Pay Progression Recording Guidance

Contents

Overview

This guidance should be used to support the input of completed Pay Progression Meeting details to ESR.

Please follow the steps in this guidance closely to ensure that Pay Progression Meeting outcomes are recorded appropriately and marked as complete.

<u>FAILURE TO RECORD PAY PROGRESSION OUTCOMES WITHIN ESR WHEN STAFF HAVE SATISFIED REQUIRED CRITERIA WILL RESULT IN DELAYS FOR STAFF RECEIVING THEIR SALARY INCREASE.</u>

Criteria to be Satisfied

In line with national requirements staff must satisfy the following criteria in order to pass through a pay effecting pay step date:

- Appraisal completed in the 12 month period prior to a pay effecting pay step date
- 100% Mandatory Training compliance at the date of the pay effecting pay step date
- No formal capability process or disciplinary sanction in place
- FOR MANAGERS ONLY: All appraisals for their direct reports have been completed

Please also refer to the Trust's Pay Progression Policy and National AfC T&C's (links at the end of this document).

<u>IMPORTANT**</u>**

Pay Progression Meetings are completed in ESR using the same functionality as those used for Appraisals.

There will be sections which appear exactly the same when recording a completed Appraisal and a Pay Progression Meeting.

Care should be taken to choose the correct review type and template relating to pay progression and not appraisals.

Pay Progression Meeting must be recorded before the payroll cut off and no later than 2nd of the month when the pay step date is due.

If a Pay Progression Meeting is recorded in ESR after the prescribed deadline of the 2nd of the month, managers must also inform the Employment Team (Employment@liverpoolft.nhs.uk) for manual uplift (please include in the name of the employee, assignment number, outcome of the pay progression meeting and date of pay uplift).

In cases of deferrals pay uplifts can only be actioned manually. In these instances information must be recorded within ESR and details (employee name, assignment number and the date of deferred pay uplift) must also be emailed to Employment@liverpoolft.nhs.uk.

ESR Notifications

In addition to the reports which are available to those with Supervisor Self Service access (see page 5) employees will receive two notifications from ESR.

The first will be sent 4 months in advance of their pay effecting pay step dates, and the second 1 month in advance.

Immediate managers will also receive a notification for their direct reports 90 days before their pay effecting pay step date.

Pay Progression Data Which Must be Recorded

Pay Progression Meeting outcomes must be recorded by the manager. They should not be recorded by the employee themselves. There are two approaches to recording (within appraisals section) as detailed below. Both approaches require the input of basic (appraisal) data as follows:

DATA ITEM	INPUT DETAILS
Review Type:	Pay Progression Meeting
Period Start Date:	Start of the 12 mnth period prior to pay progression meeting
Period End Date:	End of the 12 mnth period prior to pay progression meeting
Template:	Pay Progression Meeting
Appraisal Date:	The date of the Pay Progression Meeting
Assignment Number:	The employee assignment number – this will auto populate
Main Reviewer:	The person who is the appraiser. This will normally auto populate with the employee's ESR supervisor

EXAMPLE: If a pay effecting pay steps date is 15th June 2023 the following details would be entered as below.

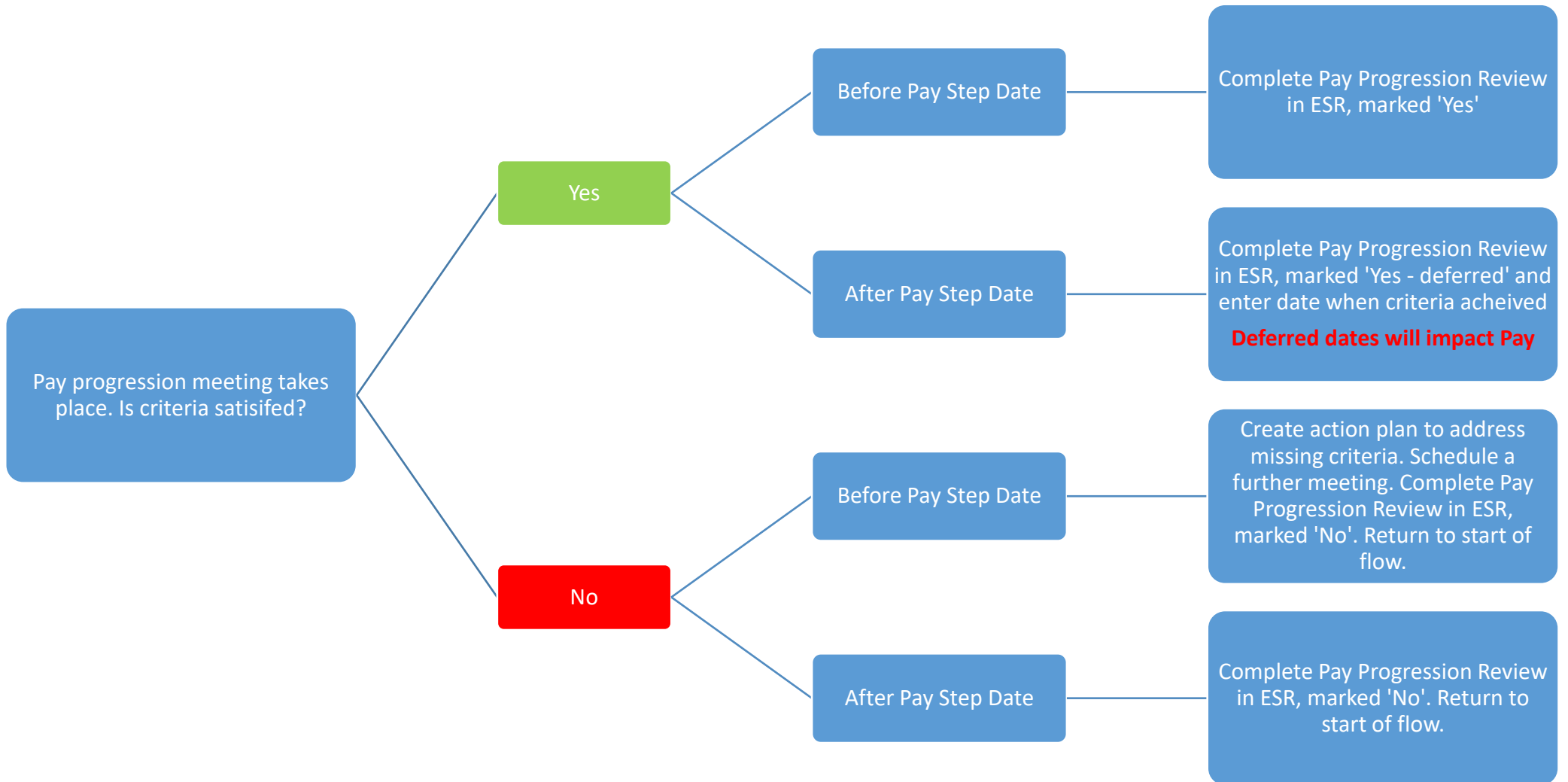| DATA ITEM	INPUT DETAILS
Review Type:	Pay Progression Meeting
Period Start Date:	15th Jun 2022
Period End Date:	14th June 2023
Template:	Pay Progression Meeting
Appraisal Date:	15th June 2023
Assignment Number:	The employee assignment number – this will auto populate
Main Reviewer:	The person who is the appraiser. This will normally auto populate with the employee's ESR supervisor

IMPORTANT

Recording the above data **AND** marking the Pay Progression Meeting as complete will open the record and allow it to automatically progress to the next salary point on the pay scale.

If a Pay Progression Meeting is recorded within ESR and it is only saved, or not recorded at all it will **NOT** open record and pay will **NOT** automatically progress to the next salary point on the pay scale.

Flow Chart for Pay Progression Meeting Outcomes

Follow the below flow chart to determine actions which need to be recorded **within ESR** following Pay Progression Meetings.

```
Pay progression meeting takes place. Is criteria satisifed?
    │
    ├── Yes
    │    ├── Before Pay Step Date ──── Complete Pay Progression Review in ESR, marked 'Yes'
    │    │
    │    └── After Pay Step Date ──── Complete Pay Progression Review in ESR, marked 'Yes - deferred' and enter date when criteria acheived
    │                                  **Deferred dates will impact Pay**
    │
    └── No
         ├── Before Pay Step Date ──── Create action plan to address missing criteria. Schedule a further meeting. Complete Pay Progression Review in ESR, marked 'No'. Return to start of flow.
         │
         └── After Pay Step Date ──── Complete Pay Progression Review in ESR, marked 'No'. Return to start of flow.
```

Pay Progression Guide: Identifying Staff who require pay progression meetings

Please read on for detailed guidance on how to identify staff within your supervisor hierarchy who are due a Pay Effecting Pay Step Pay date, and when.

<u>Remember:</u> **Pay Progression Meetings must be recorded before the 2nd of the month in which the Pay Effecting Pay Step falls to ensure smooth processing of any pay increases.**

This information is key to ensure that you know when your direct reports will require a Pay Progression Meeting and will allow you to proactively schedule in Pay Progression Meetings!

**Red boxes highlight key fields and buttons to be used.**

Identifying Direct Reports with Pay Effecting Pay Step Dates in the Next 12 Months – Step by Step Guidance

This requires that the completing Manager has their smartcard and can log into ESR Supervisor Self Service with it.

The employee who is being appraised must also sit beneath the Manager in the ESR Supervisor Hierarchy for their record to be visible.

1. The Manager accesses their ESR account. **ACCESS MUST BE MADE USING A SMARTCARD.**
    If you do not have a smartcard or for locked/existing smartcards please email
    smartcards@liverpoolft.nhs.uk **or call 0151 706 2462.**

2. On the ESR Landing page navigate to the 'Manager' tab and the 'My Team Pay Progression' portlet.

    Within the table shown in the 'My Team Pay Progression' portlet click on the number assignments. Wait a second and your cursor will change to a spinning blue circle to indicate ESR is loading.
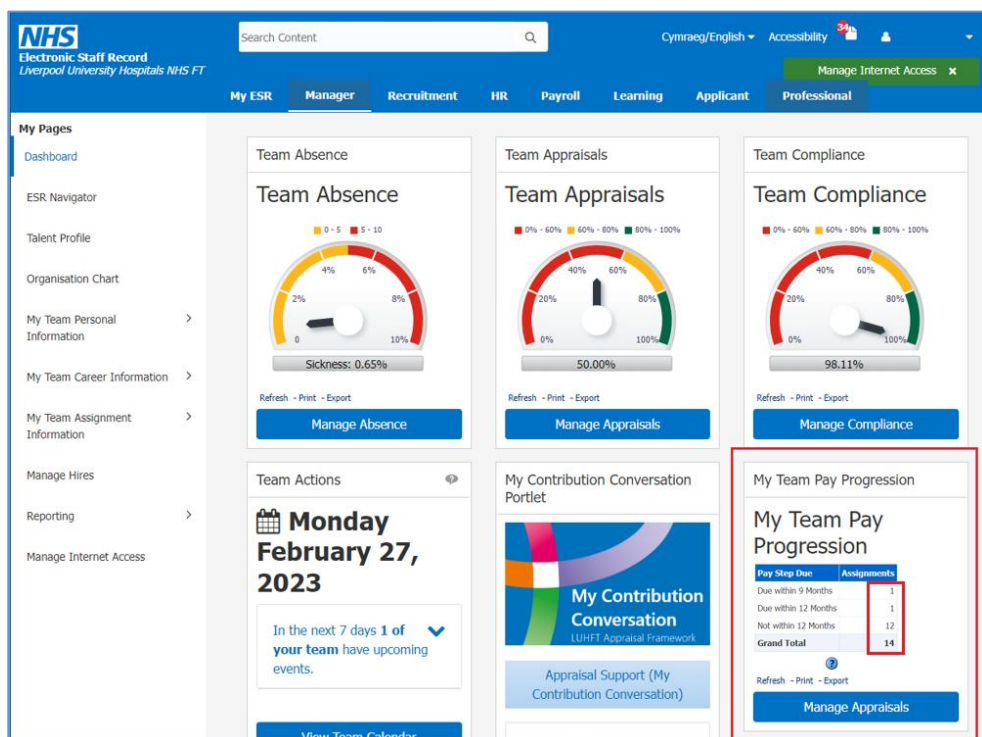
3. A new tab will open in the browser titled 'ESR Business Intelligence Reporting' and the National Pay Progression dashboard will show.

    This report will show all staff within your supervisor hierarchy, i.e. those who are your direct reports, together with any staff who are their direct reports etc. It will also detail their pay step dates, and pay effecting pay step dates.

This report can be used to proactively schedule Pay Progression Meetings with your direct reports.

The report will also show Pay Progression Meetings which have been recorded so you can check that all required actions have been completed in advance of any pay effecting pay step dates.

(Please note that this report requires an overnight update to refresh so any completed Pay Progression Meetings will not show until the day after they have been entered)

The report can be exported to Excel and .csv format for use outside of ESR in instances should records wish to be kept locally or to keep track of any planned actions which will happen outside of ESR.

PLEASE BE MINDFUL OF DATA PROTECTION SHOULD YOU DECIDE TO EXPORT THIS REPORT.

Pay Progression Requirements for Input to ESR

- **All Pay Progression Meetings where staff have met the required criteria must be recorded in ESR otherwise the pay step will not be opened, and the employee will not receive an incremental increase to their pay. The Pay Progression meeting can only be recorded by those who have ESR Supervisor Self Service access rights, this may be your direct ESR supervisor, a manager or you may have a designated person who's role is to manage your development, such as a PEF, as long as they have access to the Supervisory Self Service and can view your record in their supervisor hierarchy.**

- Supervisor Self Service <u>MUST</u> be accessed using a smartcard. It should be noted that when logging in to ESR using a manually typed username and password this will only give access to an individual's record via ESR Employee Self Service. It will not give access to Supervisor Self Service.
  If you do not have a smartcard or for locked/existing smartcards please email smartcards@liverpoolft.nhs.uk or call 0151 706 2462.

- Supervisor hierarchies <u>MUST</u> be in place to allow manager access to records for the staff within their team(s). For any admin support it is advised that the Supervisor Self Service user sets 'Proxy Access' which will allow their admin resource to undertake actions on their behalf. Click here to watch the tutorial which shows how to set up Proxy Access.

- Pay Progression Meetings <u>MUST</u> be recorded in ESR as soon as possible and <u>no later than the 2nd of the month when the Pay Effecting Pay Step Date falls</u>.

    For example, a Pay Effecting Pay Step Date is 25th August. The Pay Progression Meeting must be completed, and outcomes recorded within ESR on or before 2nd August for it to be captured in the August payroll processes.

    <u>Recording Pay Progression after this deadline may result in delayed increases to pay.</u>

- If criteria are met on, before or after a pay step date a Pay Progression Meetings <u>MUST</u> be recorded in ESR.

- Any Pay Progression Meetings when criteria have <u>NOT</u> been met by the pay step date <u>MUST</u> be recorded in ESR.

- In instances when an employee only meets the required criteria after their Pay Effecting Pay Step Date this <u>MUST</u> be recorded in ESR as 'Yes - deferred' together with the date when criteria have been met. Pay will only be increased from this deferred date. Annual Pay Step Dates will remain in these instances (see page 10 of this document for more details on how to record deferrals).

- Pay Progression forms, as per the Trust policy <u>MUST</u> be completed during the meeting. A copy <u>MUST</u> be provided to the individual for their retention and retained by the manager. This will be additional verification for the employee confirming that their pay step should be open. This will be supplemented with an ESR notification to the employee confirming when the Pay Progression Meeting has been recorded in ESR.

Recording your Pay Progression Meeting on ESR – Step by Step Guidance

<div style="border:1px solid red">

Please read on for detailed guidance on how to record Pay Progression Meetings within ESR

Red boxes highlight key fields and buttons to be used.

You need to underline complete all steps to successfully record a pay progression meeting and for pay step increases to happen

</div>

This approach requires that the completing Manager or their designated admin support resource has a smartcard and can log into ESR Supervisor Self Service with it.

If you do not have a smartcard or for locked/existing smartcards, please email smartcards@liverpoolft.nhs.uk or call 0151 706 2462.

The employee who is approaching the pay effecting pay step date must also sit beneath the Manager in the ESR Supervisor Hierarchy for their record to be visible and accessible. **For enquiries to correct or update your supervisor hierarchy, please contact workforce@liverpoolft.nhs.uk.**

1. The Manager accesses their ESR account. **ACCESS MUST BE MADE USING A SMARTCARD.**

2. On the ESR Landing page navigate to the 'Manager' tab and then click on the 'Manage Appraisal' button available in the 'Team Appraisals' or 'My Team Pay Progression' portlets.
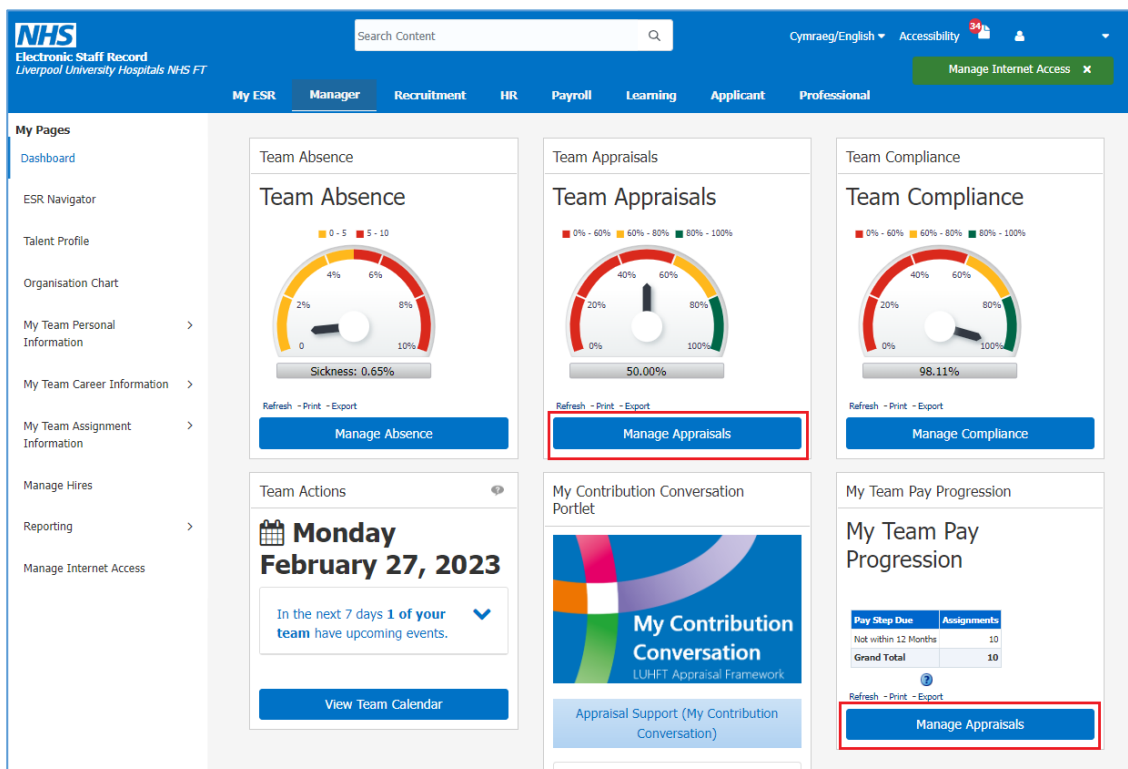
On the next screen click on the 'Go' button next to 'Create: Standard Appraisal'.
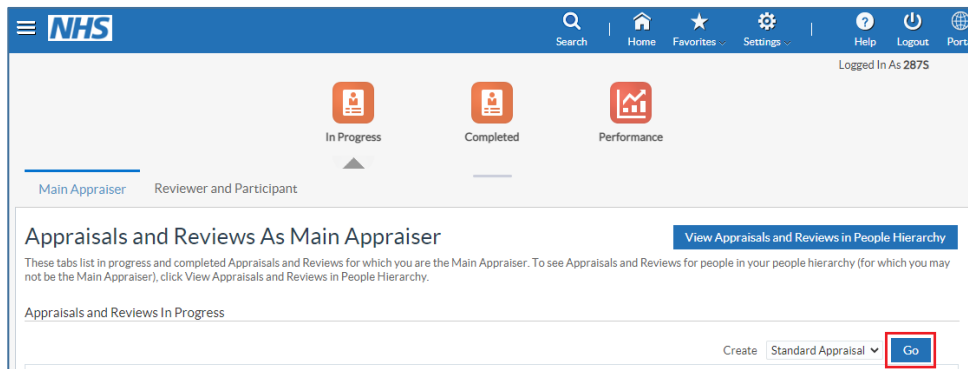
3. You will now be presented with the 'People in Hierarchy' screen.

    To find the record for the person who you wish to record a Pay Progression Meeting for either search through the table which lists the staff within your supervisor hierarchy (if any names have a plus icon to the left of their name if this is clicked it will expand the view). Alternatively enter the surname in the field in the top right of the screen and press 'Go'.

    Once you have the required record click on the 'Action' icon.
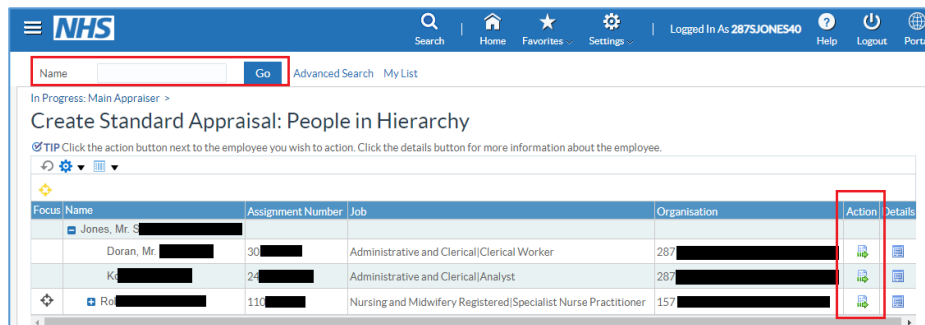
4. You will now be presented with the Create Standard Appraisal screen.

    It is advised that the manager has all required basic appraisal details available before entering details. This must include the following information;

DATA ITEM	INPUT DETAILS
Review Type:	Pay Progression Meeting
Period Start Date:	15th Jun 2022
Period End Date:	14th June 2023
Template:	Pay Progression Meeting
Appraisal Date:	15th June 2023
Assignment Number:	The employee assignment number – this will auto populate
Main Reviewer:	The person who is the appraiser. This will normally auto populate with the employee's ESR supervisor

When entering the Main Appraiser details their name should be entered in the following format; Surname%First Name%, with % being a wildcard figure.

5. Once details have been added click on the 'Add Details' button.
    DO NOT CLICK THE 'SAVE AND CLOSE' BUTTON.

6. You must now enter the outcome of the Pay Progression Meeting, and this is done by selecting the option from the appropriate entry from the drop-down menu within the 'Overall Rating' field.


Select from the following option:

| 1 - Yes	Select this if all applicable criteria have been satisfied on or before the pay step date
2 – No	Select this if all applicable criteria have **NOT** been satisfied
3 – Yes following initial deferral*	Select this if all applicable criteria have been satisfied but **AFTER** the pay effecting pay step date*

In cases when '3 – Yes following initial deferral' is entered the 'Date of Re-Instatement' must also be entered. This will be the date when criteria have been satisfied and the date when pay will be uplifted. Any deferred pay progression must be recorded in ESR and details also emailed to employment@liverpoolft.nhs.uk for action

7. **RE-EARNABLE – Only for staff paid at Band 8c, 8d and 9.** For those who have reached the top of the salary scale and **not** met the required standards pay can be **reduced** by 5% or 10%. Select option '2 – No' and the required reduction from the 'Pay Reduction' drop down menu. *Please refer to the Trust policy and national terms and conditions for further information about re-earnable pay progression.*

8. Click on the 'Save and Proceed' button.
    DO NOT CLICK THE 'SAVE AND CLOSE' BUTTON.

9. Click on the 'Submit' button.
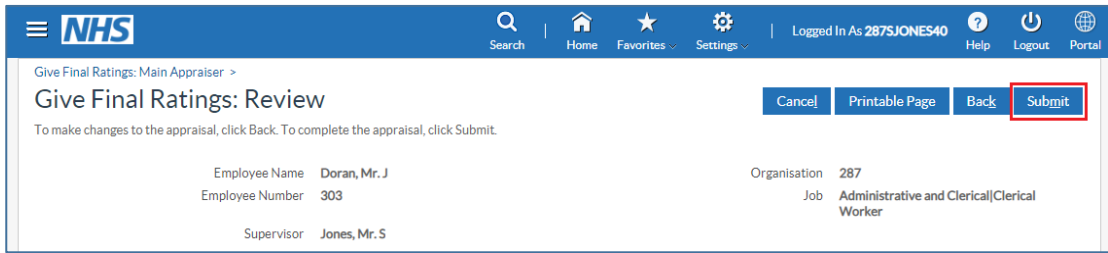
10. A warning message will appear asking if you are sure you wish to complete the appraisal. Provided that the correct Review Type and Template have been selected for a Pay Progression Meeting this terminology should be ignored. Click Yes.
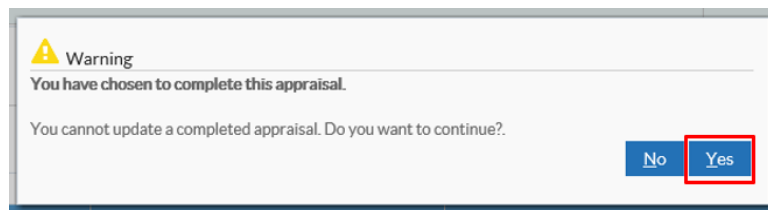
The Pay Progression Meeting has now been created and completed, and the appropriate meeting outcome has been recorded.

Both the Main Appraiser (Manager entering Pay Progression Meeting details) and the employee will receive a notification from ESR confirming that the Pay Progression Meeting has been completed and recorded within ESR.

To check completed Pay Progression Meeting for staff within your hierarchy click on the Completed icon within Appraisals and Reviews.
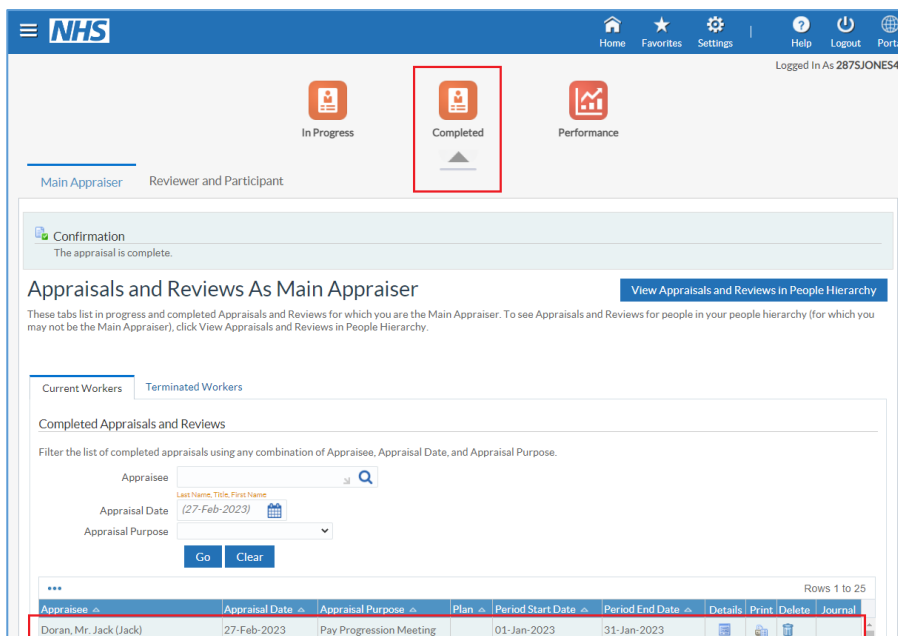
Recording your Pay Progression Meetings in ESR - FAQ's

This FAQ document has been compiled to provide answers to common questions in relation to the input of Pay Progression Meetings in ESR.

If viewing this electronically, please click on the hyperlinks below to be taken to that question and answer.

Q1: I cannot view the manager tab when accessing ESR. How can I get access to this?

Q2: I have held a Pay Progression Meeting with my team member, but when trying to record this within ESR I cannot find their record. What should I do?

Q3: When should I arrange a Pay Progression Meeting with my team members?

Q4: How can I check whether those in my team are due pay effecting pay step date?

Q5: How should my team member prepare for their Pay Progression Meeting?

Q6: I have held the first Pay Progression meeting with my team member and they have not satisfied the required criteria. What should I do?

Q7: I have held the second Pay progression Meeting with my team member and they have still not satisfied the required criteria. What should I do?

Q8: My team member has satisfied the required criteria but has not done so until after their pay effecting pay step date. What must I do and what will happen to their pay?

Q9: I have recorded the Pay Progression Meeting in ESR, but the status is showing as Saved. Will this open the pay step for my team member?

Q10: Why do I have to complete the Pay Progression Form as per Trust policy and also record the Pay Progression Meeting within ESR?

Q11: If criteria have not been satisfied, why do I have to record a negative Pay Progression Meeting in ESR?

Q1: I cannot view the manager tab when accessing ESR. How can I get access to this?

A1: In order to access the Manager tab within ESR you must have Supervisor Self Service access applied to your ESR account. You must also access using your smartcard. If you do not have Supervisor Self Service access, or have a smartcard please contact workforce@liverpoolft.nhs.uk and the Workforce Systems Team can confirm and/or advise how to get these in place.

Please note that accessing ESR using manually typed username and password will **ONLY** provide access to your own Employee Self Service account.

Q2: I have held a Pay Progression Meeting with my team member, but when trying to record this within ESR I cannot find their record. What should I do?

A2: Your team member may not be in your Supervisor hierarchy. Please contact workforce@liverpoolft.nhs.uk and the Workforce Systems Team can advise and action any Supervisor hierarchy updates.

Q3: When should I arrange a Pay Progression Meeting with my team member(s)?

A3: Pay Progression meets should be scheduled as soon as possible before their pay effecting pay step date. This will allow maximum time for required criteria to be achieved preventing deferral of pay increases. Your team member will receive notifications from ESR 4 months and again 1 month in advance of their pay effecting pay step dates. As their manager you will also receive a notification within ESR 90 days in advance of your team members pay effecting pay step date. As their manager you will also be able to report on those staff who are approaching a pay effecting pay step dates using ESR (see page 4 of this guidance document).

Q4: How can I check whether those in my team are due pay effecting pay step date?

A4: As an immediate manager you will receive a notification within ESR 90 days in advance of your team members pay effecting pay step date. As their manager you also have access to Supervisor Self Service and be able to report on those staff who are approaching a pay effecting pay step dates using ESR (see page 4 of this guidance document).

Q5: How should my team member prepare for their Pay Progression Meeting?

A5: Team members who receive notifications of an imminent pay effecting pay step date should review the Trust Pay Progression policy to identify which criteria will apply to them. All staff should satisfy the basic criteria (see page 3 of this guidance document). If they are due to come out of compliance with any criteria on or before their pay effecting pay step date, they should take immediate steps to become compliant. Not doing so will impact their pay.

Q6: I have held the first Pay Progression meeting with my team member and they have not satisfied the required criteria. What should I do?

A6: If during the first Pay Progression Meeting criteria are not satisfied, an action plan should be agreed with the team member for missing criteria to be achieved as soon as possible. A further meeting should also be arranged so any agreed actions can be reviewed for completion. The Pay Progression Meeting should be recorded in ESR, as per this guidance with the Overall Rating of '2 – No' entered. Pay Progression Meetings should be scheduled as early as possible to allow maximum time for any missing criteria to be achieved.

Q7: I have held the second Pay progression Meeting with my team member and they have still not satisfied the required criteria. What should I do?

A7: Further action plans should be agreed with the team member to address any missing criteria if time permits. The team member should be made aware that their pay increase will be deferred until such time as all criteria have been satisfied. The Pay Progression Meeting should be recorded in ESR as per this guidance, with the Overall Rating of '2 – No' entered.

Q8: My team member has satisfied the required criteria but has not done so until after their pay effecting pay step date. What must I do and what will happen to their pay?

A8: The Pay Progression Meeting should be recorded in ESR as per this guidance, with the Overall Rating of '3 – Yes following initial deferral'. The date when criteria were achieved should be entered in the 'Date of Re-Instatement' and this will be the date when the pay step (pay increase) will become effective from. In this scenario pay step dates will be retained for the following year, but the date of reinstatement becomes the effective date for the pay increase.

Q9: I have recorded the Pay Progression Meeting in ESR, but the status is showing as Saved and it is showing in the 'In Progress' group in ESR. Will this open the pay step for my team member?

A9: No. This will not open the pay step for your team member. The Pay Progression Meeting has not been fully completed. You must go back into ESR, find the Pay Progression Meeting within the In Progress group and click on the update pencil and continue until it is marked as complete and showing in the 'Completed' group.
Please note that any saved Pay Progression Meetings may delay pay increases for your staff member so it is vitally important that they are correctly recorded in ESR as per this guidance.

Q10: Why do I have to complete the Pay Progression Form as per Trust policy and also record the Pay Progression Meeting within ESR?

A10: Completion of the Pay Progression Forms will act as a secondary way to evidence that criteria have been satisfied as part of the meeting for the staff member. These should be used by the staff member in conjunction with ESR notifications confirming that a record has been created in ESR to open up their pay step.

Q11: If criteria have not been satisfied, why do I have to record a negative Pay Progression Meeting in ESR?

A11: Recording negative Progression Meeting outcomes will evidence that a Pay Progression Meeting has taken place.

Useful contacts

- Workforce Systems Workforce@Liverpoolft.nhs.uk 0151 706 2462
  Accessing ESR and Supervisor Hierarchy queries
- Smartcard Enquiries – smartcard@liverpoolft.nhs.uk for all card enquiries you can call 0151 706 2462.
- HR – Business Partners – contact your local HRBP for advice and guidance on policy and how to implement, queries on eligibility.
- Organisational Development - organisational.development@liverpoolft.nhs.uk
  Appraisals & pay progression meeting guidance on process
- L&D- learninganddevelpomentdepartment@liverpoolft.nhs.uk
  Mandatory Training

Links to staff hub information

- Staff Hub information on working with us: Resources (liverpoolft.nhs.uk)
- Staff Hub Mandatory Training (liverpoolft.nhs.uk)