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Re-banding and evaluation of new posts

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Type of document	Policy
Target audience	All CWP staff
Document purpose	To provide a clear and consistent approach to the process for re-banding and evaluation of new posts.

Approving meeting	Workforce and OD Sub-Committee	Date 19-Jun-12
Implementation date	19-Jun-12	

CWP documents to be read in conjunction with	
HR6	Mandatory Employee Learning (MEL) policy

Document change history

What is different?	<p>Content transferred to new policy document template (October 2011)</p> <p>Procedure/protocols updated (June 2012)</p> <p>Re-banding process updated (June 2012)</p> <p>Banding of new posts procedure updated (June 2012)</p> <p>Appeal process updated (June 2012)</p> <p>Existing responsibilities updated (June 2012)</p> <p>New responsibilities for staff side representatives and consistency panel members added (June 2012)</p> <p>Appendix 1 updated - Re-banding application form (June 2012)</p> <p>Appendix 2 added - Panel questions template (June 2012)</p> <p>Appendix 3 added - Re-banding applications process (June 2012)</p> <p>Appendix 4 added - new post matching/evaluation process (June 2012)</p> <p>Moved to new template</p>
Appendices / electronic forms	
What is the impact of change?	

Training requirements	No - Training requirements for this policy are in accordance with the CWP Training Needs Analysis (TNA) with Education CWP.
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Document consultation

Clinical Services	Via policy discussion board
Corporate services	Via policy discussion board
External agencies	N/A

Financial resource implications	Yes
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External references	
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1. Agenda for Change Terms and Conditions of Service Handbook:
<http://www.nhsemployers.org/PayAndContracts/AgendaForChange/TermsAndConditionsOfServiceHandbook/Pages/Afc-Handbookkrp.aspx>

Equality Impact Assessment (EIA) - Initial assessment	Yes/No	Comments
Does this document affect one group less or more favourably than another on the basis of:		
- Race	No	
- Ethnic origins (including gypsies and travellers)	No	
- Nationality	No	
- Gender	No	
- Culture	No	
- Religion or belief	No	
- Sexual orientation including lesbian, gay and bisexual people	No	
- Age	No	
- Disability - learning disabilities, physical disability, sensory impairment and mental health problems	No	
Is there any evidence that some groups are affected differently?	No	
If you have identified potential discrimination, are there any exceptions valid, legal and/or justifiable? N/A		
Is the impact of the document likely to be negative? - If so can the impact be avoided? - What alternatives are there to achieving the document without the impact? - Can we reduce the impact by taking different action?	No N/A N/A N/A	
Where an adverse or negative impact on equality group(s) has been identified during the initial screening process a full EIA assessment should be conducted.		
If you have identified a potential discriminatory impact of this procedural document, please refer it to the human resource department together with any suggestions as to the action required to avoid / reduce this impact. For advice in respect of answering the above questions, please contact the human resource department.		
Was a full impact assessment required?	No	
What is the level of impact?	Low	

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1. Introduction

The purpose of this policy and procedure is to ensure that both Re-banding applications and the evaluation of new posts are dealt with in a fair and consistent manner, following the general principles of Agenda for Change. It aims to ensure that consistent decisions are made about bandings and that relativities existing between jobs within CWP are managed effectively.

This policy has been developed in partnership by management and staff side representatives.

This policy applies to all jobs apart from those of medical staff and the most senior managers who are covered by the Remuneration Committee.

This procedure is to be used to:

- Review banding of existing posts where the duties have changed significantly;
- Determine the banding of a new post.

2. Procedure / protocols

2.1 Re-banding request protocols

Whilst jobs are changing all the time, only **significant** changes are likely to affect the original matching / evaluation outcome. Where a job is considered to have changed significantly, either by the post holder or the manager, a re-banding application should be completed ([appendix 1](#)).

A re-banding request may only be submitted once in a 12 month period. If however the post has been reviewed within the immediately preceding 12 months period, further applications will be considered only if the general manager / head of service personally confirms that there have been further significant changes in the role.

Employees must discuss their intention to apply for a banding review with their manager before it is submitted.

The fully completed¹ application form must be submitted by the endorsing line manager electronically to cwp.hradmin@nhs.net together with:

- The original job description/person specification and organisation chart;
- The revised job description/person specification with changes highlighted and organisation chart showing how the job fits into the service structure (ideally showing 1 or 2 levels above/below the post);
- Any other information that may be relevant.

All job descriptions and person specifications must be in the correct corporate format².

The up to date job description and person specification must have been agreed by the manager and the employee prior to the application being submitted.

The application form must be completed and signed by the employee and signed by the manager as an accurate record of the duties of the post.

No re-banding application should be submitted if the duties of the post are not agreed between the manager and the employee.

The completed application form and supporting documentation will be quality checked by HR³ to ensure that all the relevant information has been submitted and is accurate. Any request for further

¹ Any incomplete forms will be returned to the submitting line manager

² Any job descriptions/person specifications not in the correct format will be returned to the submitting manager

³ Quality checking of job descriptions will be carried out by an HR Service Advisor, Officer or Service Partner

information will be made to the submitting line manager and the review process put on hold until a full response is received by HR.

All approvals for re-banding will be effective from the date that the fully completed application is received by HR and cannot be further backdated (i.e. if any referral for further information is necessary at the initial application stage, the effective date of any subsequent grade change will be delayed).

The line manager and staff member will receive written notification of the outcome of all re-banding requests and the appeals process by the HR department.

2.2 Re-banding – job family process

Following the quality check process, HR will firstly attempt to job family the post, upon liaison with a staff side representative, which may be done remotely if necessary.

In the case of a post that is successfully job familialled with a previous post that has been through the matching / evaluation process, the existing banding outcome for that post will apply.

The consistency panel will be notified of the outcome but it is unlikely they will opt to consistency check if the post has been job familialled.

The line manager and staff member will receive written notification of the outcome of all re-banding requests and the appeals process by the HR department.

2.3 Re-banding - panel process

Where it has not been possible to job family the post, it will be forwarded to a job matching panel.

A job matching panel consisting of a minimum of 3 people (all of whom will have been trained in job matching / evaluation) will consider each application. The panel will comprise at least one representative from each of management and staff side.

Line managers will receive advance notification of the date / time of the panel and will be asked to:

- Make themselves available to attend the panel in person or;
- Make themselves available at the allotted time on a specified telephone number or;
- Complete the panel's question and answer sheet ([appendix 2](#)) with relevant information for consideration by the panel if options a or b are not possible;
- Liaise with the employee to determine if attendance is required.

The post holder will receive advance notification of the date / time of the panel.

The panel will attempt to match the updated post against a national profile.

The chair of the panel will return the agreed and signed results and all associated paperwork to HR.

The results of the job matching panel will be checked and reviewed by the consistency panel to ensure consistency across the Trust.

The line manager and staff member will receive written notification of the outcome of all re-banding requests and the appeals process by the HR department.

2.4 Re-banding - job evaluation process

Where the job matching panel determines that it is not possible to match a post against a national profile, the panel will evaluate each of the 16 factors using the A4C job matching process, resulting in a total score and banding for the post.

The chair of the panel will return the agreed and signed results and all associated paperwork to HR.

The outcome of the panel will be checked and reviewed by a consistency panel to ensure consistency across the Trust.

The line manager and staff member will be notified of the outcome of the application and the appeals process by the HR department.

2.5 Procedure for banding a new post

Having identified the need and funding for a new post, the manager must check via the intranet/with HR if a generic job description and person specification already exists. If this is the case there will be no need for the post to be banded and the generic job description should be used.

If a generic job description does not exist the manager should forward a new job description, person specification and organisation chart to the Human Resources Department (cwp.hradmin@nhs.net).

All new job descriptions and person specifications must be presented in the correct corporate format⁴ and will be quality checked by HR. Any request for further information will be made to the submitting line manager and the banding process put on hold until a full response is received by HR.

HR in liaison with staff side will advise if the job description for the new post can be job familyed with a job that has been through the matching / evaluation process and if successful, the existing banding outcome for that post will apply.

If the view of HR and staff side is that it is not possible to job family the post they may proceed to match the post to a national profile. Where this results in a no match, the 16 factors will be evaluated, resulting in a total score/banding for the new post. All results will be consistency checked. If for any reason they wish to defer this to a full panel they should advise the manager of this fact.

If a full panel is required the HR department will organise the panel as set out above under the re-banding procedure and attempt to match the post against a national profile. Where the panel determines that it is not possible to match a post against a national profile, the panel will evaluate each of the 16 factors using the A4C matching process, resulting in a total score and banding for the post.

Line managers will receive advance notification of the date/time of the panel and will be asked to:

- Make themselves available to attend the panel in person or;
- Make themselves available at the allotted time on a specified telephone number or;
- Complete the panel's question and answer sheet ([appendix 2](#)) with relevant information for consideration by the panel if options a or b are not possible.

The chair of the panel will return the agreed and signed results and all associated paperwork to HR.

The outcome of the matching panel will be checked by a consistency panel and the manager will receive written notification of the outcome by the HR department.

When the post holder has been in post for a reasonable period (minimum of 6 months) the manager should review the job description and person specification with the job holder. Where there are significantly altered duties or responsibilities the post may be submitted for a re-banding review as detailed above.

⁴ Any job descriptions/person specifications not in the correct format will be returned to the submitting manager

2.6 Consistency checking process

Consistency checking will normally be undertaken by the Head of HR or appointed deputy and a staff side representative. They will be notified of all matching decisions by the A4C administrator and will consistency check all posts which have been subject to a matching process. Consistency will also be notified of any posts which have been job familial and may decide to consistency check on a random basis.

2.7 Appeal process

An individual employee will have one right of appeal against the conclusion of a re-banding process, which will be heard by a review panel constituted in the same way as a regular panel but with different job matchers. In the event of an employee wishing to appeal, they will need to:

- Submit their appeal in writing within 10 working days of receiving notification of the re-banding decision for the attention of the Head of HR;
- State the grounds of their appeal in the letter;
- Make themselves available to attend the panel in person.

The decision of the review panel will be final.

The employee will be given 5 working days' notice of the appeal hearing date. The line manager will be asked to attend the appeal panel in order to clarify any issues raised about the duties / responsibilities of the post.

The employee will be informed of the decision of the appeal panel within 5 working days of the appeal being held.

3. Representation

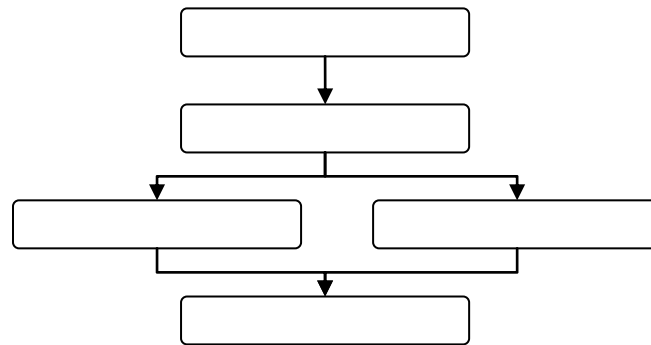
Employees may be accompanied by their trade union representative or a work place colleague at any stage of the process.

Appendix 1 - Re-banding application form

Name	
Job title	
Current banding	
Date of appointment to current band	
Name of line manager	

Organisational chart

Please draw or attach a basic chart showing how this job fits in with the structure of your dept/area of work, showing at least one level above and below the post:



Creating Organisation Charts Easily: 1. Open the drawing toolbar. 2. Select a Flowchart shape from Autoshape, drag to the drawing canvas and resize as required. 3. Right click on the border of the box to: add / edit text; format the text, border or shading; delete / add boxes as required. 4. Select Autoshapes and a Connector. 5. Click on the box where the Connector is to start and drag to where it is to end.

Please describe the reason for requesting re-banding, i.e. what has changed in your job?
Please ensure that you include all information you wish to be taken into consideration

Managers comments

Supporting documentation: Please attach the following supporting documentation which is required to process your application

*Note: *The current job description and person specification should be jointly agreed with your manager and should accurately reflect the knowledge and skills necessary for the role rather than reflecting existing skills or personalities of individuals.*

- 1. Current Job Description*
- 2. Current Person Specification*
- 3. Job Description (prior to application)
- 4. Person Specification (prior to application)

(double click on boxes and select 'checked')

Please also list here any other documentation you have included in support of your application.

Other documentation (please list):

I confirm that the details given above are true and accurate

Post holder signature		Date	
Line manager signature		Date	

Appendix 2 - Panel questions template

Panel number		Date		Job matcher name(s)	
Job title		Post holder		Line manager	
Principal purpose of job (job statement)					

Questions	Responses from post holder / post holder rep and manager
<p>1. Communication & relationship skills</p> <ul style="list-style-type: none"> – Who does the PH regularly communicate with? – What type of information does the PH communicate and how complex is this information? (give examples) – What methods of communication does the PH regularly use, eg 1:1s, formal presentations? – Is the PH required to communicate confidential or sensitive information? (give examples) – What problems does the PH face when communicating with people eg language barriers, disabilities, reluctance to understand? (give examples) 	
<p>2. Knowledge, training and experience</p> <ul style="list-style-type: none"> – What qualifications does the PH need to do this job? – What other knowledge or experience does the PH need for this job, eg administrative, technical/specialist, equipment, procedural? – What qualifications or experience would you look for in an ideal applicant for this job? 	
<p>3. Analytical and judgmental skills</p> <ul style="list-style-type: none"> – What decisions does the PH make in this role? (Give examples) – Are any of these decisions complicated or require complex problem solving? (Give examples) – Is the PH required to interpret or analyse information (facts or figures) 	

Questions	Responses from post holder / post holder rep and manager
<ul style="list-style-type: none"> – or assess a situation in order to make decisions? (Give examples) – Does the PH need to consider a range of options before making a decision? (Give examples) 	
4. Planning and organisational skills	
<ul style="list-style-type: none"> – What aspects of the PH's job require planning or organisation eg planning of own time, others, rotas, training, etc? – Is the PH required to plan or organise meetings or conferences? – Is the PH required to plan or organise aspects of service provision (or the ward/department) or other strategic activities related to the job? (Give examples) 	
5. Physical skills	
<ul style="list-style-type: none"> – Does the PH require physical skills involving speed, accuracy, sensory skills, dexterity? – Is the PH required to use a keyboard or other tools/equipment? – Does the PH require manual skills involved in clinical treatments, eg suturing, intravenous injections, physiotherapy treatments? 	
6. Responsibility for patient/client care	
<ul style="list-style-type: none"> – What contact does the PH have with patients/clients? (Direct/indirect) (Give examples) – Do the PH have any responsibility for providing services to patients/clients eg. personal services or care, treatment or therapy, advice, cleaning or food delivery? (Give examples) 	
7. Responsibility for policy and service development and implementation	
<ul style="list-style-type: none"> – Does the PH have defined policies/procedures/guidelines to follow? – Does the PH have any involvement/responsibility for changing existing policies/procedures or setting up new ones? (Give examples) – Is the PH responsible for implementing any new or changed policies/procedures in their own (or wider) area? (Give examples) 	
8. Responsibility for financial and physical resources	
<ul style="list-style-type: none"> – Does the PH have any responsibility for financial resources, eg cash, vouchers, cheques, patient valuables? (Provide details) – Does the PH have any responsibility for ordering/stock control and are they an authorised signatory? If so, how much are they authorised to sign for? – Is the PH responsible for authorising invoices? 	

Questions	Responses from post holder / post holder rep and manager
<ul style="list-style-type: none"> – Does the PH have any responsibility for any physical resources, eg equipment, instruments, vehicles, plant and machinery, premises, stocks and supplies? 	
9. Responsibility for human resources	
<ul style="list-style-type: none"> – Does the PH manage or supervise staff? – Does the PH have responsibility for new/junior staff or students? – Does the PH allocate work to individuals or determine how work will be planned and allocated? – Does the PH get involved in grievances/discipline/appraisals/recruitment of staff? If so, at what level? – Does the PH get involved in teaching/training other employees or students? Are they responsible for devising the training programme? – Does the PH have any involvement/responsibility for provision of an HR service? 	
10. Responsibility for information resources	
<ul style="list-style-type: none"> – What responsibility does the PH have for information and records, eg typing/filing/storing information? – Is the PH responsible for taking and transcribing formal minutes which will be sent to a wider audience than those attending the meeting eg case conference reports, record of formal disciplinary hearings? – Does the PH get involved in creating new databases/spreadsheets or designing information systems? – Is the PH responsible for overall management of information systems? (Give examples) 	
11. Responsibility for research & development	
<ul style="list-style-type: none"> – Does the PH take part in any academic research activities, clinical trials or clinical or non-clinical audits and surveys lead by others? If so, please provide details of frequency. – Is the PH responsible for managing or supervising any research and development programmes/activities? – Is the PH responsible for initiating and developing new research and development activities/programmes (possibly including securing funding)? 	
12. Freedom to act	

Questions	Responses from post holder / post holder rep and manager
<ul style="list-style-type: none"> – To what extent is the PH’s job directly supervised/how often does the PH see their supervisor/manager? – Is the PH able to make decisions independently or does the PH need to refer to their manager or follow codes of practice guidelines? – What type of problems/decisions would the PH deal with themselves and what would the PH discuss with their supervisor/manager? 	
13. Physical effort	
<ul style="list-style-type: none"> – Please describe the physical effort required in your job. – Are you frequently required to work sitting or standing in a confined space or awkward position? If so, how often/how long? – Do you lift or carry heavy items. If so, please provide details of estimated weight and frequency. 	
14. Mental effort	
<ul style="list-style-type: none"> – What level of concentration is required for your job? – Do any activities within your role require a high level of concentration and, if so, for how long do these occur eg writing reports, statistical analysis, operating equipment? Please provide examples and details of frequency of these activities. – Do you receive constant interruptions in your work and do you need to deal with them immediately? (Give examples) 	
15. Emotional effort	
<ul style="list-style-type: none"> – What parts of your job cause you emotional concern and why? – Do you have to give distressing news or unwelcome information to patients or staff? How often does this happen eg employment situations, giving unwelcome news to patients? (Please give details of type and frequency of these occurrences). – Do you have to deal with distressing or difficult situations, eg caring for the terminally ill, processing reports of distressing events? How often does this happen? – Do you have to deal with upset, angry or difficult people? (Give examples) 	
16. Working conditions	
<ul style="list-style-type: none"> – Are you exposed to unpleasant working conditions, eg unpleasant smells, body fluids, excessive temperatures, dust/dirt, noise? If so, how often? 	

Questions	Responses from post holder / post holder rep and manager
<ul style="list-style-type: none"> - Are you exposed to hazardous conditions, eg infectious materials or dangerous substances? If so, how often? - Are you required to drive in this post. Please provide details. - Are you required to use a VDU in this post? If so, what percentage of your time is spent at the VDU? 	

Manager

I confirm that these questions and answers have been discussed and agreed with the current post holder (where applicable) and are a true representation of the duties / demands of this role.

Signed		Print name	
Job title		Date	

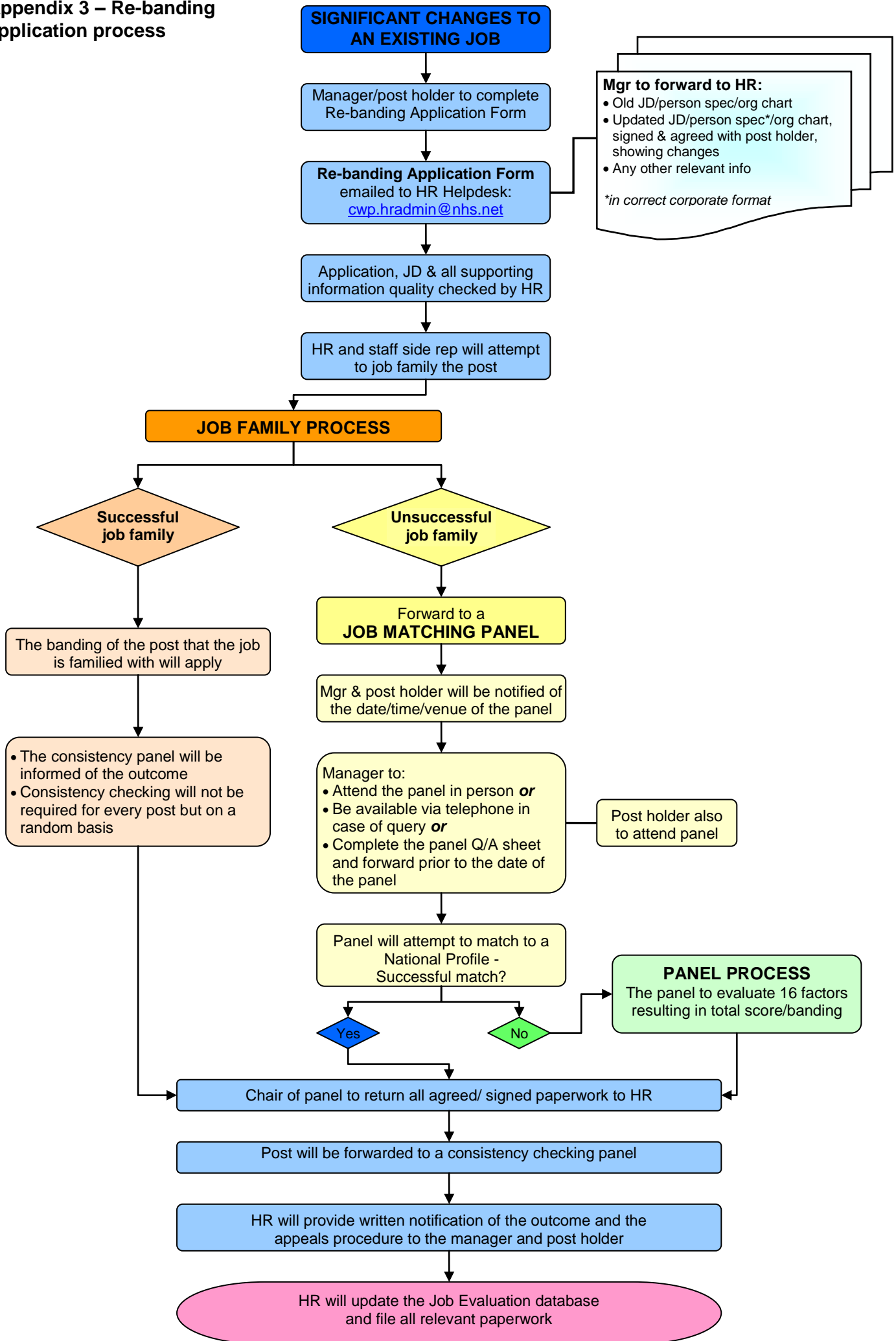
Employee⁵

I confirm that these questions and answers have been discussed and agreed with my current line manager and are a true representation of the duties / demands of this role.

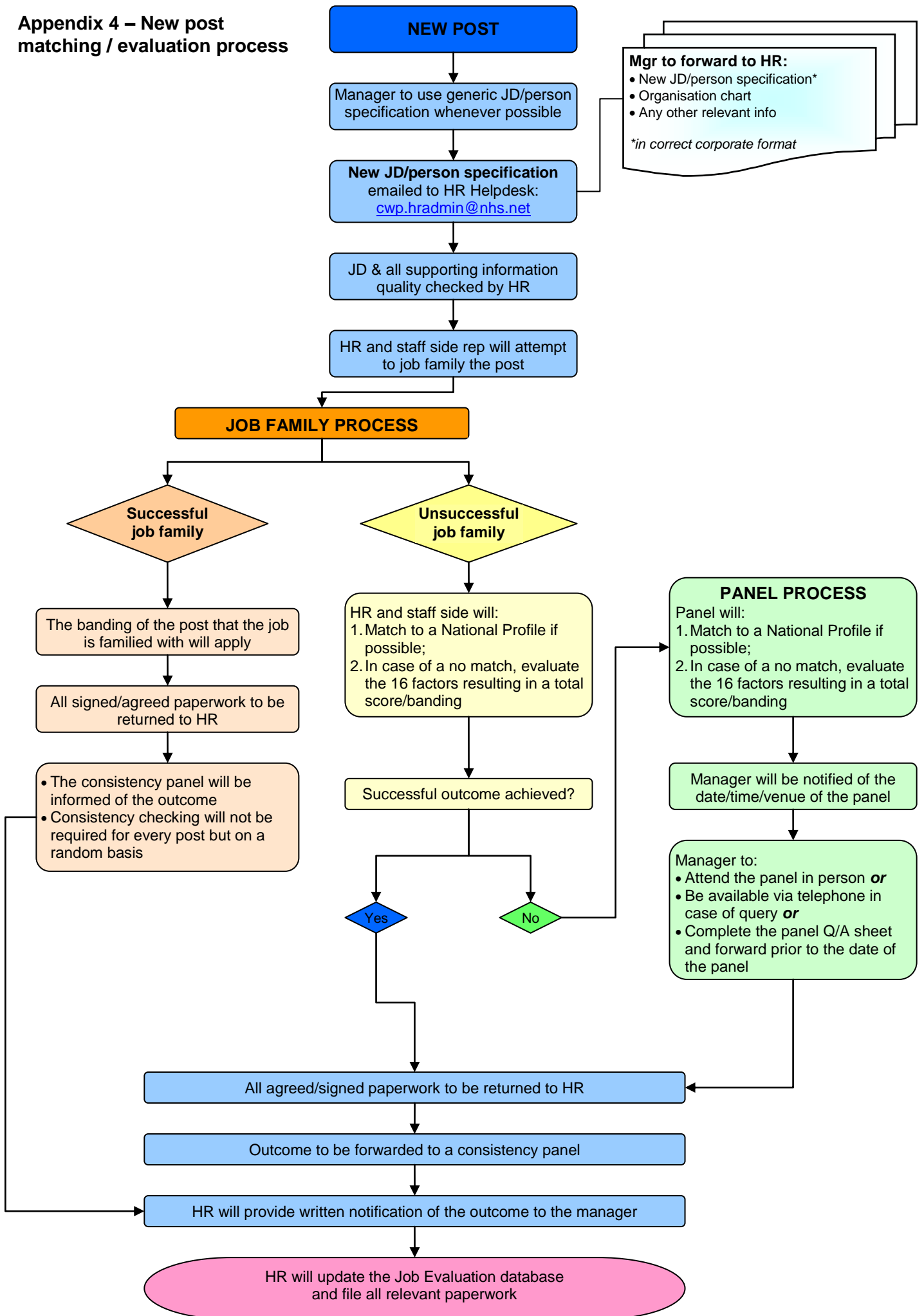
Signed		Print name	
Job title		Date	

⁵ Employee signature only required for re-banding applications.

Appendix 3 – Re-banding application process



Appendix 4 – New post matching / evaluation process



Mgr to forward to HR:

- New JD/person specification*
- Organisation chart
- Any other relevant info

**in correct corporate format*