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1	November/December 2013	Changes due to Agenda for Change amendments (July 2013)
2	March 2014	Amendments following discussion with Trust Senior Leaders and Executive Team
3	12 March 2014	Changes following discussion with staff-side representatives at HR/TU policy group: 2. Removed 'and KSF' from end of second sentence 4.3.2. Emphasis on key principal of no surprises

		<p>5.3. Paragraph added relating purpose of Personal Development being motivational, engaging and developmental</p> <p>6.1.1 Hyperlink to Personal Development paperwork added</p> <p>6.2.1 Provision for managers of large teams to discuss mechanisms for Personal Development with HR</p> <p>6.4.2 Paragraph added regarding importance of completing mandatory training and discussing this during Personal Development.</p> <p>6.5.2 Added paragraph to recommend interim review meeting</p> <p>8. Added that expectation for staff who are absent long term should pass through their increment.</p>
4	25 March 2014	<p>Changes following JNP:</p> <p>Front page – Review date changed to 12 months from April 2014</p> <p>7.3.1. - changed to read ‘The nature of delivery differs greatly from role to role and each role will have its own satisfactory levels of performance.’</p>
5	September 2015	<p>Changes following streamlining of paperwork and pilot (Aug/Sept 2015):</p> <p>Changes to rename appraisal to ‘Personal Development Review (PDR) throughout</p> <p>Re-numbered</p> <p>4.3.2. added – ‘additional interim reviews are recommended’</p> <p>5.1 added – ‘modelling of the Trust Values’, removed ‘KSF post outline’</p> <p>6 added – new section on NMC Revalidation</p> <p>7 added section on non-compulsory use of KSF for staff groups who require it</p> <p>8 added section on evidence for NMC Revalidation and taking mandatory training compliance evidence from ESR self service</p>
6	October 2015	<p>Section 1. Trust Values and Vision added</p> <p>Section 4. Roles and Responsibilities developed further to include HR</p>
7	June 2019	<p>Changes made following Agenda for Change Contract refresh which introduces transition to new pay progression procedure from 1 April 2019.</p> <p>New process for pay progression for new starters to the NHS and promoted staff, following Agenda for Change contract refresh. Section 11.</p> <p>Changes to section on re-earnable pay for senior staff. Section 13</p>

		Policy to be reviewed again in December 2020 to incorporate these changes for all staff which will be introduced in April 2021.
8	July 2022	Location of where to obtain a PDR form, point 5.2. page 7.
9	July 2022	Page 6, Section 3: Scope point 3.2 and 3.3 added, providing clarity on mandatory requirement for PDR for employees. Page 7 for PDR to be available upon request for bank workers, now point 4.4.3.

Policy and Procedure for Personal Development Review (PDR) and Pay Progression

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1. Introduction

- 1.1. The delivery of high-quality patient care within the NHS critically depends on every member of staff:
 - Having a clear understanding of the Trust vision and values, their role and the part they play in their team and organisation
 - Having an agreed set of priorities and objectives for their work
 - Possessing and applying the knowledge and skills they need to perform that role effectively and to achieve their objective
- 1.2. For all staff on Agenda for Change terms and conditions of service, pay progression is dependent upon taking part in a Personal Development Review, agreeing and making good progress towards achievement of a set of objectives, and making satisfactory performance within their role. This will remain in place until 1 April 2021 when the new arrangements (set out in section 11) will apply.
- 1.3. With effect from 1 April 2019 all staff commencing NHS employment and those staff who are promoted on or after this date are subject to new pay progression arrangements. These are set out in section 11.

2. Purpose

- 2.1. The purpose of this policy is to set out the Personal Development Review process and criteria for agreeing pay progression in accordance with Agenda for Change terms and conditions. It replaces any previously issued policy for Personal Development Review and Pay Progression.

3. Scope

- 3.1. This policy applies to all employees working for the Trust on Agenda for Change terms and conditions of service. It does not apply to bank workers.
- 3.2. All employees whether working on permanent or fixed-term contracts must undertake a PDR at least annually with the initial PDR taking place within 3 months of commencement of a new role.
- 3.3. Bank workers may request a PDR with the person responsible for their supervision or line management, however there is no mandatory requirement for this.

4. Roles and Responsibilities

- 4.1 The Trust Board will be responsible for:
 - 4.1.1. Giving their commitment to fair and equitable treatment of all members of staff who undertake a Personal Development Review.
- 4.2 Directors will be responsible for:

- 4.2.1. Ensuring the implementation of the policy and procedure for personal development and pay progression within the Trust and providing the Board with robust assurance that Personal Development Reviews are being undertaken in accordance with the conditions as set down in the NHS Terms and Conditions of Service Handbook.
- 4.2.2. Ensuring regular audit takes place to monitor that the systems in place adequately monitor compliance with this policy.
- 4.3 The People Directorate will be responsible for:
 - 4.3.1. Development of the policy and associated documents
 - 4.3.2 Delivery of training and advice on Personal Development Reviews
 - 4.3.3 Monitoring and reporting on PDR compliance
 - 4.4.4 The Deputy Director of People and Workforce will be responsible for Chairing a ratification panel where deferral of pay progression has been recommended.
- 4.4 Line Managers and Senior Managers will be responsible for:
 - 4.4.1. Ensuring that both they and their staff are aware of the policy and for applying the policy consistently for all staff.
 - 4.4.2. Ensuring that every employee within their scope of management receives a Personal Development Review, at a minimum, once a year (additional interim reviews are recommended) and to ensure that performance is managed appropriately, raising concerns about the performance of a member of staff at the first available opportunity. Adhering to the **key principal** that there should be **no surprises** in a Personal Development Review.
 - 4.4.3 Ensuring that bank workers within their team are provided with a PDR upon request.
 - 4.4.4. Keeping appropriate and accurate records relating to Personal Development Reviews, both on paper format on the personal file and on ESR through Manager Self-Service.
 - 4.4.5. Recommending pay progression, where appropriate, following the annual Personal Development Review and ensuring that Pay Services are informed in a timely manner when pay progression is not agreed.
 - 4.4.6. In cases where pay progression is not agreed, contacting HR to arrange a ratification panel.
- 4.5 Staff will be responsible for:
 - 4.5.1. Being aware of and adhere to this policy and to take part in the Personal Development Review process and associated interim reviews.

5. Purpose of Personal Development Reviews

- 5.1. A Personal Development Review is two-way discussion between the employee and their manager/reviewer to enable a discussion about the employee's role and modelling of the Trust Values, health and wellbeing, supervision and progress towards completing objectives, accomplishments, future objectives and development needs.
- 5.2. The PDR form can be found on the staff zone by searching in the library section and under the 'full library search'. Training for both managers and staff is provided at regular intervals throughout the year.
- 5.3. It is recommended that each manager can undertake twelve to fifteen reviews in one year. However it is recognised that in some areas this number may be increased. Line Managers who have concerns regarding the number of staff to be appraised may discuss this with their manager or contact Human Resources to discuss possible solutions.
- 5.4. Protected time will be given to both the manager and employee to undertake the PDR meeting. It is the reviewers responsibility to ensure the meeting is constructive and a coaching style is adopted to encourage discussion and to make the employee feel comfortable during the process. There is evidence that well constructed PDRs significantly increase motivation, performance level and personal commitment to the team and Organisation.
- 5.5. The PDR is an opportunity for all staff to have protected time to discuss and review their performance and for managers to motivate, encourage and engage staff with planning objectives and development for the coming twelve months.
- 5.6. For staff who are not already at the top of their pay band, the PDR is the tool which is used to agree pay progression for each member of staff and because of this it is essential that the review is carried out in a fair and transparent manner with consistency across the Trust.

6. Personal Development Reviews and Professional Registration

- 6.1 Staff who are required to undertake the Nursing and Midwifery Council (NMC) Revalidation Process, should use the PDR paperwork and the recommended NMC Revalidation paperwork in conjunction to review the four areas required by the NMC (as below). The PDR paperwork allows for sign-off of the revalidation review and the PDR.
 1. Practice Hours Record
 2. CPD
 3. Reflective Accounts
 4. Professional Development Discussion

7. Personal Development Reviews and Use of KSF

- 7.1 Use of the KSF is no longer compulsory for Personal Development Reviews for all staff working within the Trust. PDR has a values-based approach which

requires staff to demonstrate appropriate values and behaviours. Staff who require a competency framework to underpin their review should continue to use the NHS Knowledge and Skills Framework (KSF) and use the guidance in section 7 of this policy.

7.2 Post Outlines

7.2.1. For roles where a competency framework is required to undertake the PDR (see 7.1. above), the Trust uses simplified KSF post outlines for each pay band. If the position you are reviewing already has a post outline, the core dimensions and levels should be taken from there. If the post is new or does not have a KSF outline, use the table below as a guide.

7.2.2. If you and your member of staff agree that a more detailed post outline for their role is required, you may add additional dimensions to the KSF section of the Personal Development if required. It is important to remember that the post outlines are linked to posts, not people, so need to be consistent for every person that shares the same post.

7.2.3. The table below is intended as a guide only and it is acknowledged that outlines for some posts may need to be changed to reflect the full role.

7.2.4 Table 1 - Example of levels for a post outline

	Communication	Personal and People Development	Health, Safety and Security	Service Improvement	Quality	Equality and Diversity
Band 1	1	1	1	1	1	2
Band 2	2	1	2	1	1	2
Band 3	2	2	2	1	2	2
Band 4	2	2	2	2	2	2
Band 5	3	3	2	2	2	2
Band 6	3	3	2	2	3	2
Band 7	3	3	3	3	3	3
Band 8a&b	4	4	3	4	4	3
Band 8c,d and Band 9	4	4	4	4	4	4

8. Gathering Evidence

8.1. The Personal Development Review process should be an ongoing cycle throughout the year, with a focus on an open conversation and agreeing objectives linked to the Trust's priorities and personal development. With the exception of NMC registered staff, who will be required to provide evidence for NMC Revalidation, where managers and staff are regularly reviewing and discussing these on an ongoing basis then there should be little need to refer

to written evidence during the annual meeting, as both reviewer and reviewee should be able to refer to relevant actions and examples to agree and confirm.

- 8.2. All required statutory and mandatory training must be completed and evidence of completion produced and discussed at the PDR meeting. Evidence is available through ESR manager and employee self-service via the compliance matrix. For staff who have been promoted or joined the NHS after 1 April 2019 completion of mandatory training forms part of the essential criteria for pay progression.
- 8.3. If poor performance is identified and there is a need to delay pay progression, evidence must then be provided to support this decision.

9. Frequency and Timing of Personal Development Review

- 9.1. All staff must have an annual PDR as a minimum and this is a joint responsibility. Accountability however, rests with managers. Postponements should only occur in exceptional circumstances and where this has occurred, the date must be re-booked without delay.
- 9.2. The PDR meeting is part of an annual cycle. It is advisable to hold at least one other interim meeting during the year to review progress against objectives.
- 9.3. Newly appointed or promoted employees joining a pay band must have at least **two** discussions with their manager (or person acting as their reviewer) to review progress during their first year of employment with the Trust. The first of these discussions must take place during the induction period (within the first three months) to ensure employees make a success of the new job and confirm as quickly as possible that they are applying the basic knowledge and skills needed for the job. The second discussion will form part of a formal employee's PDR.
- 9.4. Best practice is for PDR to take place in a cascade method. This means that Executive Directors agree their objectives in the early part of the year and these are cascaded to their direct reports and so on through the hierarchy until every member of staff has received their review and objectives. Where possible the PDR should take place no later than 3 months prior to the employee's incremental date. This is to ensure that performance is reviewed in time to approve incremental pay progression. This also ensures that if an employee is currently being supported through the Procedure for Maintaining High Standards of Performance, they are able to have sufficient notice of a deferment of progression if necessary.
- 9.5. In order to fit in with the cascade approach (as outlined above) PDRs may need to be undertaken more than three months before the incremental date. However, it remains important that employees are clear that incremental pay progression is dependent on their performance. In this situation confirmation can be given that incremental progression is agreed on their incremental date, **subject to continuing to meet the performance standards.**
- 9.6. Where a manager is not able to confirm this at the time of the Personal Development Review, then a further date should be set to discuss this

specifically, at no later than 3 months prior to the incremental date for the reasons outlined above.

10. Recording Personal Development Reviews

- 10.1. The central recording system for Personal Development Reviews is ESR and all PDRs must be recorded by managers via ESR Manager Self Service.
- 10.2. Personal Development Review compliance rates are monitored and reported regularly through the Quality and Safety Committee to the Board.
- 10.3. Completed PDR paperwork should be kept on the employee personal file and a copy kept by the individual. There is no requirement to send copies to HR or Payroll unless a ratification panel is required (see section 14 of this policy)

11. Pay Progression

- 11.1 Following the 2018 Agenda for Change Contract Refresh there are different requirements for pay progression for existing staff and those who joined the NHS or were promoted to a higher band on or after 1 April 2019. These requirements will align on 1 April 2021 when all staff will be required to meet the criteria set out in 11.3.5 below.

The new pay system will bring faster progression to the top of pay bands through fewer pay step points and will be underpinned by annual PDR.

11.2. Pay Progression for Staff in Post before 1 April 2019

11.2.2 Incremental pay progression for all pay points is conditional upon individuals demonstrating that they have the requisite knowledge, skills and competencies for their role and that they have demonstrated the required levels of performance and delivery. Progression to the next incremental point (unless the employee has already reached the maximum point) or confirmation of deferral will be confirmed at the Personal Development Review meeting.

11.2.3 To progress to the next increment you must meet the following standards:

- Your appraisal (PDR) process has been completed within the last 12 months and outcomes are in line with organisational standards
- You have agreed a set of meaningful objectives for the year ahead (linked to organisational goals and priorities)
- Made satisfactory progress towards achieving your objectives during the preceding twelve months

11.2.4 ESR will automatically apply a pay increment where due

11.3 Pay Progression for Staff commencing employment in the NHS or Promoted to a Higher Pay Band from 1 April 2019

11.3.1 Pay progression will no longer be annual for this group of staff (all other staff will move to this process from 1 April 2021).

11.3.3 Staff in bands 2 ,3 ,4 ,8a ,8b , 8c and 9 have one pay step date (entry and top). Staff in bands 5, 6 and 7 have two pay step dates (entry, intermediate and top). See appendix 1 for a diagram.

11.3.4 It may be necessary to undertake a pay step review meeting in addition to a PDR meeting depending on the timing of the annual PDR in relation to the pay step date.

11.3.5 To progress to the new pay step point you must meet the following standards:

- Your appraisal (PDR) process has been completed within the last 12 months and outcomes are in line with organisational standards. *(You have an agreed a set of meaningful objectives for the year ahead [linked to organisational goals and priorities] and you have made satisfactory progress towards achieving your objectives during the preceding twelve months).*
- You are not in a formal capability process
- There is no disciplinary sanction live on your employment record
- You have completed all statutory and mandatory training
- If you are a line manager, you have completed all your appraisals for all your staff as required.

11.3.5 It is expected that all staff will meet the required standards and therefore be able to progress on their pay step date. The employee has the right to contest a decision using the procedure set out in section 14 of this policy.

11.3.6 Manager approval to progress through a pay step will be entered on to ESR (progression will not be an automated process)

11.4. Deferral of Pay Progression

11.4.1. Incremental pay progression may be deferred if the reviewee has not met the standards required as detailed in 11 above, but the following safeguards must apply:

11.4.2. Pay progression cannot be deferred unless there has been prior discussion documented during the previous 12 months between the individual and their line manager/reviewer.

- 11.4.4. In assessing an individual's performance, line managers should be mindful of factors that have been outside the control of individual staff. Where the organisation has not been able to meet responsibilities for supporting the individual to achieve the required standard, such support and development should be arranged as soon as possible, the individual employee will still progress to the next increment/pay step.
- 11.4.5. The performance Personal Development meeting is not the appropriate time to raise serious concerns about performance for the first time.

12. Process for Deferring Pay Progression

- 12.1. The nature of delivery differs greatly from role to role and each role will have its own satisfactory levels of performance.
- 12.2. An individual is considered to have not met the required standards to achieve incremental pay progression if they have had previous discussions with their manager as referred to in section 11 above.
- 12.3. Where Personal Development has not occurred and satisfactory progress towards objectives has not been made due to managerial issues, the reasons must be documented and agreed and the employee will not be penalised.
- 12.4. Following deferral of incremental pay progression ESR must be updated to notify Pay Services (for new starters/promotions from 1 April 2019 this will be automatic on ESR). A further pay step review meeting must be arranged at an agreed date to review progress and, where satisfactory, initiate the opening of the pay step/increment.
- 12.5. If the required level of performance is then met, pay progression will be awarded and this will not change your next incremental/pay step date.
- 12.6. Where a pay step date is delayed due to a live disciplinary sanction or capability process (this applies to new starters/promotions from 1 April 2019 only) the line manager must initiate a pay step review meeting before the expiry of the sanction or improvement plan. 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 from the day after the sanction expires. The pay step date will remain unchanged.
- 12.7. A disciplinary sanction cannot be applied retrospectively to delay a pay step if it comes into effect after the pay step date.

13. Re-earnable Pay for Senior Staff (8C, 8D and 9)

- 13.1. Following the 2018 Agenda for Change Contract Refresh the provision for existing staff on pay bands 8C, 8D and 9 will differ from those who are new to the NHS or are promoted to a higher pay band on or after 1 April 2019.

From 1 April 2021 the new provision will apply to all staff.

13.2 Re-earnable Pay for Staff in Post before 1 April 2019

13.2.1 Section 1.11 of the Agenda for Change Handbook makes a clear distinction between how incremental points for senior staff in the Trust are awarded and the requirement for performance levels to be maintained in order for increments to be retained.

13.2.2 Pay progression beyond the first four pay points in bands 8C, 8D and 9 will be dependent on locally determined levels of performance. Staff will progress through the last two pay points in these bands only when they are assessed as having met the required level of performance.

13.2.3 Removal of the last two incremental points (Bands 8C, 8D and 9 only)

13.2.4 Where an individual has not reached the required performance and where they have achieved the last two incremental points post April 2014, one incremental point can be removed at each incremental review. Progression into to the last two pay points will be reviewed annually and if the required level of performance has not been reached, one annually removed point will be withdrawn.

13.2.5 The pay point will then only be returned on the next annual review.

13.3 Re-earnable Pay for Staff commencing employment in the NHS or Promoted to a Higher Pay Band from 1 April 2019

13.3.1 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 set out in 11.3.5.

13.3.2 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.

13.3.3 In the year after an employee has reached the top of bands 8c, 8d or 9, 5 per cent or 10 per cent of the salary will become re-earnable. Where the standards in paragraph 11.3.5 are met, salary is retained at the top of the band. If the 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 set out in section 11.4 of this policy.

13.3.4 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.

13.3.5 The employee has the right to contest a decision using the procedure set out in section 14 of this policy.

14 Deferral of Pay Progression – Ratification Panel (staff in post prior to 1 April 2019 only)

- 14.1. If a decision is taken to delay pay progression or withdraw annually earned pay points (bands 8C, 8D and 9 only) this decision must be ratified by a review panel consisting of the following staff:
- Head of HR and Workforce
 - Staff-side Chair
 - Manager from a service other than that which the member of staff is employed in
- 14.2. The manager responsible for the decision to delay pay progression will present evidence for their decision to the panel. Where the decision is in dispute, the employee may also present their evidence to the panel.
- 14.3. If the decision is not upheld by the panel, the increment and incremental date will be reinstated.
- 14.4. The decision of the panel may be appealed through the Trust Grievance Process.

15. Absence from Role

- 15.1 Where a member of staff has been absent from work due to long term sickness (more than 28 days), maternity, adoption or extended paternity leave the expectation is that they will pass through their increment.
- 15.2. In the case of absence due to the reasons in 15.1 where the individual has attended work for some of the review period a PDR should be carried out based upon the time that they were in work.

Appendix 1 – Diagram of Pay Structure and Pay Progression

