VELINDRE NHS TRUST

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JOB EVALUATION POLICY

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1. POLICY STATEMENT

Velindre NHS Trust recognises the importance of the contribution of its employees, in the provision of its services. It therefore seeks to ensure that all posts are appropriately banded, in an equitable and consistent way, to reflect the tasks, duties and responsibilities of the post and its contribution to Trust and Divisional aims.

A recent tribunal test case (*Hartley)* determined that the national NHS Agenda for Change Job Evaluation Scheme does meet the criteria under the Equal Pay Act (1970) for being in principle an analytical, non-discriminatory scheme.

The main intent of this policy is to provide comprehensive guidelines on the process, which will be used when considering matching and evaluation of new, individual or collective posts within the Trust.

Velindre NHS Trust maintains a consistent partnership approach to the evaluation of posts, to ensure pay bands comply with the Equal Pay Act principles of equal pay for work of equal value, which is underpinned by the NHS Job Evaluation Scheme.

2. POLICY AIMS

The aims of this policy are

- To deal efficiently with desktop matching and re-evaluation requests by staff and/or managers, following the Business Case Panel process.

- To follow the principles contained within the NHS Job Evaluation Scheme Handbook (Third Edition February 2010).

- To be used for the matching and evaluation of all posts within Velindre NHS Trust and its hosted organisations with the exception of staff covered by the Very Senior Managers Framework and Medical and Dental conditions of service.

- To ensure fairness, consistency and equality of pay for all staff covered by Agenda for Change Terms and Conditions of Service.

3. SCOPE OF THE POLICY

This policy applies to all staff with the exception of medical and dental staff and Executive Team members covered by the Very Senior Managers Framework.

The policy should be used to evaluate new posts and for posts where there are significant changes that are likely to affect the previous matched or evaluated job result. It should also be used where managers need to develop existing posts, for example, as a result of departmental restructuring.

This policy applies to both Velindre NHS Trust and those organisations hosted by Velindre NHS Trust.

4. PRINCIPLES

Implicit within the aims and values of the Trust are principles relating to equal opportunities. The Trust regards equal opportunities as a cornerstone of its service to patients/service users and in the treatment of employees. Therefore, this policy and procedure will apply to all employees covered by the Agenda for Change Agreement and staff employed on a local contract.

To ensure a fair and consistent approach, the following principles will be adhered to:

- Managers are responsible for planning, controlling and managing their budgets and the level and extent of the work of their employees.

- Services/Departments may not progress a matching request that would impact upon similar jobs in other services across the Trust without undertaking full consultation and benchmarking with the other affected Service Directors.

- The employee(s) and the manager submitting a re-evaluation request are responsible for ensuring that the information provided is factually correct and accurate. The Line Manager submitting a desktop post is responsible for ensuring the information provided is correct and accurate. <u>Line Managers must accept responsibility and are accountable for the information provided on the Job Description and ensure that it reflects the requirements of the post.</u>

- All desktop requests and re-evaluations must be accompanied by a business case that has been approved by a Divisional Business Case Panel in line with the Trust Business Case Panel Process (Appendix 1)

- The funding of posts re-evaluated at a higher pay band will come from existing departmental budgets and will be raised as a cost pressure by the appropriate manager through the submission of the business case to the Business Case Panel prior to the post being submitted for re-evaluation.

- The NHS Job Evaluation System allows for posts to be banded individually or for groups of staff in the same role..

- The post(s) will be banded using the Job Evaluation Scheme (JES) within the context of the Trust's workforce as a whole i.e. taking account of similar posts, to ensure that the Equal Pay principles are adhered to.

- The post(s) must be evaluated on the basis that it is being performed at an acceptable level and supported via a full Knowledge and Skills Framework (KSF) Outline.

- Job evaluations will be undertaken in partnership by two management and two staff side representatives, in accordance with Section 11 of the NHS Job Evaluation Handbook (Third Edition February 2010).

- The post(s) will be evaluated, not the post holder(s).

- Matchers and evaluators will be appropriately trained and Directors and managers will support their participation on panels.
- Should panel members have a personal interest in a post being evaluated, (eg job being matched is filled by a relative, close friend or departmental colleague) they MUST declare an interest in the post and step down from that panel to ensure an open, transparent and auditable process which complies with good governance.

- Posts for re-evaluation should be evaluated as at the date of approval by the Divisional Vacancy Scrutiny panel, not on the basis of past or future job requirements.

- A post can be re-evaluated into a lower pay band as well as a higher pay band, as a result of the re-evaluation process.

- The employee(s) and the manager will receive a job evaluation report in respect of the re-evaluation outcome.

- The Line Manager will receive a job evaluation report in respect of a desktop outcome.

- The employee(s) will have the right to request a review against a re-evaluation outcome. Employees do not have the right to request a further review beyond the result of the review panel. The review will normally be undertaken by a panel of four different members to the original re-evaluation panel.

- The employee(s) will have the right to request a full evaluation within 6 to 12 months of a desk top being completed.

- Where a post holder takes on extra duties and responsibilities for between 1 and 6 months the extra duties may be included into a JD and submitted for evaluation which may result in Temporary Movement to a Higher Band.

- Where a post is new to the department but not necessarily new to the Trust and the JD matches a post that has already been banded but may have very small differences, it <u>does not need</u> to be submitted through the AfC process. The HR Officer/Manager and Staff side Representative will agree whether the banded JD is a suitable match and inform the manager of the result.

- Amended job descriptions with no significant change do not need to be referred through either process. Advice should be sought from the Divisional HR Department.

- The procedure must be supported by comprehensive records (paper based and/or electronic) at each stage which may be used for effective evidencing of decisions, monitoring and audit purposes.

- Where there is evidence of false information being provided it may be necessary to deal with this matter under the Trust's Disciplinary Policy and Procedure, which may lead to disciplinary action up to and including dismissal. It may also be necessary to refer any such cases to the NHS Counter Fraud Service.

5. ABBREVIATIONS

AfC	Agenda for Change
BCP	Business Case Panel
CAJE	Computer Aided Job Evaluation
HR	Human Resources
JAQ	Job Analysis Questionnaire
JD	Job Description
KSF	Knowledge and Skills Framework
NHS	National Health Service
PS	Person Specification
SWFF	Service Workforce and Financial Framework
WFP	Workforce Plans

6. DEFINITIONS

Re-evaluation of post - where there are ***significant*** changes to a role that are likely to affect the previous matched or evaluated job result or where managers need to develop existing posts, for example, as a result of departmental restructuring, role redesign, workforce modernisation.

Desktop (Newly Created Post) – where a post has been created and is new to the Trust i.e posts that have no existing post holder and are to be advertised through the Trust Recruitment process.

7. JOB DESCRIPTIONS AND PERSON SPECIFICATIONS

Specific advice on the composition of job descriptions and person specifications can be sought from the Divisional/Hosted HR department or alternatively from the Corporate HR team. All Job Descriptions submitted for banding will also enclose an organisational chart with departmental bandings indicating where the post fits into the structure. Any Job Descriptions that are written in 'factor language' will not be accepted and will be returned to the Line Manager to be rewritten.

8. PROCEDURES

The procedures below set out the steps required for submission of Job Descriptions for banding or re-banding.

The national job profiles used in the matching process are available on the NHS Employers website www.nhsemployers.org

In the event that a post holder can demonstrate that the process was misapplied they may pursue a local grievance about the process, but not against the matching or pay banding outcome..

8.1 BUSINESS CASE PROCESS

This process (Appendix 1) is to be utilised in order to assist Velindre NHS Trust (and Hosted Organisations as appropriate) to:

- Effectively monitor and consider all vacancy requests from managers to support the Trusts Workforce Plans (WFP) and Service Workforce and Financial framework (SWFF).
- Effectively monitor and consider all re-evaluation and newly created posts (desktop) requests within the division prior to the post holder taking on the additional duties and responsibilities from within the division, ensuring that all such requests are in line with the Trust's WFP and SWFF
- Monitor the Trust redeployment register and the Alternative Employment Scheme and ensure that any suitable vacancies are advertised via this process in the first instance.
- In support of Workforce Modernisation and the Trust's Annual Operating Framework target to support skill mix change, all NHS Wales organisations must demonstrate changes to their skill mix across all grades and bands and must reflect growth in staff in bands 1 to 4 of 3% per annum between 2010 and 2013.

8.1.2 Scope

The process must be followed in the following circumstances:

- Staff Vacancies – Where an existing post holder leaves the Trust (permanently or temporarily) and where it is proposed to either refill the post or to redeploy the budget or provide the function(s) in an alternative way via role redesign.
- Re-evaluations - Where there is an identified service need to look at revising a role within a department that may result in a re-evaluation of a post holders Agenda for Change pay band. Ideally this should be completed prior to the post holder taking on any additional duties and/or responsibilities.
- Increasing establishment hours – Where a manager wishes to increase a member of staff's contracted hours on a temporary or permanent basis, which results in an increase in departmental hours/budget (NB this is not applicable where the same amount of hours are transferred between staff).
- Newly Created posts – Where a new post that has not been in existence in the Trust before is created, due to change or service demands

8.1.3 Key Documents

The following documents are key to the process:

- Business Cases, using the standard template (Appendix 1), are used to make the case for financial investment.
- A relevant job description and person specification must be submitted with a business case for all vacancy requests and re-evaluation requests.
- An up to date Service and/or Departmental organigram including bandings must be submitted.
- KSF outline

8.1.4. Timetable

Managers must submit their business case at least one week prior to the Business Case/Vacancy Scrutiny panel sitting.

8.1.5 Business Case/Vacancy Scrutiny Panel Membership

The Panel will consist of the members of the relevant Divisional Senior Management Team (SMT) and should contain staff side representation. The Chair will be the relevant Service Director or his/her nominated deputy.

8.1.6 Business Case/Vacancy Scrutiny Panel Outcomes

Panels will consider each business case submitted and decide one of the following outcomes:

- Reject – the business case has not been supported by the Business Case Panel. Associated reasons and recommendations (if applicable) will be provided to the manager.
- Request Additional Information – The Panel requires more information (including the possible consideration of additional options)
- Approve– the business case has been supported by the Business Case panel and the manager will be advised of the next steps e.g., complete re-evaluation or desktop request, advertise vacancy.
- Implement alternative option – The Panel does not support the business case as presented but may support an alternative option e.g. role re-design, and provide the manager with the reasons for this.

8.2 QUALITY ASSURANCE PROCEDURE

8.2.1 Divisional HR Responsibilities

- If a desktop is accepted by a Business Case/Vacancy Scrutiny Panel , the following documents must be submitted to HR for Quality Assurance:
  - desktop sign off form
  - Job description
  - Person Specification
  - KSF post outline
  - Organisational Chart (complete with all departmental bandings)

- If a re-evaluation is accepted by a Business Case/Vacancy Scrutiny Panel, all of the above documents must be submitted to HR for Quality Assurance together with :
  - the re-evaluation sign off form
  - previous Job Description and Person Specification
  - New Job Description and Person Specification with identified changes

- If a re-evaluation is submitted to HR, they must check to see if the post has been reviewed in the previous 2 years. The old JD must be compared to the new JD to identify whether there are significant changes to duties. If the decision is that there are no significant changes, then there will be a need to confer with the staff representative to confirm this.

- If the re-evaluation matches a post that has already been banded but may have very small differences, then it does not need to be submitted through the AfC process. The

HR Officer/Manager and Staff side Representative will agree whether the banded JD is a suitable match and inform the manager of the result.

- If the submission of a Desktop or a Re-evaluation request is accepted, HR must log the information onto a Divisional tracker and submit the job information to Corporate HR for submission to a panel along with the completed Quality Assurance checklist (Appendix 2).

NB if JD contains 'factor language' it must be returned to the Line Manager for rewriting and will NOT be accepted for evaluation.

8.2.2 Corporate HR Responsibilities

- Check that the QA checklist has been submitted with the documentation necessary for submission to a panel

- Log post onto the AFC database and provide all information to the panel in line with the formal process

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- Panel members must match or evaluate the JD in line with the Job Evaluation Handbook and then complete the matching/evaluation form and return to HR.

- Corporate HR will arrange a consistency checking panel in accordance with the Trust procedure

- Corporate HR will log results onto an AFC database and provide a tracker for Executive Board monitoring purposes.

- Corporate HR to inform appropriate Divisional/Hosted HR contact of result.

- Corporate HR to maintain up to date spreadsheet showing newly created posts and re-evaluations with bandings and departments.

8.3 UNIQUE POSTS WITHIN NHS WALES (DESKTOPS)

This process should be used for all new posts within NHS Wales. Where new posts have similar posts existing within NHS Wales there will be no need to put the new post through this process. Only if the post is unique, there is no existing post holder should a post go through this desktopping process and be evaluated by an appropriate panel prior to it being advertised. It is anticipated that this process will only be used by a very small number of posts within the Trust. Information will be available from Corporate HR.

8.3.1 Allocating a Provisional AfC Pay Band

- All unique posts within NHS Wales will undergo a desktop matching or evaluation exercise, unless it is decided in partnership that there is an existing similar post within the Trust. In these cases the post can be forwarded for advertising and recruitment following the Business Case Procedure. It is essential that the manager documents the full range of duties and responsibilities of the role prior to submitting documents for a desktop exercise. This is of utmost importance as the desktop exercise result will be final and no requests will be allowed for a further desktop on the same post.

- When a newly created post has been approved the manager must contact HR to discuss the job description and provide any additional documentation in support of the banding of the post which may be useful for a job matching/evaluation panel.

- The Human Resources lead should, based on their expertise, be proactive in advising the manager of the anticipated factor levels within the JD and subsequent pay band.

- The manager should review and agree the content of the job description and person specification with a local staff representative.

- The agreed job description and person specification will be submitted to Divisional HR who will arrange the desktop exercise via Corporate HR.

- Corporate HR will allocate the request to a full matching/evaluation panel and the panel members will agree the appropriate factor levels for each of the sixteen factors and allocate a provisional pay band. Panels will attempt to match the JD to a national profile and if the JD cannot be matched then Corporate HR will arrange an appropriate consistency checking panel who will decide whether the post proceeds to local evaluation.

- To ensure that posts are banded within the context of the Trust's workforce as a whole, i.e. taking account of similar posts, desktop results will be consistency checked at departmental, divisional and Trust wide levels using the procedure in section 8.5.

- A consistency checking form must be completed and returned to Corporate HR for central logging.

- Once the results have gone through the full consistency checking process, the line manager will be informed and they will make arrangements for the post(s) to be advertised in accordance with the Trust's Recruitment Policy.

- Once a Job Description has been submitted and has undergone the AfC process for desktopping, it cannot be submitted for a second time. The result from the matching/evaluation and consistency checking panel will be final.

- Following the appointment, once the new post holder has been in post for a suitable period of time (minimum six months and a maximum of twelve months), they will be expected to agree their job description and person specification. It is the responsibility of the line manager to ensure that the document is completed in accordance with the above timescales. If the post holder and manager agree the job description has not changed since the desktop exercise, no further action is required. If the post holder and manager agree significant changes they can submit the job for further evaluation via their divisional business case process. If there is failure to reach agreement between the postholder and the Line Manager, this must be referred to Senior Corporate HR Manager who will review in partnership.

8.4 RE-EVALUATION PROCEDURE

This process should be used where there are ***significant*** changes to a role that are likely to affect the previous matched or evaluated job result or where managers need to develop existing posts, for example, as a result of departmental restructuring, role redesign, workforce modernisation.

Applications for a re-evaluation may be made by the employee(s) and/or line manager and must be agreed by the Departmental Manager and Service Director. All applications must be made using the Re-evaluation of Pay Band Request Form (Appendix 3).

The Re-evaluation Request Form must be accompanied by:

- o An approved business case
- o An up to date job description and person specification, approved by the appropriate line manager, senior manager and employee (if applicable)
- o A copy of the previous job description and person specification.
- o Up to date KSF Outline (Normally, a request for a re-evaluation should only be made following an annual KSF Review Meeting, where a KSF Outline has been agreed for the individual requesting a re-evaluation).
- o A relevant and up to date Organisational Chart

- The original documents must be submitted to the Divisional Human Resources Department.

- If the re-evaluation of post is successful, the date of approval by the Business Case/Vacancy Scrutiny panel will be the date of action for the increase/decrease in banding.

- Employees may involve their staff or trade union representative at any stage of the process.

- Re-evaluation applications will **not** be accepted from applicants who have submitted an individual re-evaluation request in the previous 2 year period, unless there has been further **significant** changes to their role due to service need..

- Divisional HR will carry out a full quality assurance procedure on the documents submitted in accordance with the QA Procedure (8.2) prior to them being sent to a Re-evaluation Panel. Divisional HR will determine whether the documentation submitted demonstrates significant change.

- Where a re-evaluation matches a post that has already been banded but may have very small differences, it does not need to be submitted through the AfC process. The HR Officer/Manager and Staff side Representative will agree whether the banded JD is a suitable match and inform the manager of the result.

- Where Divisional HR agrees the post should be submitted for re-evaluation, it will log the information onto a Quality Assurance tracker and will forward the documentation to Corporate HR to arrange the re-evaluation.

- Where Divisional HR considers a submitted application should not be submitted for re-evaluation, it will meet with the Staff Side Representative to confirm this decision. If agreed, both parties will communicate the decision to the line manager and employee(s) concerned.

- Where the Staff Side Representative does not agree with HR, a meeting should be convened with both parties and a senior HR Manager to discuss and make a final decision, in partnership, as to whether the evaluation should proceed.

- The Re-evaluation process will take place within 6 months of receipt of the request and it will be allocated to an appropriate Job Matching/Evaluation Panel by Corporate HR.

- The panel will consider the submitted evidence, will seek a suitable National Profile for job matching and will proceed to attempt to match the post and enter on the Computer Aided Job Evaluation (CAJE) System.

- Should the panel agree that the job to be evaluated does not match a National Profile or Job Matching has not resulted in a match, the post will proceed to the consistency checking panel who will decide whether it is to proceed to local job evaluation.

- If the panel needs clarification on information provided in the job description, person specification or organisational chart or need to challenge information provided, they MUST contact the Line Manager and/or post holder for further information..

- The re-evaluation outcome decision will take the form of either a job matched report or job evaluation report.

- To ensure that posts are banded within the context of the Trust's workforce as a whole i.e. taking account of similar posts, Re-evaluations will be consistency checked at departmental, divisional and Trust wide levels by the consistency checking panel using the Trust procedure for Consistency Checking (8.5).

8.4.1 Successful Re-evaluation Request

- Where a post is re-banded to a higher pay band as result of the re-evaluation process, the Divisional HR Department will advise the appropriate manager and employee(s) of the outcome. A Staff Changes Form should be completed and forwarded to the Payroll Department for action.

- The effective date of change will be the date of approval by the Business Case/Vacancy Scrutiny Panel.

- Where a group of staff are working to a generic job description, and one member of the group requests a re-evaluation of their pay band, irrespective of the outcome of the re-evaluation, the remaining staff will remain on their original job matching/ evaluation pay band. In such instances these staff may submit a re-evaluation review request at any time, to be dealt with in accordance with the re-evaluation procedure. Should the posts be evaluated at a higher pay band, their pay would be backdated to the date of their submitted Re-evaluation Review request, unless the form was submitted more than 10 days later when the date of change will be the date of receipt.

8.4.2 Unsuccessful Re-evaluation Request Resulting in No Change in Pay Band Outcome

- Where a post is re-evaluated and the process results in no change to the pay band, Divisional HR will advise the appropriate manager and employee(s) where relevant.

8.4.3 Unsuccessful Re-evaluation Request Resulting in a Lower Pay Band Outcome

- Where a post is re-evaluated to a lower pay band Divisional HR will advise the appropriate manager and employee(s) (where relevant).

- A Staff Changes Form should be completed and forwarded to the Payroll Department for action. The effective date of change will be the date of the applicant's signature on the original Job Evaluation review request, unless the form was submitted more than 10 days later when the date of change will be the date of receipt. In these circumstances normal pay protection rules will apply.

- Where a group of staff are working to a generic job description and one member of the group requests a re-evaluation of their pay band, which result in the post being banded at a lower pay band, irrespective of this outcome the remaining staff will remain on their original job matching/ evaluation pay band.

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8.4.3 Re-evaluation Review Procedure

- In the event that an employee or a group of staff are unhappy with their re-evaluation result, they may request a review.

- A review request must be made in writing within 28 days of notification of the Panel's decision. To request a review, the employee(s) must provide in writing details of which factor outcomes they disagree with and provide evidence to support their case, using the Matching / Evaluation Review Form.

- The review will normally be undertaken by a panel with different panel members to the membership of the original Re-evaluation Panel.

- The employee has no right of appeal beyond the review stage.

8.5 CONSISTENCY CHECKING PROCEDURE

The aim of this procedure is to achieve consistency in the Trust's job matching results, both:

- Internally, to ensure job matching results for the same/similar posts are consistent across departments and divisions, and

- Externally against national benchmark evaluations (*wherever possible*) to avoid Trust posts moving out of line with the same or similar posts in NHS Wales.

The Trust will consistency check every job match result

8.5.1 Consistency Panels

Panel members must be trained and experienced job matchers and must ensure that they have all relevant paperwork for the post to be consistency checked i.e. Job Description, Person Specification and Organisational Chart.

Consistency checking should be undertaken by joint panels consisting of appropriately trained senior HR management representatives and staff side representatives.

Corporate HR will check the completed consistency checking form to identify any further actions.

The consistency panel should follow the checking procedure as set out within this document, which complies with Chapter 14 and other sections of the NHS Job Evaluation Handbook (Third Edition, February 2010)

Corporate HR will log all results for the Trust and Hosted Organisations on a consistency checking tracker and provide the Executive Director of HR with a spreadsheet of all posts within the departmental structure to be produced on a monthly basis for consideration with relevant Directors.

8.5.2 Consistency Checking Panel Responsibilities

The consistency checking panel will check posts within the same Department//Division/Trust and wherever possible staff groups to ensure that the job matching results are consistent with same/similar posts within the Department /Division/ Trust and that they correspond with their departmental organisational structure. This will allow for ongoing comparisons and internal consistency checks.

The consistency checking panel will be responsible for completing and signing a consistency checking proforma and returning it to Corporate HR.

If the consistency checking panel conclude that there are inconsistencies in matching then they should be referred back to a matching panel, with any queries or comments. The matching panel should review the match in question and answer any queries or make amendments to the original match as appropriate.

The results will be checked on four different levels to ensure consistency of results across staff groups and the Trust as follows:-

Level One – Post Job Title and statement

- Review the post and read through the most relevant national profiles on CAJE noting the features which are similar to the jobs due to be matched.
- Check that the job summary fits with job statements on role profile – if not has the correct role profile from the same occupational grouping been selected from CAJE?
- The panel should be satisfied that the post has been matched to an appropriate national profile, and not just matched to a profile with the same job title but with different job content.

Level Two – Consistency checking accuracy of information

- Check to ensure that relevant and complete information / evidence has been recorded against all factors.
- Check evidence for factors 2 and 12
- Check evidence for any factors where there are variations from the role profile
- Check any factors where the post holder / manager has been consulted
- Check all factor levels detail against the details contained in the posts JD, PS and especially where inconsistencies are found in factors 2 and 12.

- For no-matches, check the outcome is correct and the reasons which make it a no-match are justified.
- Where the checking process disagrees with any factor levels or has identified that relevant information has not been considered or has resulted in the allocation of an incorrect high or low factor level the consistency checking panel should refer the job back to the matching panel with any comments and queries.
- If there are further questions or further information needs to be clarified, then the consistency checking panel MUST contact the post holder or appropriate manager for further information. If they are unavailable and the information cannot be provided the consistency checking panel MUST NOT proceed until the information has been provided.

Level Three – Statistical Consistency Checking against comparators

- Check that the JM panels have assessed all of the factor levels.
- Check each factor on a factor by factor basis, ranking the results from the top to the bottom for each factor in turn. This will allow for oddities to be identified and reviewed.
- Check the total weighted score rank order, as this will allow any oddities to be picked up and reviewed i.e. 'Sore Thumbs' by using the post comparator sheet.
- Check that the job matching results fit with the departmental organisation structure (N.B. re-evaluations may not fit into the organisational structure and the panel must consider whether this is correct)
- Check that the pay band for the post is not lower than that of a lower banded post within the departmental structure.
- Record posts consistency checked as comparators and return with all documentation to Corporate HR.
- The panel must use the Job Matching comparison sheet to check the consistency of results across same / similar jobs.

Level Four - Trustwide Checking

- Corporate HR will log the results of the consistency checked posts.
- Corporate HR will populate a spreadsheet with all relevant posts within the structure which will then be provided to the Executive Director of HR for consideration in partnership with staff side and relevant Service Directors. They will undertake an organisational wide scoping check to ensure that any proposed band changes fit with overall Trust/Hosted Organisational structures and strategy, and deliver fair and consistent results. This will help deliver a robust approach to Trust job evaluation.
- If outcomes are identified which do not fit with Trust structures, and could put the Trust at risk of equal pay claims, then the post, together with relevant comments, will go back to the consistency checking panel for further review. It is up to the consistency checking panel to identify whether there are any incorrect factor levels. If this is the case then the panel will refer the job back to the matching panel with comments and queries.

Once the result has been finalised Corporate HR will send the matched report to the Divisional HR department who will inform the post holder/line manager of the result.

N.B Divisions must also retain a log of results for future reference.

9. Related Documents

www.nhs.employers.org
NHS Job Evaluation Handbook (Third Edition 2010)
Agenda for Change Terms and Conditions of Service Handbook
Equal Pay Act 1970
http://howis.wales.nhs.uk
Organisational Change Policy
Job Description Guidance for Managers

APPENDIX 1

Business Case Panel Process

Purpose and Summary of Document:

This document sets out a Business Case Panel process to assist Velindre NHS Trust (and Hosted Organisations as appropriate) to:

- Effectively monitor all vacancy requests from managers to support the Trusts workforce plans (WFP) and financial strategic framework (SWFF).
- Effectively monitor all re-evaluation requests **prior** to the post holder taking on the additional duties and responsibilities.

The document includes:

- the scope of the process;
- an explanation of why the process is needed;
- a summary of interfaces with other processes; and
- a detailed description of the process to be followed

1 Introduction

This document sets out a process to assist Velindre NHS Trust to:

- Effectively monitor and consider all vacancy requests from managers to support the Trusts workforce plans (WFP) and financial strategic framework (SWFF).
- Effectively monitor and consider all re-evaluations and newly created posts (desktop) requests within the division **prior** to the post holder taking on the additional duties and responsibilities from within the division, ensuring that all such requests are in line with the Trust's WFP and SWFF
- Monitor the Trust redeployment register and ensure that any suitable vacancies are advertised via this process in the first instance.
- In support of the workforce modernisation/role re-design and the Annual Operating Framework (AOF) target to support skill mix change, all organisations must demonstrate changes to their skill mix across all grades and bands and must reflect growth in staff in bands 1 to 4 of 3% per annum between 2010 and 2013.

In producing the business case panel process, the aim is to balance the need to make fully informed decisions about the use of Velindre NHS Trust resources with the need to make the resulting bureaucracy as straightforward as is practicable.

2 Scope

The process must be followed in the following circumstances:

- **Staff Vacancies** – Where an existing post holder leaves the Trust (permanently or temporarily) and where it is proposed to either refill the post or to redeploy the budget or provide the function(s) in an alternative way via role redesign.
- **Re-evaluations** - Where there is an identified service need to look at revising a role within a department that will result in a re-evaluation of a post holders Agenda for Change pay band, ideally this should be completed **prior** to the post holder taking on any additional duties and/or responsibilities.

- Increasing establishment hours – Where a manager wishes to increase a member of staff's contracted hours on a temporary or permanent basis, which results in an increase in departmental hours/budget (NB this is not applicable where the same amount of hours are transferred between staff).
- Newly Created posts – Where a new post that has not been in existence in the Trust before is created due to change or service demands

3 Why is this Process Needed?

The process is needed for the following reasons:

- Proposals for service and workforce expansion and change continue to be developed
- To support the divisional AOF, WFP's and SWFF
- To recognise the Trust financial pressures and support its cost savings plans
- To avoid submissions of re-evaluations and/or unnecessary desktops being produced when there is no service need
- To ensure that Service Directors are aware and accountable for posts being developed in their Divisions.

4 Interfaces with Other Processes

This business case process interfaces with a number of existing Trust processes, in the following ways:

- Establishment Control – The filling of all vacancies has previously been subject to approval via the submission of vacancy requisition forms. This will continue to be the case, but is now incorporated within the business case process.
- Re-Evaluation Policy – In cases where an individual's role will significantly develop in support of service needs, a business case must first be submitted and approved before the relevant Trust procedure is followed. Should the business case be rejected, the individual must be asked to work to their existing job description.
- Newly Created Posts (Desktops) – In cases where through role redesign or service redevelopment, a post is created with no existing post holder – a business case must be completed and submitted to the Business Case Panel. Within this submission it must be considered that the role may develop and retain the right to be submitted for full evaluation between 3 and 6 months.

5 Key Documents

The following documents are key to the process:

- The Trust and/or Divisional Business Plan will set the strategic goals and objectives that all business cases should support.
- Individual Business Cases are produced by managers to make the case for financial investment using the standard template
- A relevant job description and person specification must be produced and submitted with a business case for all vacancy request business cases and re-evaluation request business cases.

- An up to date and relevant Service and/or Departmental organigram including bandings

6 The Process

6.1 Development and Consideration of Business Cases

The following summarises the process to be followed:

Manager

- An individual manager develops a business case to support their request. All vacancy business case applications must be accompanied by a completed Vacancy Requisition Form, which has been countersigned by the budget holder and the relevant Finance Manager.
- The manager must determine whether the development is within the scope of this process (see section 2). If in any doubt, the manager must seek the advice of the HR Manager
- The manager must then develop a business case (see section 8) to justify the proposed development. Support can be obtained from the divisional human resources and finance departments in completion of the business case.
- The manager must develop a relevant job description and person specification. Support can be obtained from the divisional human resources department.
- The manager will submit five copies of their completed business case and associated paperwork to the Divisional Senior Management Team for submission to the Business Case Panel

Finance Manager

Prior to the Business Case Panel the Finance Manager will

- Consider each business case submitted, to determine whether any further financial or non financial information is required before the case can be considered by the Business Case Panel. If further information is required the Finance Manager will email the manager for this to be added.
- Maintain a log of business cases received and collate these to produce a financial summary of all business cases, to be considered by each meeting of the Business Case Panel.

Human Resources Manager

Prior to the Business Case Panel the Human Resources Manager will

- Consider each business case submitted, to determine whether any further human resources information is required before the case can be considered by the Business Case Panel. If further information is required the Human Resources manager will email the manager for this to be added.

Business Case Panel

- The business case panel will consider each business case submitted. The following are the actions that the panel can conclude upon:

- **Reject** – the business case has not been supported by the Business Case Panel. Associated reasons and recommendations (if applicable) will be provided to the manager.
- **Request Additional Information** – The Panel requires more information (including the possible consideration of additional options)
- **Approve**– the business case has been supported by the Business Case panel and the manager will be advised of the next steps e.g. , complete re-evaluation or desktop request, advertise vacancy.
- **Implement alternative option** – The Panel supports/does not support the business case as presented, however, it will support and define an alterative option to the manager i.e. role re-design and provide the manager with associated reasons for this and future actions required.

Following the Business Case Panel

- The manager is informed of the outcome of the business case by the Divisional HR Manager.
- The manager actions decision of the business case panel
- The Divisional HR Manager informs the Executive Director of HR of business cases that have been approved and a Trustwide log maintained.

6.2 Business Case Panel membership

The Business Case Panel will consist of the members of the relevant Divisional Senior Management Team and should contain staff side representation. The Chair will be the relevant Service Director or his/her nominated deputy.

6.3 Timetable

Managers must submit their business cases on the template attached to the Service Director **at least one week prior** to the Business Case panel sitting.

BUSINESS CASE APPLICATION FORM	
Nature of Business Case	
Line Managers Name and contact details	
Department	
Senior Managers Name and contact details	
To be completed by the manager submitting the business case	
Description of Business Case	1. Straight replacement of vacancy i.e. band 5 nurse replaced with another band 5 nurse etc 2. Revised replacement of vacancy 2a Role Redesign –Changed Roles e.g. band 5 nurse replaced with a F/T band 3 HCA and 0.5 WTE band 2 clerical support 2b Role Redesign –Enhanced Roles e.g. band 5 nurse replaced with band 6 role by enhancing duties and responsibilities of the existing post. 2c Role Redesign –New Roles e.g. band 5 nurse replaced with new band 4 assistant practitioner role 3. Re-evaluation due to service needs
Need	Identify need for your business case
Benefits	Identify the benefits of your business case
Impact	Identify the impact of your business case
Option Appraisal	Identify and appraise any other options that may be available to you
Cost	Identify costs as follows o Revenue costs - recurring o Revenue costs – non recurring o Capital Costs o Expenditure Profile o Source(s) of funds
Implications of not supporting the Business Case	Identify the implications of the Business Case Panel not supporting the Business Case
To be completed by Business Case Panel	
Outcome	Reject – the business case has not been supported. Associated reasons and recommendations (if applicable) to be provided to the manager. Request Additional Information – The Panel requires more information (including the possible consideration of additional options) Approve– the business case has been supported. Advise manager

	of the next steps e.g. Submit for evaluation, complete re-evaluation request etc. Implement alternative option – The Panel supports/does not support the business case as presented, however, it will support an alternative option e.g. role re-design and provide the manager with associated reasons for this and future actions required.
Recommendations	
Actions required	
BCP Panel Members	
Date	
Further Comments	

APPENDIX 2

RE-EVALUATION QUALITY ASSURANCE CHECKLIST

*Please tick each section as appropriate. If information is missing re-evaluation request **MUST NOT** be accepted*

IS THE BUSINESS CASE/VACANCY SCRUTINY PANEL FORM DATED AND RECEIVED? **YES/NO**

ORIGINAL JOB DESRIPTION RECEIVED? **YES/NO**

NEW JOB DESCRIPTION RECEIVED? **YES/NO**

ARE DOCUMENTS ABOVE SIGNED BY POST HOLDER, LINE MANAGER AND SENIOR/SERVICE MANAGER? **YES/NO**

ORGANISATIONAL CHART WITH DEPARTMENTAL BANDINGS RECEIVED? **YES/NO**

KSF POST OUTLINE RECEIVED? **YES/NO**

HAS THE POST BEEN REVIEWED IN THE PREVIOUS 2 YEARS? **YES/NO**

IF POST HAS BEEN REVIEWED IN PREVIOUS 2 YEARS AND IS STILL TO BE RE-EVALUATED, PROVIDE REASON OR JUSTIFICATION FOR POST BEING SUBMITTED FOR RE-EVALUATION

……………………………………………………………………………………
……………………………………………………………………………………
……………………………………………………………………………………

ARE THERE SIGNIFICANT CHANGES TO THE JOB DESCRIPTION? **YES/NO**

IF NO, HAS THIS BEEN CONFIRMED BY A STAFF REPRESENTATIVE? **YES/NO**

NAME OF STAFF REPRESENTATIVE……………………………………………..

NAME OF HR REPRESENTATIVE…………………………………………………..

DATE……………………………..

DATE SUBMITTED TO CORPORATE HR OFFICE…………………………

DATE APPROVED BY BUSINESS CASE/VACANCY SCRUTINY PANEL……………………………………………..
TO BE ATTACHED TO RE-EVALUATION DOCUMENTATION AND SENT TO CORPORATE HR OFFICE*

DESKTOPS QUALITY ASSURANCE CHECKLIST

*Please tick each section as appropriate. If information is missing desktop request **MUST NOT** be accepted*

IS THE BUSINESS CASE/VACANCY SCRUTINY PANEL FORM DATED AND RECEIVED? YES/NO

NEW JOB DESCRIPTION RECEIVED? YES/NO

ARE DOCUMENTS ABOVE SIGNED BY , YES/NO
LINE MANAGER AND SENIOR/SERVICE MANAGER?

ORGANISATIONAL CHART WITH DEPARTMENTAL BANDINGS RECEIVED? YES/NO

KSF POST OUTLINE RECEIVED? YES/NO

NAME OF HR REPRESENTATIVE……………………………………….

DATE RECEVIVED BY DIVISIONAL
HR DEPARTMENT……………………………………………………….

DATE SUBMITTED TO CORPORATE
HR OFFICE……………………………………………………………..

DATE APPROVED BY BUSINESS CASE/VACANCY SCRUTINY
PANEL………………………………………..
………………………………………………………………..

*****TO BE ATTACHED TO DESKTOP DOCUMENTS AND SENT TO CORPORATE HR OFFICE*****

APPENDIX 3

AGENDA FOR CHANGE

RE-EVALUATION OF PAY BAND REQUEST

Name of Employee(s…………………………………………………………………….

Job Title……………………………………………………………………………….

NI or Payroll Number ……………………………………………………………. Department

Contact Tel No……………………………………………………………………..

Manager's Name………………………………………………………………….

Contact Tel No……………………………………………………………………..

NAME AND SIGNATURES OF THOSE SUPPORTING THE RE-EVALUATION OF PAY BAND REQUEST

	Name of Post Holder	**Signature**	**Contact details**	**Date Signed**
Post Holder				
Line Manager				
Senior Manager				
Director of Service				