Performance Appraisal and Pay Progression Policy

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Version Information

Version No.	Updated by	Updated On	Description of Changes
1.0	Directorate HR Manager	N/A	New policy and replaces Appraisal Policy.
2.0	Directorate HR Manager	February 2017	Minor wording changes to paragraphs 2.1, 2.2, 5.1, 5.3, 5.4, 5.7, 6.2, 8.1, 9.2, 10.1, 11.4, 12.1, 13.1, 14.1, 14.2 Removal of paragraph 12.2 Added a reference section 18. More detail re PIA. 12.9 Management performance monitoring changed from 100% to Trust target.
3.0	Directorate People Business Partner	Sept 2019	Changes to policy to reflect national guidance linked to revision of Annexe 23 of the NHS Terms and Conditions of Service Handbook

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1. Policy Statement - Appraisals

1.1 The performance appraisal process is a key mechanism to maximise the job satisfaction of individuals ensuring that the service needs of the Trust are met.

1.2 All staff need a clear understanding of what is expected of them and must receive regular constructive feedback about their performance so they can reach their full potential.

1.3 Performance appraisal is a term used to describe a continuous process that provides the opportunity for the staff member and their Line Manager to both review and consider future performance metrics. The process may involve such activities as;

- Reviewing the employee's performance with consideration as to achievements that have been realised.
- Reviewing what is expected of the employee with consideration as to the level of support that they may need to reach such goals.
- Projecting forward to consider the employees personal strengths and development needs and aligning these with any potential changes for the individual, their job or the section of the Trust in which they work.

1.4 The performance appraisal scheme ensures staff gain feedback from their Line Manager, supervisor or other named appraiser about how well they are performing in their job role. Such discussions also provide the opportunity for the employee to highlight training or development needs that might help them improve this performance and possibly progress to the next stage of their career.

1.5 Although the appraisal is an annual event, the employee's individual objectives should be reviewed throughout the year. As a minimum this should occur 6 monthly although more regular review i.e. 3 monthly is recommended.

1.6 This Policy has been developed in line with the revised Annex 23 of the NHS Terms and Conditions of Service Document (2019) which states;

a. Policies will need to be consistent with the employer's local objectives and the NHS Constitution for England.
b. Organisations will budget and plan financially on the basis that all staff are expected to achieve their pay step points on their pay step dates.
c. Regular appraisal, performance and/or development reviews will continue to play a central role in determining whether an individual has met the standards required of them for pay progression.
d. Local policies will be developed, monitored and reviewed in partnership with trade unions and include a comprehensive training and development policy covering all staff.
e. Every line manager undertaking appraisal will have access to appropriate time, training and development including training on their equality responsibilities.
f. Staff will actively participate in appraisal processes and receive time and support to do so.
g. performance will need to be monitored throughout the year so that problems are identified and addressed appropriately as soon as possible
h. Individuals will have the right to contest any decision where the required level of performance is deemed not to have been met.
i. Local systems will be equality assessed before implementation, and equality monitored once in operation.

2. Principles – Pay Progression

2.1 The Trust seeks to foster a culture whereby staff who achieve, or are in the progress of achieving their objectives are appropriately recognised and rewarded through Pay Progression. The changes in the National Terms and Conditions of Service, specifically Annex 23 (updated as of April 2019) states that incremental pay progression for all pay points will be conditional upon individuals demonstrating that they have the requisite knowledge and skills/competencies for their role. They must also have demonstrated the required level of performance and delivery. Annex 23 is explicit in that pay progression is no longer an automatic right for staff but something to be earned. The Trust believes that pay progression recognises the demonstration of satisfactory conduct, performance, and of competence and positive behaviours linked to Trust values.

2.2 Linking pay progression to performance is the way of supporting the promotion of this culture. In light of the Francis and Keogh reports (see references section 18), the Trust believes that patient care can best be supported through such a culture, where staff are trained and competent to deliver safe patient care.

2.3 Agenda for Change pay bands have pay step points providing staff with the opportunity of achieving an annual pay increase. The policy therefore provides a mechanism to reward staff who meet specific criteria and through improved competence and performance benefits both patients and colleagues.

2.4 The revised National pay progression annex applies to all staff commencing NHS employment or promoted on or after 1 April 2019. Promotion means moving to a higher banded role.

2.5 For all other staff who were in post before 1 April 2019, current organisational pay progression procedures will continue to apply until 31 March 2021 after which time they too will be subject to the provisions in the National pay progression annex.

2.6 After 1 April 2021, pay step submissions for staff at pay band 5 or above will only take place after two, three or five years depending on pay band. Appraisals will continue to take place annually. Promoted staff will commence on the bottom pay step of their new band.

2.7 From 1 April 2021 all pay bands will have either one or two step points with specified minimum periods before staff become eligible to progress. An employee's pay step point is set in relation to their start date in that pay band.

2.8 Managers are expected to lead and role model Trust values through their own behaviours and to apply this policy and other employment policies in a consistent and fair manner. Currently where staff cannot demonstrate at their performance appraisal meeting that the criteria set out in section 13 have been met, and there is no reasonable explanation for failure to achieve, they may not be awarded their pay progression point and where appropriate will be managed through an appropriate formal procedure. Staff will have the right to appeal a decision of deferment. Please see Section 19 of this policy.

2.9

3. Aims of the Policy

3.1 This policy establishes the roles and responsibilities for all members of staff involved in the performance appraisal process.

3.2 This policy clarifies the procedures to be followed within the performance appraisal process and provides guidance to Managers and staff on annual pay progression criteria all underpinned by the knowledge and skills core dimensions framework. (see Appendix A)

4. Scope

4.1 This policy applies to all Line Managers, Supervisors and 'other' staff who have the responsibility of conducting performance appraisals for non-medical staff.

4.2 This policy applies to all staff employed on Agenda for Change terms and conditions of service, whether they are eligible for incremental progression or not.

4.3 It does not apply to staff solely working on the Trust bank.

4.4 This policy does not discriminate and applies to all protected characteristics under the Equality Act 2010.

5. Roles and Responsibilities

5.1 The Director of Organisational Development and People (OD and People) is responsible to the Trust Board for the operation of this policy.

5.2 The Deputy Director of OD and People will ensure that Line Managers are supported in the implementation of this policy and in managing conduct and capability matters.

5.3 The Associate Director of Education, Inclusion, Comms & Engagement is responsible for ensuring there is access and capacity to deliver statutory and mandatory training to all staff as required enabling them to undertake their role. The Associate Director of Education, Inclusion, Comms & Engagement is also responsible for the provision of training to Line Managers that supports them to undertake meaningful performance appraisals and to agree SMART (Specific, Measurable, Achievable, Realistic and Timely) objectives with staff.

5.4 Directors and Managers at Senior Directorate level, or their equivalent, are responsible for ensuring the implementation of this policy within their services.

5.5 The 2nd Reporting Manager (the Line Manager's or supervisors Line Manager) is responsible for ensuring the validation of the performance appraisal from a quality perspective. Such validation may include;

- Review of the appraisal content in relation to alignment with the Trust values.
- Where appropriate challenging the rationale and performance rating attributed to the employee by the appraiser.
- Checking that 6 monthly reviews (as a minimum) have been undertaken.

5.6 The Line Manager is responsible for ensuring that;

- Each member of their team is allocated an appraiser and undergo the minimum of an annual performance appraisal with regular reviews throughout the year (as a minimum objectives should be reviewed on a 6 monthly basis although 3 monthly reviews are recommended).
- Performance appraisals are undertaken in a timely fashion.
- Each member of their team is aware of the purpose of the performance appraisal process and its associated benefits and are encouraged to prepare for the meeting.
- They actively engage in the performance appraisal process of their staff.
- Performance appraisals are carried out in a fair and equitable manner in accordance with appropriate Trust policies.
- They approve or defer annual incremental progression of all staff within their remit of responsibility.
- They manage through the appropriate Trust process, exceptional circumstances of poor performance, or staff who are not developing the required skills and knowledge to meet the requirements of their job role.
- They mediate any disagreements that arise at a performance appraisal that cannot be resolved between the two parties i.e. the appraiser and the appraisee.

- Employees are provided with the opportunity to complete all mandatory and statutory training requirements linked to their role within work time

5.7 The appraiser is responsible for ensuring that;

- They actively engage in the performance appraisal process of those staff they are appraising.
- They encourage the appraisee to prepare for the performance appraisal discussion by providing them with at least 2 weeks' notice of the meeting.
- An achievable personal development plan including personal objectives is completed for the individual as a result of the performance appraisal.
- Objectives agreed upon are SMART and that all actions agreed are carried out i.e. by both the appraiser and the appraisee.
- Progress against individual objectives is reviewed on at least a 6 monthly basis (ideally every 3 months).
- Job descriptions are kept up to date through discussion with the member of staff and formal consultation when required (in accordance with the Trust's Management of Organisational Change Policy);
- Performance appraisals are scheduled in advance (ideally at least 2 months before the appraisal is next due) and that timescales for the authorisation and notification of incremental progression or deferment as detailed in Section 12 and 13 is adhered to.
- Regular communication is maintained with the employee throughout the year.

5.8 The appraisee is responsible for:

- Ensuring they actively engage in the performance appraisal process.
- Taking ownership for their own career development.
- Making their Line Manager aware if they have a forthcoming increment and have not yet had a performance appraisal.
- Prepare thoroughly for the performance appraisal using available resources.
- Seeking feedback from their Line Manager regarding progress.
- Ensuring actions are completed in accordance with agreed timescales.
- Ensuring they agree any changes to their job description with their Appraiser/Line Manager.
- Raising with their Line Manager in a timely fashion, any issues they may be facing in relation to the completion of statutory and mandatory training associated with their role.

6. Benefits of Conducting Effective Performance Appraisals

Where staff have an annual performance appraisal meeting with their Line Manager and agree clear and challenging objectives, they are more likely to feel valued and respected.

The appraisal meeting can therefore be used as a way to help the employee see the role they play in contributing to the Trust's success and to reinforce how achieving their performance objectives will see such successes continue.

6.1 Benefits to the Trust

- An Individuals' objectives are linked to their departmental objectives which in turn support the wider Trust objectives.
- Visible commitment to improving performance and staff morale.
- Consistent approach regarding the management of staff.
- Improved communication.

6.2 Benefits to the Line Manager/Appraiser

- Improved performance of the department.
- Better prepared to achieve departmental/team objectives.
- Opportunity to support and check that individuals are fully equipped to carry out their job role.
- Opportunity to acknowledge an individual's achievements and say thank you.
- Planned time to discuss problems constructively.
- Improved team/departmental motivation and morale.
- Feedback from appraisees on management performance

6.3 Benefits to the Appraisee

- Recognition and feedback for individual on performance and achievements.
- Better understanding of performance requirements.
- Clear objectives to help the employee understand management expectations.
- Opportunity to discuss any problems constructively.
- Forum to agree Personal Development Plan and establish any training and development needs.
- Opportunity to discuss future career opportunities.
- Greater motivation and job satisfaction.
- Opportunity to review working practices, working environment and flexible working arrangements.

7. Identifying Appraisers

7.1 In many cases the appraiser will be the Line Manager, or Supervisor, of the member of staff. However some Trust employees will take the role of the appraiser for more junior staff even if they have no direct management responsibilities for them.

7.2 Under Agenda for Change it is possible for a senior member of staff to be on a pay band undertaking one role, and appraising staff on the same pay band who are undertaking a different role.

7.3 If a member of staff is not happy with the person allocated to conduct their performance appraisal then they should escalate this to their Line Manager detailing the reason for their objection. Where it is their Line Manager conducting the performance appraisal the situation should be escalated to the Line Manager's Manager.

7.4 The performance appraisal should be made up of one member of staff (the Appraisee) and one Appraiser. However in some instances, for example if the appraisee is managed by one person but professionally accountable to another it may be appropriate for an individual to be appraised by 2 people.

7.5 In the case where an employee has 2 independent posts they should expect to receive 1 performance appraisal for each post.

7.6 Appraisers should, ideally, be responsible for appraising no more than 8 staff. In exceptional circumstances this may go up to 12 if operational requirements dictate. Such a decision would need to be agreed by the relevant Directorate Management Team.

8. Content of the Performance Appraisal

8.1 Good preparation is probably the most significant factor in a successful appraisal. It is essential for the appraiser to have a pre-appraisal meeting with the appraisee or with a group of appraisees to make sure they fully understand the appraisal process, have time to prepare (a minimum of at least 2 weeks' notice should be given) and complete the necessary documents prior to the appraisal meeting.

8.2 The performance appraisal should be arranged for a mutually convenient time and place and meetings should not be cancelled if at all possible. If this is unavoidable then an alternative date should be agreed as soon as possible. At least an hour should be planned for the appraisal meeting.

8.3 The meeting is a two way open and honest discussion between the appraiser and appraisee, covering the whole of the previous year, facilitated by the appraiser with the appraisee encouraged to take the lead in discussions; the appraiser should summarise and keep the meeting on track. There should be no surprises in an appraisal meeting. Any issues must be raised with the individual as they occur and any ongoing feedback must be received in a timely manner throughout the year.

8.4 The performance appraisal meeting should include the following:

1. **Measurement –** assessing performance against agreed targets and objectives, and behaviour and attitudes against values.
2. **Feedback –** providing information to individuals on their performance and progress on what is required to continue to perform well in the future, particularly in view of any changes and evolution of job roles. This also provides the opportunity to review the job description.
3. **Positive reinforcement –** emphasising what has been done well and making only constructive criticism about what might be improved, and drawing out the importance of how things are done, as well as what is done, and ensuring effort is directed at value-added activities.
4. **Exchange of views –** a frank exchange of views about what has happened, how appraisees can improve their performance, the support they need from their Line Manager to achieve this and their aspirations for their future career.
5. **Agreement –** jointly coming to an understanding by all parties about what needs to be done to improve and sustain performance generally and overcome any issues raised in the course of the discussion.
6. **Training and Development –** discussing and agreeing what training and development may be required.
7. **Objectives –** discussing and agreeing objectives (a minimum of 3) for the forthcoming year aligned with the Trust, Divisional and Departmental priorities and objectives.

8.5 During the performance appraisal discussion, appraisers are required to measure staff performance against 4 ratings. These are:

- Rating 4 Exceptional
- Rating 3 Fully effective
- Rating 2 Developing
- Rating 1 Unsatisfactory

8.6 The Assessment Guide in Appendix B should be used to help assess the employee on their technical competence, behaviours (in line with the Trust values) and individual objectives.

8.7 Evidence and a rationale must be applied to support the allocation of all ratings.

9. Recording of Performance Appraisals

9.1 Recording of all performance appraisals must be completed online using the Trust's appraisal platform

9.2 Once the performance appraisal has been fully completed i.e. performance appraisal, personal development plan and the setting of individual objectives, the appraiser must electronically sign off the performance appraisal before notification is sent to the appraisee. At this stage the appraisee must also sign off the appraisal.

9.3 On completion of this sign off process by the appraiser and appraisee the performance appraisal it automatically sent to the 2nd Reporting Manager (usually the Line Manager's Manager) for validation and sign off.

9.4 Once the performance appraisal has been signed off by the 2nd Reporting Manager no changes can be made.

9.5 Should the content of the performance appraisal be rejected by the appraisee, appraiser or 2nd Reporting Manager, electronic notification is sent to all parties. At this stage further discussion should take place as to why the performance appraisal has been rejected and what resolution might seem appropriate. Once a resolution has been found the performance appraisal would need to go back through the above described sign off process.

10. The Knowledge & Skills Framework (KSF)

10.1 The core dimensions described in the KSF will underpin the performance appraisal discussion as well as linking to the Trust's Mandatory and Statutory Training requirements (see Appendix A).

10.2 The below core dimensions are relevant to all non-medical staff.

- Communication
- Personal and People Development
- Health, Safety and Security
- Service improvement
- Quality
- Equality and Diversity

11. Mandatory and Statutory Training

11.1 It is a requirement that all staff complete and/or attend Mandatory and Statutory Training (MaST) essential for their role.

11.2 Line Managers must make their staff aware through local induction and performance appraisals of the mandatory training they are required to undertake. They will also make the individual aware of how the training can be accessed.

11.3 Pay progression will not be withheld if there is evidence that the individual was not able to attend training due to a Line Manager's decision (i.e. not being released etc.), or where training has not been available.

12. Pay Progression – Pay Step Dates

12.1 The pay step date is the anniversary of the date the individual commenced employment in their current band.

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

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

12.4 In all other cases including changing jobs within the same band, and moving to a lower band as part of an organisational change process, pay step dates will remain unchanged.

12.5 There should be clear responsibilities agreed for the appraisal review where an employee is on a secondment to a different role at the time of their pay step date to ensure that they are able to access their pay step point without any detriment.

13. Pay Progression - Standards

13.1 Staff will progress to the next pay step point on their pay step date where the following can be demonstrated:

- The appraisal process has been completed within the last 12 months and outcomes are in line with Trust standards.
- There is no formal capability process in place.
- There is no formal disciplinary sanction live on the staff member's record.
- Statutory and/or mandatory training has been fully completed (subject to opportunity being provided by the Trust to complete training).
- For line managers only – appraisals have been competed for all their staff as required.

13.2 The 'capability process' outlined in 13.1 covers procedures for dealing with an employee's lack of competence, including professional and clinical competence, and clear failure to achieve a satisfactory standard of work through lack of knowledge, ability or consistently poor performance. 'Process' means that there has been an outcome placing the employee in a formal stage of the process. Investigations, informal stages and processes for dealing with absence due to ill health are all excluded from this pay progression standard.

13.3 The 'disciplinary sanctions' outlined in 13.1 refers to sanctions in relation to conduct only, and excludes warnings applied in relation to absence due to ill health. It refers to formal disciplinary sanctions such as formal warnings. It does not include investigations, informal warnings, counselling or other informal activities that may come within a disciplinary policy.

13.4 The performance appraisal system is based on the principle of no surprises. If there are problems with individuals achieving their progression criteria or there are capability issues, these must have been addressed as and when identified. This mirrors good management practice.

13.5 In cases of continued concerns, the appraiser should refer to the Disciplinary and/or Capability Policies for further guidance (located under HR Policies on the Trust intranet), although it is emphasised that these policies should be used as soon as deemed necessary and not delayed until the time of the performance appraisal.

13.6 It is the Line Manager's/Supervisors responsibility to ensure that the performance of staff within their department is managed accordingly. The Trust reserves the right to discipline Line Managers and Supervisors who consistently fail to ensure that employees are regularly appraised, that employees are up to date with Mandatory and Statutory training and that performance issues are addressed in prompt and consistent manner.

13.7 Where factors beyond the individual's control, such as organisational or operational issues, have prevented compliance with any of the requirements in section 13.1 these should not prevent the employee from progressing. Managers should ensure that they take full account of such factors and staff should bring these to the attention of their line manager as soon as possible (not waiting until the performance appraisal) so that these can be addressed and remedied.

13.8 There will be no national or local quotas for pay progression. All postholders who apply the necessary knowledge and skills to meet their objectives, the requirements of their post and other pay progression criteria will receive their annual increment.

13.9 Staff who are at the top of their respective pay band are still expected to remain up to date with all of the Mandatory and Statutory Training, meet the requirements of their role and achieve their objectives. Any concerns with regard to performance will be managed in line with the appropriate Trust policy.

13.10 As highlighted in 13.1, Line Managers and Supervisors also need to evidence that those staff who they have Line Management responsibilities for, have undertaken an annual performance appraisal as per Trust guidance. This remains a standing objective for all Line Managers and will be reviewed at the Line Manager's own performance appraisal meeting.

14. Deferment of Pay Progression

14.1 Deferment of pay progression will occur if a member of staff is subject to any of the below:-

- A formal capability process in place.
- A formal disciplinary sanction in place.
- Non completion of Mandatory and Statutory Training
- For Line Managers only – Outstanding and overdue appraisals for employees who they line manage.

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

14.3 In situations where standards have not been met as per section 13.1, and there are no mitigating factors sufficient to justify this, it is expected that an individual's pay step will be delayed, subject to the below process.

14.4 The Line Manager should advise the employee that they have the rights of appeal from the point that they are formally notified about the decision to defer their annual incremental progression. This is discussed further in section 19. If an appeal is upheld, the pay step should be backdated to the pay step date.

14.5 The line manager should also discuss and agree a plan with the staff member for any remedial action needed to ensure that the required standards for pay progression are met, including a timescale, and how any training and support needs will be met.

14.6 The staff member must take all necessary steps to meet the requirements as soon as possible and the line manager must provide the necessary support.

14.7 A further pay step review meeting should be arranged at an agreed date to review progress and, where satisfactory, initiate the opening of the pay step. The effective date for progressing to the next pay step should be the earliest date that the relevant requirements are shown to have been met. The pay step date for future years will remain unchanged.

14.8 Where a pay step is delayed due to a formal capability process or a live disciplinary sanction, the line manager should initiate a pay step review meeting before the expiry of the capability plan or sanction. This should be used to confirm that all other requirements have been met and to ensure that the staff member progresses to the next pay step, effective the day after the sanction expires. The pay step date will remain unchanged.

14.9 A disciplinary sanction cannot be applied retrospectively to delay a pay step if it comes into effect after the pay step date.

14.10 If the Line Manager indicates on Splda that the member of staff has a live formal sanction this will defer the pay progression increment until the following year. Automatic notification will be sent to Payroll from Splda.

15. Extenuating Circumstances

15.1 There may be extenuating circumstances that have prevented a member of staff from completing their mandatory training or attending their annual appraisal. Where this occurs, the appraiser must discuss the extenuating circumstance with their Line Manager and the Directorate People Business Partner. With the appraiser's Line Manager approval, a member of staff may be given an extension (not normally more than 1 month) to become up to date with all their statutory and mandatory training (and in the case of a Line Manager, completed appraisals for all of their staff).

15.2 The Appraiser's Line Manager will take into consideration circumstances outside of the individuals control such as service demand, bereavement, inability to be released for training, and cancelled training courses.

16. Absent from Work when Pay Step is Due

16.1 **Planned Long Term Absence**

In the case of planned long-term paid absence such as maternity, adoption, carers and shared parental leave the performance appraisal should be conducted early if this is reasonable and practical, allowing the pay step to be applied on the pay step date in the employees absence.

If this is not possible and the performance appraisal cannot be conducted prior to the pay step date, then the pay step point should be automatically applied in the individual's absence. The performance appraisal must then take place within 3 months of the employees return to work to ensure that essential skills are updated and objectives revised.

16.2 **Live Disciplinary Sanctions**

If there is a live disciplinary sanction in place at the point the individual went on leave, the pay step point should be applied in the employee's absence if appropriate, effective the day after the sanction expires.

16.3 **Formal Capability Process**

If there was an active formal capability process underway at the point the individual went on leave, the pay step point 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 step point backdated to an agreed date as if they had completed the improvement process without being absent. Employers will need to take particular care to avoid any discrimination or detriment on the grounds of maternity, sex or disability that could arise in relation to staff on maternity/adoption/parental leave or sick leave.

16.4 **Sabbaticals/Career breaks**

Sabbaticals/employment breaks are by definition the choice of the individual, therefore if a member of staff chooses to take a sabbatical/employment break at any stage during their career, their pay step point will be "frozen" at the pay point they were allocated to on their last working day. The employee would therefore return to work on the same pay point as they left on.

A performance appraisal would need to be undertaken within a month of their return to identify any training and development needs.

16.5 The following points (16.5.1 to 16.5.3) will be reviewed on a case by case basis:-

16.5.1 **Long Term Sickness**

If a staff member is absent from work for reasons such as sickness when a pay step is due, the principle of equal and fair treatment should be followed so that no detriment is suffered as a result. In such instances and if it has not been possible to undertake the performance appraisal early as per section 16.1 pay progression may be deferred until the employee has returned to work for 3 months. This would allow the individual to achieve agreed objective/s within an agreed timeframe. The award would then be backdated where appropriate.

16.5.2 **Injury Attributed to Employment**

Pay progression may be deferred until the employee has returned to work for 3 months, allowing the individual to achieve agreed objective/s within an agreed timeframe. The award would then be backdated where appropriate.

16.5.3 **Suspension**

Suspension from work on full pay is a neutral act. In order to ensure this is the case, employers should ensure that the pay step point is applied from the pay step review date (where an individual is suspended on that date), provided they were meeting the standards described in section 13.1 at the point of suspension.

17. Changing Roles Between Increments

17.1 If a member of staff is recruited to a post in a different department the new Line Manager will be required to set new objectives for the remainder of that year and ensure that a performance appraisal is still dated within the last 12 months.

17.2 The Line Manager for the department that the member of staff has left will be required to "close" the existing performance appraisal on the Trust's performance appraisal platform

17.3 This performance appraisal will remain as read only but will still be accessible to the employee

17.4 The new Line Manager will be able to see that a performance appraisal has taken place but will not be able to access the detail.

18. Re-earnable Process for Bands 8c, 8d and 9

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

18.2 Once they have reached the top of their band, the expectation is that all staff 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 employees have passed through their pay step point to reach the top of the band.

18.3 In the year after an employee has reached the top of bands 8c, 8d or 9, 5 per cent or 10 per cent of basic salary will become re-earnable. Where the standards in section 13.1 are met, salary is retained at the top of the band. If standards are not met salary may be reduced by 5 per cent or 10 per cent from the pay step date, subject to the provisions in section 13.7. The employee 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 employee has the right to contest a decision to reduce their pay using the Trust's appeals process (see section 19)

19. Appeals

19.1 Staff will be entitled to the right of appeal in accordance with the Trust Appeals Policy.

19.2 Where disputes occur which are related to pay progression, if the appeal is upheld the associated pay will be backdated to the incremental date.

20. References

Annex 23 Pay Progression England – Available from: https://www.nhsemployers.org/tchandbook/annex-21-to-25/annex-23-pay-progression-england

Appendices

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Privacy Impact Assessment

In compliance with data protection and information governance regulations, any issues linked to an employee's training contributions will only be shared with relevant individuals on a need to know basis (i.e. Individuals who are imperative to decision making processes). In light of this, agreement has been reached with the IG manager that a privacy impact assessment is not needed for this policy

Implementation Plan

An Implementation Plan has been completed and can be found at appendix C.

Equality Analysis

An Equality Analysis has been completed and can be found at appendix D.