

Pay Progression Policy

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The on-line version is the only version that is maintained. Any printed copies should, therefore, be viewed as ‘uncontrolled’ and as such may not necessarily contain the latest updates and amendments.

POLICY AMENDMENTS

Amendments to the Policy will be issued from time to time. A new amendment history will be issued with each change.

New Version Number	Issued by	Nature of Amendment	Approved by & Date	Date on Intranet
1	HR	New Policy	Not approved	N/A
1.2	HR	11.7 Agenda for Change, wording updated References to 'requesting' pay progression changed to 'initiate' or removed. 11.8 extended for clarity, linked to 13 Insertion of Scheme of Delegation Removed reference to Managing Work Performance at Right of Appeal; amended the Right of Appeal wording in line with Scheme of Delegation		
1.3	HR	Updated to reflect ICB – Review dates remain unchanged	Rem com – 01/07/2022	

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1 INTRODUCTION

- 1.1 Nationally agreed changes to Agenda for Change (AfC) were agreed by the NHS Staff Council in February 2013 clarifying new arrangements for employees progressing through pay bands (incremental pay progression). This procedure applies to all employees of the organisation employed under Agenda for Change terms and conditions of service and describes the approach to be followed concerning pay progression.
- 1.2 The 2018 framework agreement on the reform of AfC subsequently introduced provisions to move to a new pay system with faster progression to the top of pay bands through fewer pay step points underpinned by mandatory local appraisal policies and procedures.
- 1.3 These provisions came into effect for new starters or existing employees promoted to a new role on or after 1st April 2019. Pay progression is no longer automatic on an annual basis under the new system.
- 1.4 Transitional pay progression procedures apply to all other staff until 31st March 2021, after which time they will also be subject to the provisions of the 2018 framework agreement.
- 1.5 Staff in post before 1st April 2019 will retain their existing pay step date (previously referred to as incremental date) and move automatically through their pay journey during transition. On their pay step date, (if they have not already benefited from deletion of a pay point) it is expected that they will automatically move to the next pay point reflecting their additional complete year of experience. The NHS Electronic Staff Record (ESR) system is able to progress existing staff automatically.
- 1.6 **Staff in post after 1st April 2019, and all staff after 1st April 2021.** Pay progression should not be seen as an automatic right by employees but rather is something to be earned and is a reward that is dependent on satisfactory performance, conduct and demonstration of meeting all statutory and mandatory training requirements relevant to their role.
- 1.7 Any amendments to the NHS terms and conditions of service handbook will supersede this policy as new pay arrangements are agreed. This policy will be updated to reflect any changes.

2 ENGAGEMENT

The policy has been developed by the HR Humber team with expert advice from the Local Counter Fraud Specialist, and consultation with the ICB's senior management team, employee policy group, the ICB's Integrated Governance and Audit Committee and the Joint Trades Union Social Partnership Forum.

3 SCOPE

- 3.1 This policy applies to all employees on Agenda for Change (AfC) terms and conditions of employment (including those on permanent and temporary contracts). Secondees from other organisations will be subject to the policy of their employing organisation.

- 3.2 The ICB will determine a fair and consistent approach to applying the Pay Progression Policy and will give due consideration to an employee's individual circumstances when considering pay progression.

4 POLICY PURPOSE & AIMS

- 4.1 The ICB has a duty to provide high quality services to our stakeholders and partners, and strives to be a high performing organisation that continuously improves quality, safety and the patient experience. It is a key part of the organisation's strategy to achieve its goals through maximising the contribution of each employee.
- 4.2 In support of this aim, and in accordance with AfC, this policy sets out the basis upon which an individual's performance drives pay progression. It is expected that employees who can demonstrate the required level of performance and conduct, who have met their objectives and are compliant as regards their statutory and mandatory training will progress annually through the pay points in their salary band.
- 4.3 For staff in pay bands 8C, 8D and 9, pay progression to the top pay band is earned on an annual basis and therefore not subject to pay protection. Where staff in these pay points/bands do not meet the locally determined performance standards for a given year, the annually earned pay point may be withdrawn.

5 ROLES / RESPONSIBILITIES / DUTIES

Good working relations are vital for the organisation to operate successfully and provide services. There is a joint responsibility for management, trade unions and employees to accept the responsibility of working together on issues in good faith and with the shared intention of facilitating good working relations.

- 5.1 The **Senior Management** Team is responsible for:

- Setting and communicating organisational objectives, competencies and standards.
- Ensuring all staff receive regular supervision/1:1s from line managers and arrangements are made during times of line managers' absences.
- Ensuring that line managers have the requisite skills and expertise to appraise staff fairly and equitably, in accordance with ICB equality and diversity standards.
- Ensuring the policy is applied in a consistent and equitable manner.
- Reviewing the application of this policy.

- 5.2 It is the responsibility of **Line Managers** to ensure that they:

- Have discussed with the employee their pay affecting step date and have scheduled a pay affecting progression meeting to meet the timescales required.
- Undertake annual appraisals for all members of their team.
- Conduct an objective review of an employee's work based on feedback, examples and previous informal discussions.
- Ascertain that performance that falls below the accepted levels is managed effectively in line with the Managing Work Performance Policy and that appropriate coaching, support and a personal development plan (PDP) is provided to address any concerns.
- Demonstrate they have supported the employee to achieve the criteria for pay progression ie with regular documented supervision/1:1s.
- Ensure the employee is given the opportunity to undertake statutory and mandatory training.
- Approve or decline pay affecting progression on the receipt of a completed Pro forma (Appendix 1), evidencing compliance with the criteria in Section 11.5 below.

- Ensure that the NHS Electronic Staff Record system (ESR) is maintained in an accurate, timely manner to support the delivery of the pay progression framework and appraisal system.
- **For Bands 8C, 8D and 9** Contact Payroll, via email, at the beginning of the month prior to the employee pay step date, if pay progression is to be declined or deferred for any reason.
- Make the employee aware of the right of appeal review where the decision has been made that the required level of performance has not been met.
- Ensure that if absence or other circumstances delay or prevent the completion of a pay step review, this is escalated to a senior manager in a timely manner to ensure that appropriate contingency measures can be implemented.

5.3 It is the responsibility of **employees** to ensure that they:

- Initiate the process by completing and submitting the Pay Progression Pro forma (Appendix 1) to their line manager within the specified timescale, as outlined in section 8.2.
- Actively participate in the annual and on-going appraisal process and jointly agree and work towards their objectives.
- Make their line manager aware of any constraints that are preventing them from achieving their objectives and agree a solution.
- Demonstrate that they have reached a satisfactory level of performance and achievement of objectives, as described in the ICB's Performance and Appraisal Procedure, within the previous 12 months.
- Ensure that all statutory and mandatory training relevant to their post is up to date and recorded as compliant.
- Make their line manager aware of any organisational constraints that are preventing them from being compliant in statutory and mandatory training.
- Have achieved a satisfactory level of conduct in the previous 12 months prior to their pay step date, as described in the ICB's Performance and Appraisal Procedure and in section 11.5.

5.4 The **HR Team** will provide advice and support on all aspects of this policy to ensure application.

6 SCHEME OF DELEGATION

The following scheme of delegation is specific to the stages and actions associated to this policy.

Informal Procedure	Line Manager or equivalent level manager from elsewhere within the organisation
Formal Procedure	Line Manager or equivalent level manager from elsewhere within the organisation or the line manager's direct manager if the line manager has been previously involved or implicated
Appeal following formal procedure	Line Manager's Manager or equivalent who has not previously been involved on implicated
Dismissal Hearing	Chaired by a Director or equivalent and a member of the HR Team
Appeal against dismissal	Chaired by a Director or equivalent and a member of the HR Team

7 IMPLEMENTATION

- 7.1 The Governing Body is responsible for formal approval and monitoring compliance with this policy. Following ratification the policy will be shared with staff and will be available on the website.

8 TRAINING & AWARENESS

Advice and support will be available from the HR team to all line managers in the implementation and application of this policy.

9 MONITORING & AUDIT

Records will be kept by the ICB of all instances of declined pay progression made under this policy and any appeals raised in respect of it. This information will be audited on a periodic basis.

10. EQUALITY IMPACT ASSESSMENT

10.1 Equality

The ICB is committed to eliminating discrimination and promoting equality and diversity in its Policies, Procedures and Guidelines

In applying this policy, the ICB will have due regard for the need to eliminate unlawful discrimination, promote equality of opportunity, and provide for good relations between people of diverse groups, in particular on the grounds of the following characteristics protected by the Equality Act (2010); age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sexual orientation.

In developing this policy, an Equality Impact Assessment has been undertaken and is attached at Appendix 3. As a result of the initial screening, the policy does not appear to have any adverse effects on people who share protected characteristics and no further actions are required at this stage.

10.2 Sustainability

As a result of the initial screening, the policy does not appear to have any adverse effects on sustainability and no further actions are required at this stage.

10.3 General Data Protection Regulation (GDPR)

The ICB is committed to ensuring that all personal information is managed in accordance with current data protection legislation, professional codes of practice and records management and confidentiality guidance. More detailed information can be found in the ICBs Data Protection and Confidentiality and related policies and procedures.

10.4 Quality

Pay Progression is dependent on statutory and mandatory training being completed and employees will only pass through pay step points if they have met their objectives.

10.5 Bribery Act

Bribery Act 2010

The Bribery Act is particularly relevant to this policy. NLICB has a responsibility to ensure that all staff are made aware of their duties and responsibilities arising from the Bribery Act 2010. Under the Bribery Act 2010 there are four criminal offences:

- Bribing or offering to bribe another person (Section 1)
- Requesting, agreeing to receive or accepting a bribe (Section 2);
- Bribing, or offering to bribe, a foreign public official (Section 6);
- Failing to prevent bribery (Section 7).

These offences can be committed directly or by and through a third person and, in many cases, it does not matter whether the person knows or believes that the performance of the function or activity is improper.

It should be noted that there need not be any actual giving and receiving for financial or other advantage to be gained, to commit an offence.

All individuals should be aware that in committing an act of bribery they may be subject to a penalty of up to 10 years imprisonment, an unlimited fine, or both. They may also expose the organisation to a conviction punishable with an unlimited fine because the organisation may be liable where a person associated with it commits an act of bribery.

Individuals should also be aware that a breach of this Act renders them liable to disciplinary action by NLICB, whether or not the breach leads to prosecution. Where a material breach is found to have occurred, the likely sanction will be loss of employment and pension rights.

It is the duty of every member of staff to speak up about any genuine concerns in relation to criminal activity, breach of a legal obligation, miscarriage of justice, danger to health and safety or the environment and the suspected cover up of any of these in the workplace. To raise any suspicions of bribery and/or corruption please contact the Chief Finance Officer. Staff may also contact the Local Counter Fraud Specialist (LCFS) at – Audit Yorkshire, 01482 866800 email: nikki.cooper1@nhs.net or mobile 07872 988939.

The LCFS or Chief Finance Officer should be the contact for any suspicions of fraud. The LCFS will inform the Chief Finance Officer if the suspicion seems well founded and will conduct a thorough investigation. Concerns may also be discussed with the Chief Finance Officer or the Audit & Integrated Governance Committee Chair.

If staff prefer, they may call the NHS Fraud & Corruption Reporting Line on 0800 028 40 60 between 8am-6pm Monday-Friday or report online at www.reportnhsfraud.nhs.uk. This would be the suggested contact if there is a concern that the LCFS or the Chief Finance Officer themselves may be implicated in suspected fraud, bribery or corruption.

10 POLICY REVIEW

This policy will be reviewed in 4 years. Earlier review may be required in response to exceptional circumstances, organisational change or relevant changes in legislation/guidance, as instructed by the senior manager responsible for this policy.

11. PAY STEP PROGRESSION PROCEDURE

- Pay Affecting Step Progression only and annually for Bands 8C, 8D and 9

11.1 Initiating pay progression

Pay Step Progression is a joint responsibility of the employee and the line manager. The employee's pay step date should be discussed during 1:1 meetings throughout the year so that both the employee and the line manager know and agree when they need to schedule

the pay step review meeting.

- 11.2 The employee needs to **initiate the process 2 months prior** to the month that their pay step date is due by submitting a completed Pay Progression Pro forma to their line manager (Appendix 1).

This timescale is to ensure that the line manager has the opportunity to review the employee against the criteria set out in Section 11.5 below and that ESR can be updated, by the line manager, to reflect the pay progression meeting outcome, in a timely manner. For example, for a pay step date of 16th December 2019 the employee would submit their pro forma to their line manager no later than 1st October 2019. Any late submissions will be considered individually and may not be accepted.

- 11.3 **It is the employee's responsibility to initiate pay step progression, in the specified timescale. Pay step dates can be found on the employee's *My ESR Dashboard*, which also includes when a pay step is due, last appraisal date, next appraisal date and appraisal or review type.**

ESR Self Service users will also receive notifications generated by the system to advise employees and managers when a pay step date is imminent. Employees will receive a notification 4 months and 1 month prior to a pay step date. Managers will be sent a monthly email detailing the pay step dates of their direct reports which are due within the next 90 days.

- 11.4 It is the line manager's responsibility to arrange a pay step review meeting with the employee in a timely manner to discuss whether the standards have been met. This should be based on the employee's most recent appraisal, within the previous 12 month period, and any relevant progress since then. The manager must summarise and record the outcome of this discussion on the Pay Step Progression Pro forma (Appendix 1), provide appropriate feedback and confirm their decision to the employee. A copy of the form should be retained by the employee and also included on the employee's personal file.

- 11.5 **Pay progression will be conditional upon:**

- Individuals demonstrating that they have achieved the required level of performance, confirmed on the Pay Step Progression Pro forma.
- The achievement of agreed objectives, measured in accordance with the ICB's Appraisal Framework within the previous 12 months.
- All statutory and mandatory training relevant to the employee's role is up-to-date and recorded as compliant.
- No live disciplinary sanctions (including any attached to professional registrations, where applicable).
- Not on a formal stage of the ICB's Managing Work Performance Policy.
- **For line managers only** – have completed appraisals for all their direct reports, as required.

- 11.6 If the employee has failed to meet the pay progression criteria as a consequence of constraints, beyond their control, they must evidence this on the Pay Progression Pro forma (Appendix 1). The line manager will consider this when making a decision about pay progression.

- 11.7 **Pay progression that falls within a prolonged period of agreed or recognised leave or absence**

- 11.7.1 If an employee is absent from work for reasons such as sickness or parental leave 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.

- 11.7.2 For employees whose pay step date falls within a period of long-term leave, such as sickness, maternity, adoption and shared parental leave, the pay step review can be conducted early if this is reasonable and practical, allowing the pay step to be applied on their pay step date in their absence.
- 11.7.3 If an employee is on long-term paid absence such as sickness, maternity, adoption or shared parental leave, and a pay step review cannot be conducted prior to the pay step date, the pay step point should be automatically applied in their absence, provided they were meeting the required standards in 11.5 and subject to 11.7 above. Further guidance is available from the HR team.
- 11.7.4 Employees on secondment will undertake the pay progression procedure of the ICB. Further detail can be found in the ICB's Secondment Policy.
- 11.7.5 In line with the Career Break Policy, the pay step date of any employee on a career break is frozen until their return to work. If the pay step date is imminent on their return then they will progress as normal to the next pay step point within their pay band to ensure they are not penalised. However, it is recommended that a review takes place to ascertain that their statutory and mandatory training is up-to-date and recorded as compliant. If the pay step date is 3 months or more in advance of their return the normal process would apply.
- 11.7.6 For employees who are absent due to suspension. Suspension from work on full pay is a neutral act. In order to ensure this is the case, managers 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 required standards at the point of suspension.

11.8 Employees on pay bands 8C, 8D and 9

For employees on pay bands 8C, 8D and 9, progression to the top point on their pay band is annually earned in the same way as for other AfC employees.

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.

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 paragraph 11.5 are met, salary is retained at the top of the band..No protection will apply.

Ordinarily, pay progression should not be deferred on performance grounds unless there has been a prior documented discussion between the individual and the person undertaking their review, regarding failure to meet the required level of performance. Support will be given in line with Section 13 below.

11.9 Employees not on AfC terms and conditions of employment

It is expected that all employees directly employed by the ICB will be subject to the organisation's appraisal procedure.

Pay progression for Very Senior Managers (VSMs) will need to be agreed in accordance with their contractual arrangements and subject to agreement at Board where applicable. Pay progression for staff employed under the national Medical and Dental terms and conditions of employment will need to be agreed in accordance with their contractual arrangements and the national agreement.

Pay progression for staff employed under the locally agreed Medical and Dental terms and conditions of employment will need to be agreed in accordance with their contractual arrangements and subject to agreement at Remuneration Committee.

12. APPROVING PAY STEP PROGRESSION

- 12.1 Pay progression of one step point will be conditional upon employees demonstrating that they have achieved the requisite criteria in Section 11.5. The line manager will review the employee's performance against the criteria for pay progression in conjunction with Section A of the Pro forma (Appendix 1).
- 12.2 The line manager will need to ascertain that the employee has no 'live' disciplinary warnings in place at the time of the application date and/or are not being managed at a formal stage of the Managing Work Performance Policy. If a disciplinary sanction is issued to an employee between their application for pay step progression and their pay step date the line manager will decline the pay progression, update ESR and contact Payroll to stop the progression.
- 12.3 If the employee has not actively participated in an appraisal, has failed to meet the agreed objectives or is not compliant with statutory and mandatory training applicable to their role pay step progression would not be approved.
- 12.4 However, if the employee has failed to meet the criteria due to valid organisational constraints beyond their control pay step progression would be approved.
- 12.5 If the employee has met the criteria pay progression would be approved.

When approving pay progression, the line manager must complete Section B of the Pro forma to confirm that they have made the employee and Payroll aware. It is imperative that the line manager updates ESR, and notifies Payroll via email at the beginning of the month prior to the date to ascertain the timescale is met to achieve the increase for the specified date.

13. DECLINING PAY STEP PROGRESSION

13.1 Deferral of pay step progression

At the pay step date, any employee remaining non-compliant in line with the associated timescales will not receive their pay step progression. In such circumstances pay progression will subsequently be deferred for up to 12 months until the next annual pay step date. Where an employee does not meet the required level of performance, a personal development plan (PDP) will be implemented after the original review and achievement against this will be used to determine whether an increment will be paid. If at this stage the employees pay step progression is approved, it will be paid from this date, no retrospective payments would be due. Further PDP guidance is available in the Managing Work Performance Policy.

- 13.2 The decision to defer pay step progression must have been discussed with the employee prior to any deferment being implemented. The Line Manager will complete section B of the Pro forma (Appendix 1) to record that pay step progression has been deferred and update ESR.

- 13.3 Any individual for whom pay step progression has been deferred must be offered the appropriate support in order that they have the fairest opportunity to meet the performance requirements in future.

Managers are expected to agree a 3 month development plan to improve performance. The Managing Work Performance Policy should be instigated at this point if it is not already in progress. Advice should be sought from a HR representative. Employees have the opportunity to request a review of their development plan at the end of the 3 month period. If the employee has improved and met requirements they can initiate the pay progression procedure above.

- 13.4 If pay step progression is awarded after the 3 month development plan, the employees' increment date will remain the same and they will receive an uplift in payment for the remaining 9 months of the year onto the next pay step point. No retrospective payments would be due for the outstanding development period. If the employee does not meet the criteria of the development plan they cannot apply for pay progression again until the following year (for example a pay step date of the 4th October 2021, pay progression will not be considered again until the 4th October 2022). The Managing Work Performance Policy will continue to be applied.

14. THE RIGHT OF APPEAL

- 14.1 Where an employee disagrees with the decision made to defer pay step progression, the employee has the right to request a review of the decision. To do so, they must set out the grounds of their appeal in writing. The employee has the right to be accompanied at the meeting by a work colleague or Trade Union representative, providing that they are not acting in a legal capacity.
- 14.2 An appeal hearing will be set up to review the decision. The review will be undertaken by the Line Manager's Manager or equivalent who has not previously been involved (the appeal). The employee's Line Manager will also be required to attend the appeal to explain why they believe the pay step progression cannot be agreed. The employee will be given 5 working days' notice of the review panel hearing and be entitled to be accompanied at the meeting by a work colleague or Trade Union representative, provided they are not acting in a legal capacity.
- 14.3 It will be up to the appeal manager to decide, on the basis of the evidence provided by both the employee and the Line Manager, whether or not pay step progression is approved.
- 14.4 Where the appeal manager considers that pay step progression has been inappropriately deferred, the pay progression will be reinstated from the step point date and retrospective payments made from that date.
- 14.5 The employee must be informed of the outcome of their review in writing within 5 working days of the date of the meeting. This is the final decision and the end of the formal procedure, there is no right to evoke the grievance policy.

15 REFERENCES

- NHS Terms and Conditions of Service Handbook ([Annex 23](#))
- NHS Knowledge and Skills Framework and the Development Review Process
- Statutory and Mandatory Training.
- The NHS Staff Council Additional Staff Council FAQs for England
- NHS Core Competencies

16 ASSOCIATED DOCUMENTATION

To be read in conjunction with the following:

- ICB's Performance and Development Appraisal Framework and Procedure
- ICB's Induction and Probation Policy
- ICB's Disciplinary Policy
- ICB's Managing Work Performance Policy
- ICB's Career Break Policy
- ICB's Professional Registration Policy
- ICB's Maternity, Maternity Support (Paternity), Adoption and Parental Leave Policy
- ICB's Secondment Policy
- ICB's Equality and Diversity Policy
- ICBs Data Protection and Confidentiality Policy

17 APPENDICES

- Appendix 1 - Pay Progression Pro forma
- Appendix 2 - Pay Progression Flow Chart
- Appendix 3 - Integrated Impact Assessment

APPENDIX 1

Pay Step Progression Pro forma

Section A – Employee Declaration

To be completed for **all pay affecting progression applications** and **annually where staff on the top spine point of bands 8C, 8D and 9 retain their pay step.**

Please ensure that you submit this to your line manager 2 months prior to the month that your pay step date is due.

Employee Name:

Manager Name:

Job Title:

Pay Step due date:

Band:

Last appraisal date:

I can confirm that:	Yes/No
All statutory and mandatory training is up-to-date & recorded as compliant	
I have achieved satisfactory appraisals and associated objectives	
I have no live formal disciplinary warnings, including any attached to professional registration where applicable	
I am not in the formal stage of the capability process	

Please note any mitigation

Signed:

Date:

Section B - Line Manager Declaration

Please select one option from the tables below.

Progression Confirmed	Tick	Yes/No/Add Comments
The employee has met the pay progression criteria and will progress to the next pay step point.		
The employee has met the performance standards and will retain their current pay point (pay bands 8C, 8D & 9 only for the top point.) .		
The employee has failed to meet the required criteria for pay step progression but that there are constraints beyond their control that have prevented the achievement of this and will therefore progress to the next increment.		Discuss with HR team and detail reasons:
I confirm the employee is on maternity/adoption leave, or on long term sickness absence and they have been assessed on their performance over the 12 months prior to their current period of leave where possible and will automatically progress to the next pay step point.		

Progression Declined	Tick	Yes/No/Add Comments and Evidence
The employee has failed to meet the criteria for pay step progression and there are no valid constraints that have prevented this therefore pay step progression is declined.		
Pay step progression has been declined and the employee will reduce to the previous pay point (pay bands 8C, 8D & 9 only for top pay point) .		Email Payroll to advise.

By signing I confirm that: the employee has been made aware of the outcome of the review, and where appropriate they have been made aware of their right of appeal; ESR has been updated; and payroll has been advised of any necessary actions.

Date of Pay Step Review meeting:

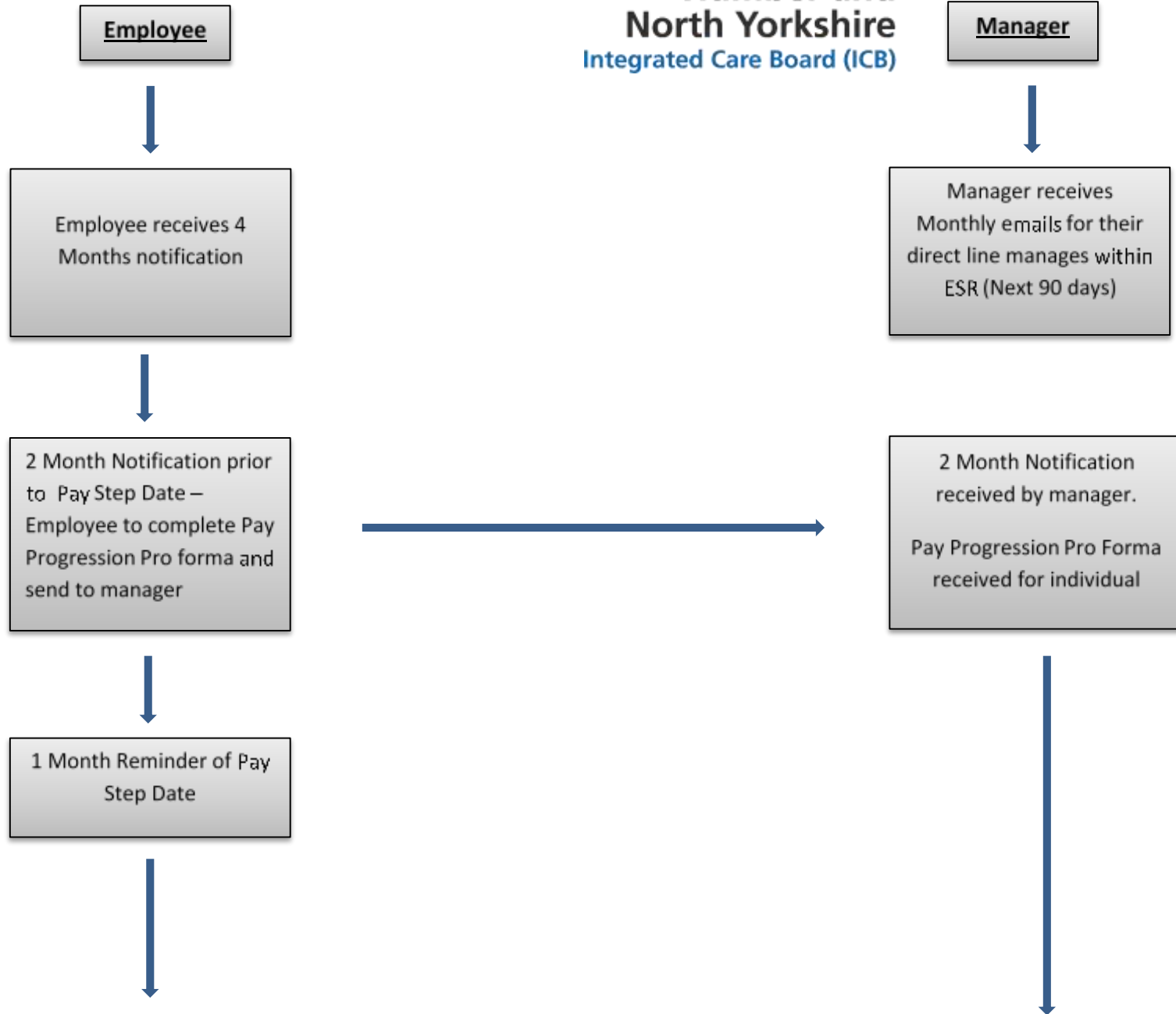
Name:

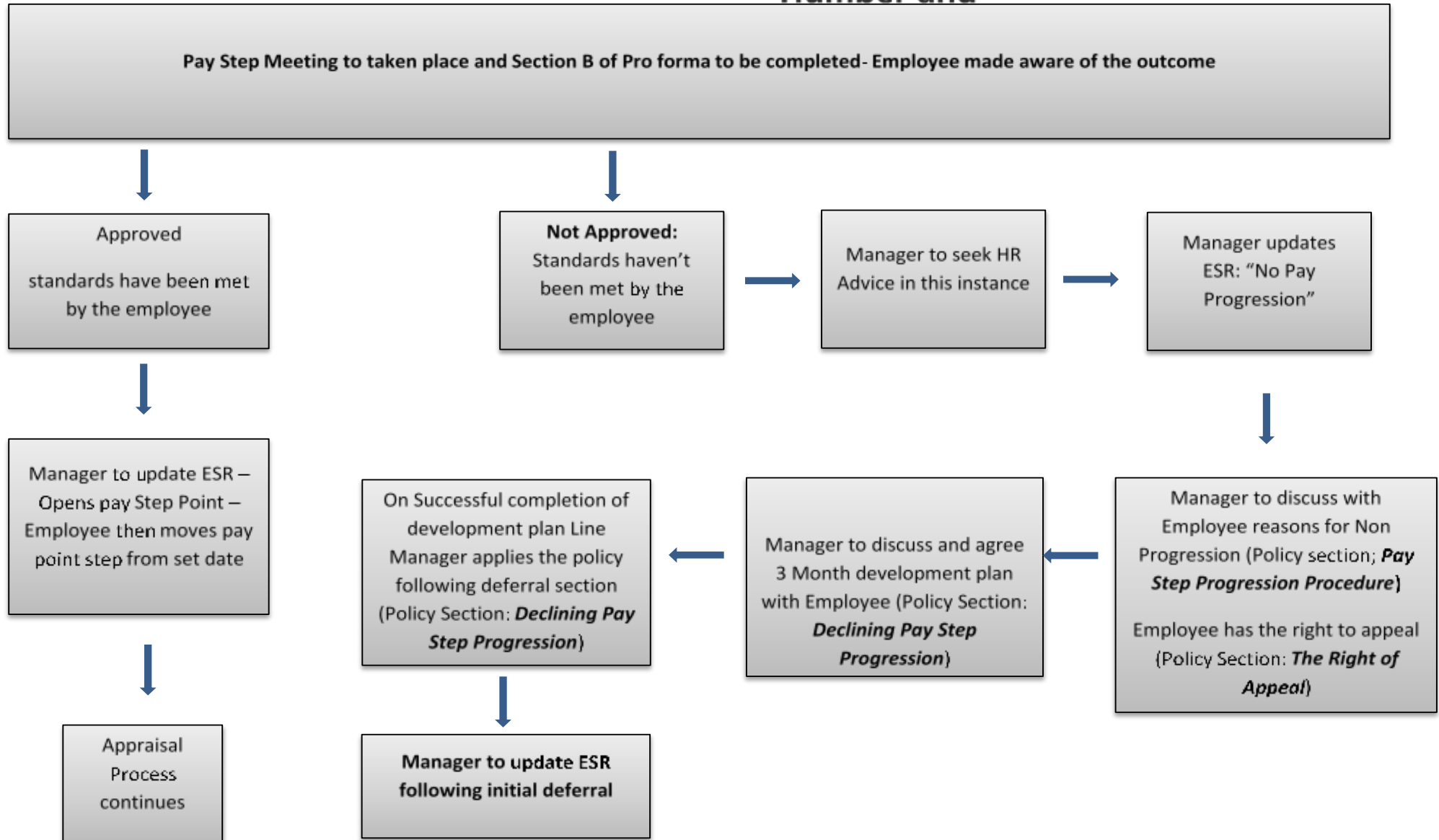
Position:

Signature:

Date:

A copy of this form must be sent by email to hr.humber@nhs.net





INTEGRATED IMPACT ASSESSMENT

Policy/project/function/service	Pay Progression Policy	
Date of analysis:		
Type of analysis completed	Quality	
	Equality	x
	Sustainability	x
What are the aims and intended effects of this policy/project or function?	In accordance with AfC, this policy sets out the basis upon which an individual's performance drives pay progression. It is expected that employees who can demonstrate the required level of performance and conduct, who have met their objectives and are compliant as regards their statutory and mandatory training will progress annually through the pay points in their salary band.	
Please list any other policies that are related to or referred to as part of this analysis	<ul style="list-style-type: none"> • ICB's Performance and Development Appraisal Framework and Procedure • ICB's Induction and Probation Policy • ICB's Disciplinary Policy • ICB's Managing Work Performance Policy • ICB's Career Break Policy • ICB's Professional Registration Policy • ICB's Maternity, Maternity Support (Paternity), Adoption and Parental Leave Policy • ICB's Secondment Policy • ICB's Equality and Diversity Policy 	
Who does the policy, project, function or service affect?	Employees	X
	Service users	
	Members of the public	
	Other (please list)	
QUALITY IMPACT		

	Please 'X' ONE for each			Brief description of potential impact	Mitigation strategy and monitoring arrangements	Risk 5 x 5 risk matrix)	
	Chance of Impact on Indicator					Likelihood	Consequence
	Positive Impact	No Impact	Negative Impact				
	X	X	X				
PATIENT SAFETY							
Patient safety /adverse events		X					
Mortality position		X					
Infection control MRSA/CDIFF		X					
CQC status		X					
NHSLA / CNST		X					
Mandatory/statutory training	X			Requirement under the new pay progression system that statutory and Mandatory training must be completed in order to progress to the next pay step point	Statutory and mandatory training is monitored monthly through reports ran by the HR team and will be picked up by managers/employees ahead of pay progression meetings		
Workforce (vacancy turnover absence)		X					
Safe environment		X					
Standard & suitability of equipment		X					
CLINICAL EFFECTIVENESS							

NICE Guidance and National Quality Standards, eg VTE, Stroke, Dementia		X					
Patient related outcome measures		X					
External accreditation e.g. professional bodies ie RCN		X					
CQUIN achievement		X					
PATIENT EXPERIENCE							
Will there be an impact on patient experience if so how		X					
Will it impact on carers if so how		X					
INEQUALITIES OF CARE							
Will it create / reduce variation in care provision?		X					
STAFF EXPERIENCE							
What is the impact on workforce capability care and skills?		X					
Will there be a change in working practice, if so, how?		X					
Will there be an impact on training	X			Pay Progression will now be dependent on statutory and mandatory training being completed and employees will only pass through pay step points if they have met their objectives			
TARGETS / PERFORMANCE							

Will it have an impact on performance, if so, how?	X			As pay progression will be dependent on objectives then it is likely that this will have a positive effect on performance.			
Could it impact on the achievement of local, regional, national targets, if so, how?	X			If employees objectives are based around any of these targets then this will likely have a positive impact on them being achieved			
EQUALITY IMPACT							
Analysis Rating (see completion notes)	Red		Red/Amber		Amber		Green
Approved by:	Commissioner Lead:				GP lead for E&D:		
	Date				Date		
Local Profile Data as at 4th March 2021							
General							
Gender (Men and Women)	Male: 24.4% Female: 75.6%						

Race (All Racial Groups)	<p>White British: 70.73%</p> <p>Mixed White & Black African: 1.22%</p> <p>Asian or Asian British - Indian: 4.88%</p> <p>Asian or Asian British - Bangladeshi: 2.44%</p> <p>Asian or Asian British - Any other Asian background: 1.22%</p> <p>Unspecified: 18.29%</p> <p>Not Stated: 1.22%</p>
Disability (Mental and Physical, Sensory Impairment, Autism, Mental Health Issues)	<p>No: 11%</p> <p>Not Declared: 1.2%</p> <p>Not Specified: 87.8%</p>
Religion or Belief	<p>Christianity: 7.32%</p> <p>Not Declared: 3.66%</p> <p>Not Specified: 89.02%</p>
Sexual Orientation (Heterosexual, Homosexual and Bisexual)	<p>Heterosexual or Straight: 4.88%</p> <p>Not Disclosed: 3.66%</p> <p>Unspecified: 91.46%</p>
Pregnancy and Maternity	The ICB does not currently monitor this data
Transgender	The ICB does not currently monitor this data
Marital Status	<p>Civil Partnership: 1.22%</p> <p>Divorced: 8.54%</p> <p>Married: 62.20%</p> <p>Single: 21.95%</p> <p>Unspecified: 4.88%</p>

Age	<p>21-25: 1.22%</p> <p>26-30: 4.88%</p> <p>31-35: 6.10%</p> <p>36-40: 15.85%</p> <p>41-45: 13.41%</p> <p>46-50: 15.85%</p> <p>51-55: 19.51%</p> <p>56-60: 14.63%</p> <p>61-65: 7.32%</p> <p>66-70: 1.22%</p>
Equality Data	
Is any equality data available relating to the use or implementation of this policy, project or function?	Yes - Workforce Data
List any consultation e.g. with employees, service users, Unions or members of the public that has taken place in the development or implementation of this policy, project or function.	Consultation has taken place with staff and trade unions
Promoting inclusivity; How does the project, service or function contribute to our aims of eliminating discrimination and promoting equality and diversity?	This Policy does not directly promote inclusivity, but sets out a process to allow all staff to access training where required. However, this might be more difficult for some groups and this must be monitored.
Equality Impact Risk Assessment test	

What impact will the implementation of this policy, project or function have on employees, service users or other people who share characteristics protected by <i>The Equality Act 2010</i> ?					
Protected Characteristic:	No Impact	Positive Impact	Negative Impact	Applied Equally to all regardless of any protected characteristic	
Gender (Men and Women)		X		The policy supports both maternity and paternity absence.	
Race (All Racial Groups)	x			The policy ensures equitable pay progression. No local evidence of impact. To be monitored.	
Disability (Mental and Physical, Sensory Impairment, Autism, Mental Health Issues)	x			The policy supports reasonable adjustments for those who may be suffering a long term health condition classed as a disability or with adjusting to a new disability. Or those who may need a career break due to caring responsibilities related to disability.	
Religion or Belief	x			The policy supports pay progression that falls within a prolonged period of leave such as an employee undergoing a religious rite of passage or taking an extended faith related journey.	
Sexual Orientation (Heterosexual, Homosexual and Bisexual)	x			Considered, no local evidence of impact. To be monitored.	
Pregnancy and Maternity		x		The policy supports employees on long term sickness absence and/or maternity leave.	
Transgender		x		The policy supports those who may be using a career break whilst undergoing gender reassignment	
Marital Status	x			Considered, no local evidence of impact. To be monitored.	
Age	x			Considered, No local evidence of impact. To be monitored.	
Action Planning					
As a result of performing this Equality Impact Analysis, what actions are proposed to remove or reduce any risks of adverse outcomes identified on employees, service users or other people who share characteristics protected by The Equality Act 2010?					
Identified Risk:	Recommended Action:		Responsible Lead	Completion Date	Review Date

SUSTAINABILITY IMPACT

Staff preparing a Policy / Board Report / Committee Report / Service Plan / Project are required to complete a Sustainability Impact Assessment. Sustainability is one of the Trust's key Strategies and the Trust has made a corporate commitment to address the environmental effects of activities across Trust services. The purpose of this Sustainability Impact Assessment is to record any positive or negative impacts that this activity is likely to have on each of the Trust's Sustainability Themes.

	Positive Impact	Negative Impact	No Specific Impact	What will the impact be? If the impact is negative, how can it be mitigated? (action)
Reduce Carbon Emission from buildings by 12.5% by 2010-11 then 30% by 2020			x	
New builds and refurbishments over £2million (capital costs) comply with BREEAM Healthcare requirements.			x	
Reduce the risk of pollution and avoid any breaches in legislation.			x	
Goods and services are procured more sustainability.			x	
Reduce carbon emissions from road vehicles.			x	

Reduce water consumption by 25% by 2020.			x	
Ensure legal compliance with waste legislation.			x	
Reduce the amount of waste produced by 5% by 2010 and by 25% by 2020			x	
Increase the amount of waste being recycled to 40%.			x	
Sustainability training and communications for employees.			x	
Partnership working with local groups and organisations to support sustainable development.			x	
Financial aspects of sustainable development are considered in line with policy requirements and commitments.			x	