



ESR Supporting Agenda for Change Pay Progression



The NHS Staff Council [Framework agreement on the reform of Agenda for Change](#) document references the intention to end the 1 per cent basic pay policy, and announced that additional funding could be made available for a multi-year pay deal for Agenda for Change (AfC) staff that would support productivity, recruitment and retention. The framework sets out a three-year agreement covering the period 1st April 2018 to 31 March 2021. It sets out both the pay investment that will be made and the reforms that employers, NHS trade unions and the Department of Health and Social Care agreed to implement over the period of the agreement and going forward.

THE NHS STAFF COUNCIL
WORKING IN PARTNERSHIP



Electronic Staff Record Programme

Overview

A key objective within the framework agreement is to increase employee engagement by ensuring appraisal and personal development are at the heart of pay progression, so that employees are supported to develop their skills and competences in each pay band and are subsequently rewarded. This is underpinned by a commitment from employers to enhance the relationship line managers have with their employees and to fully utilise an effective appraisal process.

The new Agenda for Change pay progression arrangements came into effect on the 1st April 2019 for new starters and those promoted to a new role on or after the 1st April 2019. (Promotion means moving to a higher banded role).

For all employees that were in post before the 1st April 2019, organisational pay progression procedure continues to apply until 31st March 2021, after which time they will be subject to the new provision. These employees will retain their existing pay step point (previously known as the incremental date) and continue to move through their pay journey during the transition period in line with existing procedures.

‘The new pay progression system will help ensure that all staff have the appropriate knowledge and skills they need to carry out their roles, and so make the greatest possible contribution to patient care. It will be underpinned by a commitment from employers to strengthen and improve the appraisal process.’

Framework agreement on the reform of Agenda for Change, NHS Staff Council

Role of ESR

Working closely with NHS Employers and the Pay Progression sub group to understand the policy implications from the revised Annex 23 of the AFC Terms and Conditions Handbook, the NHS BSA ESR Team reviewed ESR system processes to identify and respond to the changes - enhancing the solution by fully automating ESR functionality for the purpose of pay progression. This therefore enables organisations to fully utilise the ESR solution to undertake pay progression successfully for their workforce.

Pay step points for all new starters or those promoted to a higher band on or after the 1st April 2019 that are affected by the new pay progression arrangements will have their pay step point automatically stopped until such time as a positive action has been taken by the manager or the organisation to open this pay step.

Opening the pay step point for these employees can be done via ESR Manager / Supervisor Self Service or via an ESR professional user with access to HR Administration or Learning Administration User Responsibility Profiles (URPs) to update ESR core forms.

Essential ESR Functionality for Pay Progression

This new ESR functionality was developed and agreed in partnership, and has been built to accommodate those organisations that have fully deployed one of the Manager / Supervisor Self Service offerings. If an organisation has not deployed Manager or Supervisor Self Service they can still update ESR through core forms functionality via the Appraisals and Development Summary Extra Information Type (EIT) form.

The key areas of functionality that support pay progression are:

1. Appraisals via Self Service

The appraisal functionality available through Employee and Manager Self Service enables an organisation to manage the end to end appraisal process online for all of their staff. This includes the ability to access a standard appraisal template or allows the organisation to create a bespoke template using HTML coding. The process includes the reviewing of competencies, objectives setting and enables the electronic transfer of the appraisal between the employee and manager.

Performance Management Plan functionality works with the appraisal functionality and can be used to ensure that organisational objectives are successfully met, tracking them through the workforce hierarchy. The Performance Management Plan Admin URP is used to setup and roll out performance management plans to the entire workforce via Self Service, incorporating objective setting as well as appraisal tasks.

A feature called 'Line of Sight' provides a hierarchical representation of the alignment of objectives in an organisation. This feature displays objectives that are aligned or linked to each other in the objectives hierarchy. Line of Sight helps managers and employees to understand how their objectives have been cascaded down through the organisation and the association between objectives.

The functionality also provides an electronic auditable process for the appraiser to withhold increment progression.

The full appraisal functionality is available for your entire workforce via Self Service, to enable your workforce to manage pay progression taking a deployed approach. The data entered into ESR via Self Service auto populates ESR core forms and is available for reporting.

2. ESR Core forms

ESR core forms are the core functionality of ESR (blue screens) which is accessed by your professional ESR users, not via Self Service. An organisation can enter and manage data within core forms to manage the pay progression process for their workforce.

This functionality enables an organisation to manage pay progression taking a central function approach, by entering and managing data by your professional ESR users on behalf of the entire workforce.

Refer to Appendix 1 for more detailed information on the 2 different approaches in ESR.



Something to think about...

“The more engaged staff members are, the better the outcomes for patients and the organisation generally. Engagement can be fostered through good staff management. Having well-structured appraisals (where clear objectives are set, the appraisal is helpful in improving how to do the job, and the employee is left feeling valued by their employer) is particularly important”.

NHS Management and Health Service Quality report, from Michael West et al. found that good management of NHS staff leads to higher quality of care.

Increased staff engagement using ESR - Case for Change

Are you using the ESR Manager / Supervisor Self Service to increase engagement with your employees?

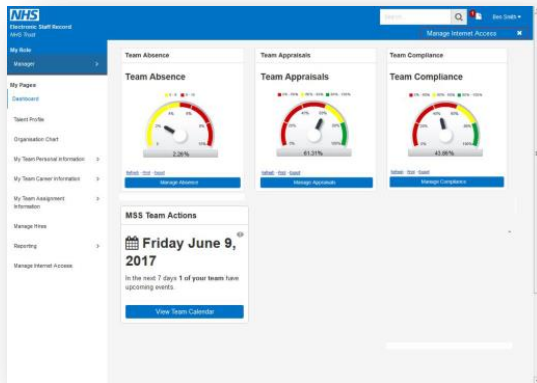
The Self Service capability within ESR enables employees to access their personal data through an easy to use browser-based interface that can be accessed in the workplace, at home or on the move via a secure internet connection on a mobile device. With two levels of access, Self Service is the gateway to allowing your employees to have greater ownership of their personal information - helping organisations to reduce costs on admin based tasks and supports local strategies around compliance, engagement, and wider productivity and efficiency plans.

The implementation of Manager Self Service provides managers with not only their own Employee Self Service view, but also access to a vast array of information on their teams, including pay progression and appraisal information; with the additional benefit of being able to act upon the information directly in the system. The solution provides a choice of five levels of access for managers, to enable the organisation to respond to different roles and responsibilities within the organisational structure.

Within these levels there are a wide range of additional benefits available that complement the pay progression process, including the ability to:

- Undertake online appraisals and nurse revalidation reviews, and cascade objectives using the appraisal functionality.
- Support the career development of their team via learning paths, qualifications, competencies and development reviews.
- View key performance indicators for absence, compliance, and appraisals on the Manager Dashboard with links to these areas and the ESR BI reports directly from the portlets.
- Empower your managers to have greater control of their workforce data and targets.
- Access key career information about their employees through the Talent Profile, with the ability to produce PDF reports.
- View upcoming events for employees, e.g. appraisal dates, annual leave, learning events and expiry dates (fixed term contracts, professional registrations, etc.) from a dedicated portlet.
- View a colour co-ordinated absence calendar to identify absence patterns and view all staff absences.
- Enter data once at the closest point to its source thereby improving accuracy, quality, and timeliness of information available.
- Access a visible representation of the supervisor hierarchy from your direct reports onwards, down the hierarchy through the organisation chart portlet, with additional functionality to perform changes directly to employee's record from within the portlet.

Manager Self Service also provides the manager with access to the Managers Dashboard, which includes the new Pay Progression Portlet



Appraisals And Reviews

Assignment:
20000291 - Staff Nurse

Last Appraisal Date: 10 March 2018

Appraisal/Review Type: AfC Development Review
Next Appraisal Date: 15 March 2019
Pay Step Date: 10 April 2019
Pay Affecting: Yes

[View My Appraisals](#)

Discovering the link....

ESR functionality can support and enable organisations to meet the business challenges they are currently facing in this changing NHS landscape. By fully utilising ESR as an integrated system, organisations can release greater benefits across the organisation and its workforce.

The button opposite will take you to our **Discover Your ESR** tool to help you understand how the different functionality within the system supports key strategic and operational workforce objectives.



Appendix 1

Implementing Pay Progression in ESR – A Detailed Guide for Operational teams

Full details can be found in Release Notice - RN378 Guide to Enhancements and Changes Release 42.0.0.0 / 42.1.0.0

Option 1 – Managing by ESR Core Forms

Details about the pay progress meeting can be entered via core forms using the following URPs' and navigation paths.

XXX HR Administration

People > Enter and Maintain > Assignment > Others > Extra Information
Appraisals and Development Summary

XXX Learning Administration

Manage Learners > Performance Review

There is a new Review Type of Pay Progression Meeting that must be selected.

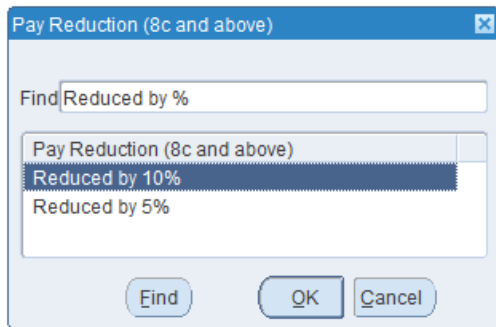
The screenshot shows a web-based form titled 'Assignment Extra Information(Smith, Mr. Ben)'. The 'Type' dropdown is set to 'Appraisals and Development Summary'. A secondary window titled 'Further Assignment Information' is open, displaying the following fields:

- Review Type: **Pay Progression Meeting** (highlighted in yellow)
- Period Start Date:
- Period End Date:
- Appraisal Date:
- Next Appraisal Date:
- Reviewer:
- Pay Progression:
- Pay Reduction (8c and above):
- Non Progression Reason 1:
- Non Progression Reason 2:
- Non Progression Reason 3:
- Non Progression Reason 4:
- Non Progression Reason 5:
- Date of Re-Instatement:
- Passed Through Gateway:

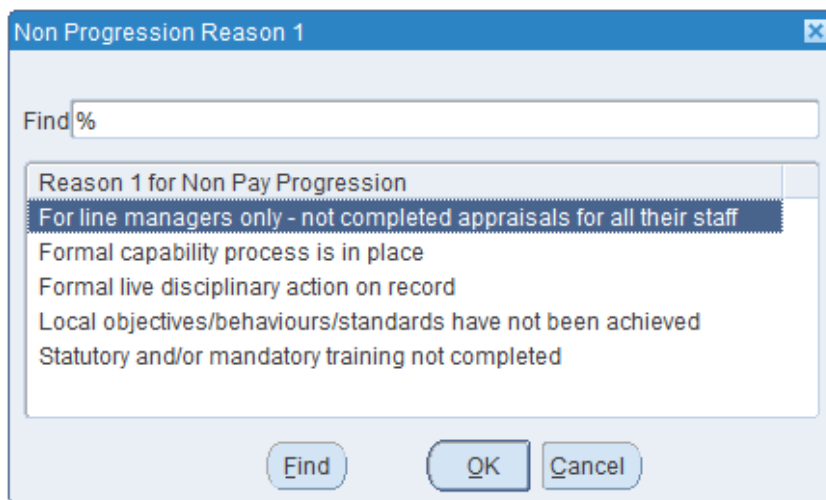
At the bottom of the form are buttons for 'OK', 'Cancel', 'Clear', and 'Help'.

Once this review type is selected then the professional user will be able to enter in the required information.

The field for 'Pay Reduction (8c and above)' has two values. This is for reporting purposes only, and manual adjustments will be required to reduce pay.



Up to 5 values can be entered for Non Progression Reasons.



The list of values is extensible meaning that it can be amended locally using the NHS_AFC_PAY_NON_PROG lookup. Further guidance can be found in the User Manual on ESR Infopoint as follows:

<https://www.infopoint.esr.nhs.uk/?q=node/1869>

Date of Re-Instatement is also available. This should be used in conjunction with the existing Pay Progression value of 'Yes following initial deferral' and populated with the date from which the employee should be paid following an initial pay progression meeting in which the outcome was 'No'. This is for reporting purposes only, and manual adjustments will be required to amend pay.

Option 2 – Devolving Management by Implementing Manager Self Service

This review type can be selected from the Standard Appraisal page and should be used in conjunction with its associated template as follows:

- XXX Manager Self Service (Payroll Approvals Required / Not Required)
- XXX Supervisor Self Service / XXX Supervisor Self Service (Limited Access)
- My Team Career Information > Appraisals and Reviews

Enter "Pay Progression Meeting" for both Review Type and Template.
All mandatory fields have an asterisk next to them.

Create Standard Appraisal: Setup Details
Step 1 of 2

Employee Name Emp A
Employee Number 20000192

Setup Details

TIP You cannot change the appraisal template or the assignment after clicking Next.
* Indicates required field

* Review Type Pay Progression Meeting

* Period Start Date 01-Apr-2019

* Period End Date 31-Mar-2020

* Template Pay Progression Meeting

* Appraisal Date 10-Apr-2019

Next Appraisal Date 10-Apr-2020

* Assignment Number 20000192

* Main Reviewer Mgr A

The pay progression template has the following fields to complete.

NHS | Search | Favorites | Settings | Logged In As 508TRAIN01 | Help | Close Window | Portal

Pay Progression Meeting | Participants

Create Standard Appraisal: Overview

Save and Close | Back | Save and Proceed

Pay Progression Meeting | Participants

Step 2 of 2
Personalize Stack Layout

Employee Name Test 01
Employee Number 20000499
Supervisor Mgr A

Organisation 888 Org
Job Nursing and Midwifery Registered|Midwife

Managers should record a Pay Progression Meeting outcome for all A/C staff who are caught by the new rules for Pay Progression (i.e. new starters from 01-Apr-2019 or those who have changed grade since 01-Apr-2019). These staff will no longer be automatically incremented, where the increment would result in an increase in pay. For a pay affecting increment to occur for these staff, then a positive outcome must first have been recorded for a Pay Progression Meeting within the last 365 days.

Questionnaire

Personalize "Questionnaire"
Personalize Table Layout: (ButtonTableLayout)

Click Complete Questionnaire to respond to the questionnaire listed below. Last Answered tells you when you last answered the questionnaire.

Questionnaire Name Pay Progression Meeting | Last Answered On

Personalize "Overall Rating and Comments"

Pay Progression Meeting | Return to Top

Overall Rating [Dropdown]

Pay Reduction [Dropdown]

Reason 1 [Dropdown]

Reason 2 [Dropdown]

Reason 3 [Dropdown]

Reason 4 [Dropdown]

Reason 5 [Dropdown]

Date of Re-instatement [Calendar]

Personalize "Participants"

Participants | Return to Top

TIP A participant is someone other than the main appraiser or appraisee who contributes to the appraisal.

Personalize "Participants"
Add Participant | [Icons]

The fields for this review type are as follows:

- **Overall Rating** – records the outcome of the meeting and is used as part of the pay progression process.
- **Pay Reduction** - is for reporting purposes only and will not impact on pay. However for Grades 8C and above the result of the Pay Progression Meeting can result in a Pay Reduction and this should be recorded here. If a pay adjustment is required then this will need to be done manually.
- **Reason 1 to 5** – there are 5 Non Progression Reason fields for which values that can be selected.
The default values provided by NHS Employers are shown below.

- **Date of Re-Instatement** - this should be used in conjunction with the Pay Progression value of 'Yes following initial deferral' and populated with the date from which the employee should be paid following an initial pay progression meeting in which the outcome was 'No'.
This is for reporting purposes only, and manual adjustments will be required to amend pay.

A new Questionnaire has been created which is specific to this Review Type. This can be used if desired.

For further information and support please contact your regional [ESR Functional Account Manager](#).