in its performance both as a service provider and employer. It will adhere to legal and performance requirements and will mainstream Equality, Diversity and Human Rights principles through its policies, procedures, service development and engagement processes. This SOP should be implemented with due regard to this commitment.

## 16.Legal requirements

This document meets legal and statutory requirements of the EU General Data Protection Regulation (EU 2016/679) and all subsequent and prevailing legislation. It is consistent with the requirements of the NHS Executive set out in Information Security Management: NHS Code of Practice (2007) and builds upon the general requirements published by NHS Digital/Connecting for Health (CfH).

## 17. Appendices

## Appendix 1: Equality impact assessment

<b>Title</b>	
<b>Strategy/Policy/Standard Operating Procedure</b>	
<b>Service change (Inc. organisational change/QEP/ Business case/project)</b>	
<b>Completed by</b>	
<b>Date Completed</b>	

**Description** *(provide a short overview of the principle aims/objectives of what is being proposed/changed/introduced and the impact of this to the organisation)*

**Who will be affected** *(Staff, patients, visitors, wider community including numbers?)*

The Equality Analysis template should be completed in the following circumstances:

- **Considering developing a new policy, strategy, function/service or project(Inc. organisational change/Business case/ QEP Scheme);**
- **Reviewing or changing an existing policy, strategy, function/service or project (Inc. organisational change/Business case/ QEP Scheme):**
  - If no or minor changes are made to any of the above and an EIA has already been completed then a further EIA is not required and the EIA review date should be set at the date for the next policy review;
  - If no or minor changes are made to any of the above and an EIA has NOT previously been completed then a new EIA is required;
  - Where significant changes have been made that do affect the implementation or process then a new EIA is required.

Please note the results of this Equality Analysis will be published on the Trust website in accordance with the Equality Act 2010 duties for public sector organisations.

Section 1 should be completed to analyse whether any aspect of your paper/policy has any impact (positive, negative or neutral) on groups from any of the protected characteristics listed below.

*When considering any potential impact you should use available data to inform your analysis such as PALS/Complaints data, Patient or Staff satisfaction surveys, staff numbers and demographics, local consultations or direct engagement activity. You should also consult available published research to support your analysis.*

### Section 1 – Initial analysis

Equality Group	Any potential impact? Positive, negative or neutral	Evidence <i>(For any positive or negative impact please provide a short commentary on how you have reached this conclusion)</i>
<b>Age</b> <i>(Consider any benefits or opportunities to advance equality as well as barriers across age ranges. This can include safeguarding consent, care of the elderly and child welfare)</i>		
<b>Disability</b> <i>(Consider any benefits or opportunities to advance equality as well as impact on attitudinal, physical and social barriers)</i>		
<b>Gender Reassignment</b> <i>(Consider any benefits or opportunities to advance equality as well as any impact on transgender or transsexual people. This can include issues relating to privacy of data)</i>		
<b>Marriage &amp; Civil Partnership</b> <i>(Consider any benefits or opportunities to advance equality as well as any barriers impacting on same sex couples)</i>		
<b>Pregnancy &amp; Maternity</b> <i>(Consider any benefits or opportunities to advance equality as well as impact on working arrangements, part time or flexible working)</i>		
<b>Race</b> <i>(Consider any benefits or opportunities to advance equality as well as any barriers impacting on ethnic groups including language)</i>		
<b>Religion or belief</b> <i>(Consider any benefits or opportunities to advance equality as well as any barriers effecting people of different religions, belief or no belief)</i>		
<b>Sex</b> <i>(Consider any benefits or opportunities to advance equality as well as any barriers relating to men and women eg: same sex accommodation)</i>		
<b>Sexual Orientation</b>		

*(Consider any benefits or opportunities to advance equality as well as barriers affecting heterosexual people as well as Lesbian, Gay or Bisexual)*

If you have identified any **positive** or **neutral** impact then no further action is required, you should submit this document with your paper/policy in accordance with the governance structure.

You should also send a copy of this document to the equality impact assessment email address.

If you have identified any **negative** impact you should consider whether you can make any changes immediately to minimise any risk. This should be clearly documented on your paper cover sheet/Project Initiation Documents/Business case/policy document detailing what the negative impact is and what changes have been or can be made.

**If you have identified any negative impact that has a high risk of adversely affecting any groups defined as having a protected characteristic then please continue to section 2.**

### Section 2 – Full analysis

If you have identified that there are potentially detrimental effects on certain protected groups, you need to consult with staff, representative bodies, local interest groups and customers that belong to these groups to analyse the effect of this impact and how it can be negated or minimised. There may also be published information available which will help with your analysis.

<b><u>Is what you are proposing subject to the requirements of the Code of Practice on Consultation?</u></b>	Y/N
<b>Is what you are proposing subject to the requirements of the Trust’s Workforce Change Policy?</b>	Y/N
<b>Who and how have you engaged to gather evidence to complete your full analysis? (List)</b>	
<b>What are the main outcomes of your engagement activity?</b>	
<b>What is your overall analysis based on your engagement activity?</b>	

### Section 3 – Action Plan

You should detail any actions arising from your full analysis in the following table; all actions should be added to the Risk Register for monitoring.



Action required	Lead name	Target date for completion	How will you measure outcomes

Following completion of the full analysis you should submit this document with your paper/policy in accordance with the governance structure.

You should also send a copy of this document to the equality impact assessment email address

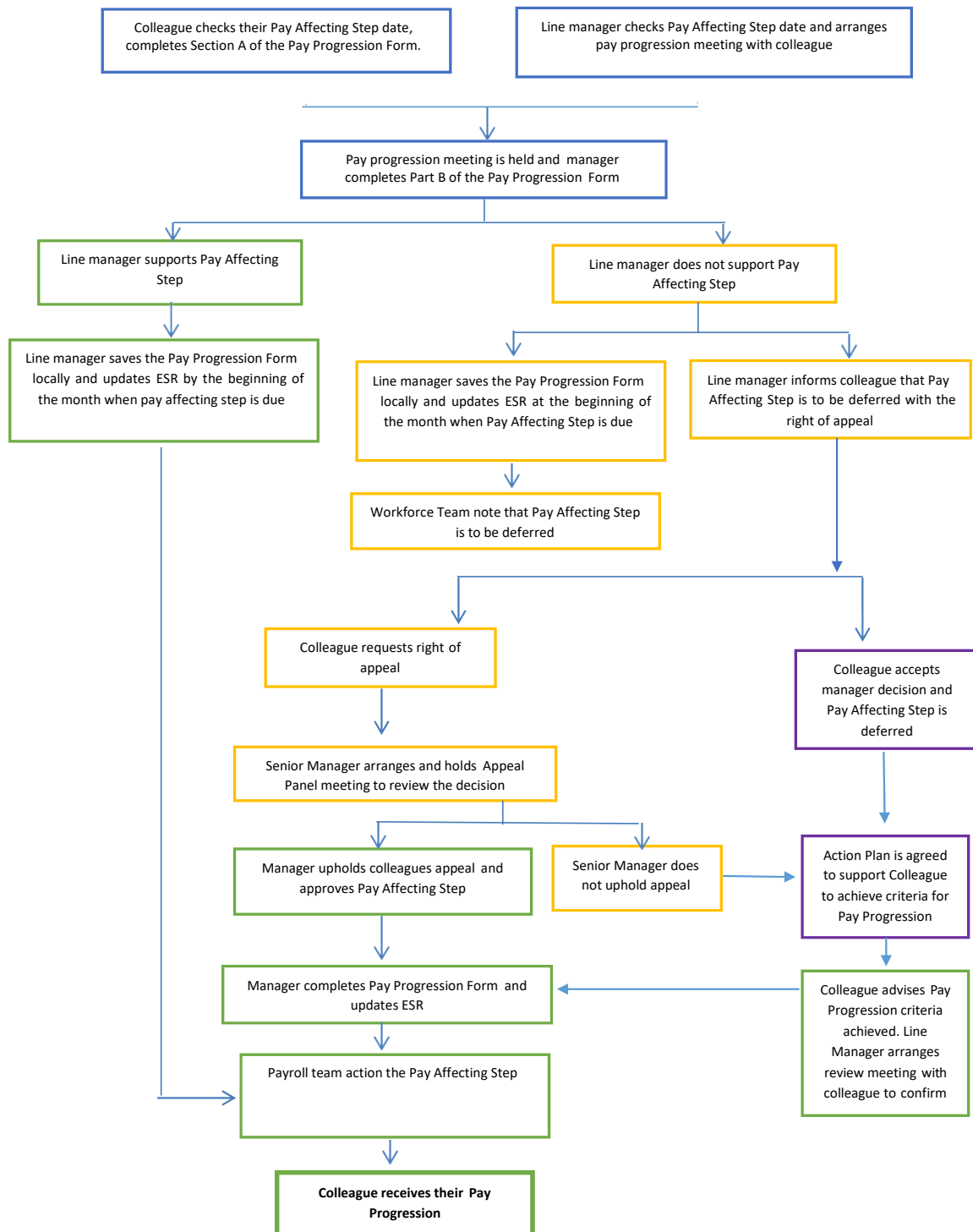
**Section 4 – Organisation Sign Off**

Name and Designation	Signature	Date
Individual who reviewed the Analysis		
Chair of Board/Group approving/rejecting proposal		
Individual recording EA on central record		

**Appendix 2: Roles and responsibilities**

Role	Responsibility
<b>Employee</b>	All colleagues have a responsibility to undertake their mandatory training as specified by the Trust; to actively engage in the appraisal contribution conversation process, and to attend work in order to deliver their objectives. All of these contribute to achieving their pay affecting step.
<b>Line Manager</b>	Line managers are responsible for ensuring that they conduct their direct reports their pay progression review meetings in a timely manner and ensure ESR is updated and submitted before the pay affecting step date.
<b>Chief People Officer</b>	The Chief People Officer is responsible to the Trust Board for the operation of this policy.
<b>Human Resources</b>	People and OD are responsible for the promotion of this policy and provide guidance and support to managers and colleagues. People and OD are also responsible for the monitoring, review, implementation and operation of the policy.

### Appendix 3: Flow chart of process



## Appendix 4: Expected levels of achievement

The Trust sees the contents of this policy as part of the first phase in achieving high levels of performance in the Trust. It will be continuously reviewed and updated.

In determining levels of performance and achievement, it is acknowledged that this sometimes varies but this should be recognised. Line Managers will need to achieve additional measures of performance than other colleagues in the Trust. The Trust believes that Line Managers should lead by example and have inherent responsibilities to meet minimum required standards of performance.

NB. A Line Manager is defined as a manager who is **directly** responsible for the performance of their direct reports. Line Managers who have **indirect** responsibility for other colleagues, for the purposes of this definition in this policy, will not be held responsible for the minimum levels of performance expected in the Trust, as the principle of 'delegated responsibility' to other line managers/supervisors in this hierarchy, will have this responsibility. It therefore follows that this could apply to Bands 3 – 9 Line Managers and supervisors. This is best illustrated in the example below on a ward which is not untypical.

Example 1 – A typical ward would comprise of a Ward Nurse Manager at band 7 followed by staff in bands 6 through to band 2.

In this scenario, the organisation of appraisals and Mandatory Training could be arranged so that the Ward Manager takes responsibility for the Band 6s; the Band 6s each took responsibility for the Band 5s and the Band 5s took responsibility for the Band 4s, 3s and 2s. It would not be expected that any manager or supervisor would typically have responsibility for more than 8 colleagues which would make the process far more manageable. As this is delegated responsibility, the Ward Manager would maintain direct responsibility.

Example 2 – A typical departmental manager at band 7 would follow the same principle as example 1, delegating each level of responsibility.

The vast majority of the Mandatory Core Skills Framework Training is available via e-learning, although some training is required face to face at certain periods. Compliance rates with the Core Skills and Mandatory Patient Safety Training can be obtained by the colleague and the manager accessing the ESR Portal. For colleagues this is shown on the section of 'My Compliance' and for managers under 'Team Compliance' and then 'Manager Compliance'.

Line Managers will have additional minimum levels of performance from other colleagues. Line Managers will need to achieve their own personal minimum levels of performance and also ensure that their direct reports also achieve their own minimum levels of performance.

Appendix 5: Pay progression form

**Section A – Colleague Declaration**

To be completed for all Pay affecting Step applications, which must be submitted to your Line Manager at your Pay Progression Review Meeting prior to your Pay affecting Step date. **Information provided needs to be relevant at the Pay Progression Step date.**

Name: ..... Job Title: .....

Band: ..... Pay affecting step Date: .....

Assignment Number: .....

<b>I can confirm that:</b>	
All of my Mandatory Training is up-to-date and is recorded as compliant.	*Agree / Disagree
I have achieved a satisfactory appraisal and associated objectives within the past 12 months, insert date of last appraisal in the box opposite	*Agree / Disagree Date: _____
I do not have any live formal disciplinary warnings. If so, please insert expiry date of disciplinary sanction in the box opposite	*Agree / Disagree Date: _____
I am not on a formal stage of the capability process	*Agree / Disagree
<b>Line managers only</b> I am compliant with my staff appraisals at a completion rate of at least 80%	*Agree / Disagree
<b>Line managers only</b> I am compliant with my staff Mandatory Core Skills Framework/ Patient Safety Training at a completion rate of at least 80%	*Agree / Disagree

\*Circle as appropriate and insert comments where applicable

Please note any mitigating circumstances that may have prevented you from achieving the required standards in relation to your Pay Progression Step.

**Signed:** ..... **Dated:** .....

Please ensure that you submit this to your Line Manager no less than two months prior to the month that your Pay Progression Step date is due. Submitting this late may affect pay where Pay Progression is achieved.

**NOTE: You are signing a declaration, if the information contained on this form is found to be inaccurate; this could be construed as fraud.**

**Section B – Line Manager Declaration**

\*Circle as appropriate and insert comments where applicable

<p><b>I can confirm that:</b></p>	
<p>This colleague has met the pay progression required standards of: - All Mandatory Core Skills Framework/ Patient Safety Training up to date. Satisfactory appraisal (within past 12 months). No live formal disciplinary warnings. Not on formal stage of capability process and will now progress to the next pay progression step point. <b>OR</b></p>	<p>*Agree / Disagree Confirm date of last appraisal</p>
<p>This colleague has failed to meet the required standards for Pay Progression but that there are organisational constraints beyond their control that have prevented the achievement of this and will therefore progress to the next pay progression step point. <b>OR</b></p>	<p>*Agree / Disagree</p>
<p>This colleague is on long term absence e.g. maternity/paternity/adoption leave; secondment; or on long term sickness absence but they have been assessed on their performance over the 12 months prior to their current period of absence and will progress to the next pay progression step point. <b>OR</b></p>	<p>*Agree / Disagree</p>
<p>This colleague has failed to meet the criteria for pay progression and that there are no valid organisational constraints that have prevented this therefore pay progression is deferred. <b>OR</b></p>	<p>*Agree / Disagree</p>
<p>Pay bands 8C, 8D and 9 only. The colleague has met the performance criteria for pay progression or retention of re- earnable pay <b>OR</b></p>	<p>*Agree / Disagree</p>

I am declining the request for pay progression/retention of re-earnable pay and that the colleague should have their pay reduced by 5% or 10%	*Agree / Disagree
I confirm that I have made the colleague aware of this decision and the right of appeal.	*Agree / Disagree / N/A

**Name:** ..... **Job Title:** .....

**Signed:** ..... **Dated:** .....

**NOTE:** You are signing a declaration, if the information contained on this form is found to be inaccurate; this could be construed as fraud and my result in Disciplinary action being taken.

Please ensure you securely retain a copy of this form for future reference and that ESR is updated correctly at the beginning of the month, in the month prior to the Pay Affecting Step Date. See ESR Guidance document on how to do this.

## Appendix 6 Mandatory Training Matrix

Mandatory Training Modules	Renewal Period	Delivery Options	Registered Nurse	Clinical Staff	AHP	Medical Staff	Non Clinical Staff
NHSICSTEEquality, Diversity and Human Rights - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSICSTEEFire Safety - 2 Years	2 Years	e-Learning	✓	✓	✓	✓	✓
NHSICSTEEHealth, Safety and Welfare - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSICSTEEInfection Prevention and Control - Level 1 - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIInfection Control - Level 2 - 1 Year	Annually	e-Learning	✓	✓	✓	✓	
NHSICSTEEMoving and Handling - Level 1 - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIMoving & Handling for People Handlers - 3 Years	3 Years	Face-to-Face	✓	✓	✓	✓	
NHSICSTEEResuscitation - Level 1 - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIResuscitation Level 2 - 1 Year	Annually	Face-to-Face	✓*	✓*	✓*	✓*	
NHSIMANDIResuscitation Level 3 - 1 Year	Annually	Face-to-Face	✓**	✓**	✓**	✓**	
NHSICSTEEsafeguarding Adults - Level 1 - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSICSTEEsafeguarding Children - Level 1 - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIData Security Awareness - Level 1	Annually	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIPrevent Awareness - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓
NHSIMANDIPrevent WRAP - No Renewal	One-off	e-Learning	✓	✓	✓	✓	
287 LOCAL PBL5-Paediatric Basic Life Support	Annually	Face-to-Face	✓***	✓****		✓*****	
NHSIMANDIConflict Resolution - 3 Years	3 Years	e-Learning	✓	✓	✓	✓	✓

\* Patient Facing Staff only, Consultants in Non-Acute Areas

\*\* Clinically Registered staff and Consultants in Acute Areas|

\*\*\* Only those in these areas: ED, Ophthalmology, Dental Nurses, MET Nurses, Nurse Clinicians, Dermatology Nurses, Nurse Practitioners

\*\*\*\* All ODPs & Assistant Practitioner Nursing, HCA's + Nursing Associates within ED, Ophthalmology and dental

\*\*\*\*\* All F1s, F2s and Dental Core Trainees



## Appendix 7. Letter Confirming Pay Progression Achieved

**POST OR EMAIL TO COLLEGE FOR RECEIPT NO LATER THAN 5 WORKING DAYS FOLLOWING MEETING**

**NAME**  
**ADDRESS**  
**ADDRESS**  
**ADDRESS**

**PRIVATE AND CONFIDENTIAL**

**DATE**

Dear **NAME**,

Further to your pay progression meeting held on **DATE** I am writing to advise you that you have attained the necessary levels of performance across the various measures contained in the Pay Progression Policy.

I am very pleased to note this achievement and I would like to congratulate you on your progress.

In recognition of this, I am pleased to confirm that you will receive your Pay Progression Step affecting Point increase. I can confirm that I have completed the relevant forms and submitted these so that you will receive the increase at your Pay Progression Step Date.

Please treat this recognition as a very positive response to your contribution to the Trust's overall aims and objectives, which need to be maintained over the forthcoming 12 months.

Yours sincerely

**MANAGER Name**  
**Job Role**

## Appendix 8. Letter Confirming Pay Progression is to be Deferred

### POST OR EMAIL TO COLLEAGE FOR RECEIPT NO LATER THAN 5 WORKING DAYS FOLLOWING MEETING

**NAME**  
**ADDRESS**  
**ADDRESS**  
**ADDRESS**

**PRIVATE AND CONFIDENTIAL**

**DATE**

Dear **NAME**,

Further to your pay progression meeting held on **DATE** I am writing to advise you that, unfortunately you have failed to achieve the necessary levels of performance across the various measures contained in the Pay Progression Policy.

During your review meeting we discussed the expected performance criteria, and it is my assessment that you have failed to achieve the following:

- Note the areas not achieved.

Due to this I have taken the decision to defer your Pay Progression Step Point which is due on **DATE** until **DATE**.

I am very keen that you are able to meet the minimum levels of performance required by the Trust as soon as possible and that we were able to agree an Action Plan and Timescales as we discussed at your Pay Progression Review Meeting. I have enclosed the Action Plan for your information. I will ensure that you receive all appropriate support and assistance to achieve steps in this Action Plan.

If you feel that the decision to defer your Pay Progression Step Affecting Date has been reached using inaccurate data or that there are mitigating circumstances or other information available that requires consideration, you may request a formal appeal of this decision. If you wish to do this, please submit your appeal in writing, clearly setting out the grounds for your appeal to **NAME, JOB ROLE**, within 10 working days of receipt of this letter.

At any subsequent appeal meeting, you may, if you wish, be accompanied by a trade union representative or a work colleague.

If you wish to discuss the contents of this letter please contact me on **EMAIL**. Yours sincerely

Manager **NAME JOB ROLE**

## Appendix 9. Letter Confirming the Outcome of the Pay Progression Appeal Meeting

**POST OR EMAIL TO COLLEAGE FOR RECEIPT NO LATER THAN 5 WORKING DAYS FOLLOWING MEETING**

**NAME**  
**ADDRESS**  
**ADDRESS**  
**ADDRESS**

**PRIVATE AND CONFIDENTIAL DATE**

Dear **NAME**,

I write to confirm the outcome of the formal appeal meeting that was held on **DATE**. You were accompanied by **NAME**, **Trade Union representative/Work colleague**. Also present was **NAME**, HR **Advisor/Business Partner** and **NAME**, **JOB ROLE** (senior Manager(delete)).

The appeal was arranged to review the decision taken by **NAME**, **JOB TITLE**, who is your line manager, to defer your Pay Progression Step Affecting Date increase.

You felt that the decision to defer your Pay Affecting Step Date was unfair for the following reasons:

- Point 1
- Point 2

I heard evidence from your line manager **NAME**, that you had not achieved the following performance measures:


- Point 1
- Point 2

Your line manager determined the following reasons for not achieving the performance measures were as follows:

- Point 1
- Point 2

Having heard all of the evidence I feel that the decision by your line manager was fair and reasonable, and your Pay Affecting Step Date will therefore be deferred until **DATE**. To achieve your Pay Affecting Step date you will need to engage with the Action Plan and timeframe with your line manager. This is a final decision and there will be no further right of appeal through this process or the grievance procedure.

Having heard all of the evidence I feel that the decision by your line manager was unfair and unreasonable, due to **(LIST REASONS)** and your Pay Affecting Step Date will be applied and back dated to your Pay Progression Step Point date

A decorative graphic in the top-left corner consisting of several overlapping, curved, semi-transparent shapes in shades of pink, purple, green, and orange.

Yours sincerely

**Manager NAME Job ROLE**