

ESSEX PROBATION AREA

O'Gallagher, Kevin

From: Claire.Holland@essex.probation.gsi.gov.uk on behalf of Mary.Archer@essex.probation.gsi.gov.uk
Sent: 05 June 2009 11:54
To: Simpson, Derek; Woodley, Tony (TGWU); O'Gallagher, Kevin
Cc: beverley.warren5@justice.gsi.gov.uk
Subject: Freedom of Information Request

Dear Derek, Tony & Kevin

Please find below the response from Essex Probation Area in respect of the Freedom of Information request you recently submitted.

Within our response I have detailed all the Management posts that were subject to Job Evaluation, with the scores that were awarded under either Matching or Evaluation.

There were 3 Appeals, and the outcome of these Appeals is detailed on the schedule. In all three cases the points scored increased, however the impact on the Pay Band remained unchanged for 2 of the Appeals, with the third Appeal resulting in a change of Pay Band from Band 4 to 5.

I also attach a copy of the Appeal guidance given to staff, and the flowchart which accompanied it for ease of reference, and the EPA Diversity statistics at 31st March 2009.

I trust this gives you the information that you were seeking.

Regards

Mary Archer
Chief Officer
Tel: 01376 501626 Ext 252

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Freedom of Information Request for Job Evaluation information from Essex Probation Area

- a. Yes, all completed
- b. Yes
- c. Yes, clarification of Appeal process (attached)
- d. Individual post based job descriptions
- e. Outcomes detailed below:
- f. Detailed below
- g. See attached

Matched			Appeals		
Management Posts	Score	Band	Score	Band	Appeals
Manager H&S	564/587	5			
Manager HR	574	5			
Manager Unpaid Work	606/619	5			
Manager Finance	619	5			
Manager ETE	572/592	5			
Manager Community Safety	576/596	5			
Manager Programmes	558/571	5			
Manager Communications	567	5			
Manager I&S	560/583	5			
Manager Assessment & Offender Manager	603	5	629	5	
Manager Performance	629	5			
Manager Hostel	659/672	6			
Manager Service Support	534	4	560	5	
Evaluated			Appeals		
Manager NVQ	482	4	528	4	
Manager DTTO	596	5			
Manager Training	583	5			

Essex Probation Area

JOB EVALUATION APPEALS PROCESS

APPEAL AND REVIEW PROCEDURE

This appeals procedure relates only to JE matching, grading and related pay issues. Any other queries or concerns should be addressed via the appropriate local procedure.

11.1. Governance

- 11.1.1. Appeals Panels will be the responsibility of the local Probation Area.
- 11.1.2. The decision of the panel is final as it relates to JE matching, grading and related pay issues.
- 11.1.3. Any other queries or concerns raised by members of staff should be addressed through the appropriate local procedure. The substance of appeals raised through the JE Appeal Procedure cannot also be raised elsewhere.
- 11.1.4. The JE Appeals Process will be used by all Probation Areas.
- 11.1.5. Powers of review will be retained by the NNC and the National Probation Directorate insofar as ensuring consistency is concerned.

11.2. Constitution of Appeals Panels:

- 11.2.1. Appeals Panels will be established in each Area of the Probation Service and local management will be responsible for convening such panels.
- 11.2.2. Formal Appeals should be heard by a joint panel of three members not all of whom have been previously involved with the matching or evaluation of the job.
- 11.2.3. Members of the Panels will be drawn from those who have received training in the JE scheme either in Job Matching or Job Evaluation. This may include Members of the local Probation Board.
- 11.2.4. The Panel should have at least one representative from the recognised trade unions.
- 11.2.5. The Chair of the Appeals Panel should be a locally agreed and trained person who has the confidence of all parties. The Chair will be responsible for keeping a written record of proceedings and ensuring that the appropriate formalities are observed. The Chair is responsible for leading the Panel to a consensus decision and will sign the final letter advising the appellant of the outcome of the appeal.

11.3. Terms of Reference for Appeals Panels

- 11.3.1. Panels will be responsible for conducting hearings for the final, formal, stage of the JE Appeals process.
- 11.3.2. The panel will only be convened when all other procedures, as set out in the JE User Guide have been exhausted
- 11.3.3. The appeal should be heard by the joint panel which will:
 - Apply the procedure exactly as for the original matching;
 - Consider whether the new information/representations change the original match;
 - Complete a new matching form

11.3.4. The appellant(s) may make oral or written representations to the panel, and may be accompanied by a union representative or workplace colleague. Any written submission must be available to the panel at least five working days before the appeal is heard.

11.3.5. The purpose of the meeting is to enable panel members to fully understand the reason for the appeal and clarify any areas of misunderstanding.

11.3.6. A written note of proceedings will be required for future reference

11.3.7. The appellant(s) and representative should not be present when the actual matching takes place.

11.3.8. The appellant(s) should be notified in writing as soon as possible of the outcome of the formal appeal, normally within 20 working days of the date of the hearing.

11.3.9. Notification of the outcome should be in writing, normally in the form of a new or revised matching form. Any subsequent changes to employment contracts should be handled in the normal way.

11.3.10. The decision of the Appeals Panel will be final

11.4. Summary

There are a number of situations in which an employee or group of employees may wish to appeal against or seek review of the grading of their jobs:

- (A) Disagreement over matching of their job(s) to a national profile
- (B) Disagreement over the local evaluation of their job(s)
- (C) The job has changed significantly since the original matching or local evaluation.

Each of these situations is dealt with separately. The final section (D) deals with new jobs.

11.5. Terminology

11.5.1. For the purposes of this procedure, the stages are designated as follows:

Stage 1: *initial evaluation or matching of job*

Stage 2: *review of initial evaluation or matching, where changes to the job have occurred.*

Stage 3: *appeal against initial evaluation or matching, or against re-evaluation or re-matching on review.*

11.5.2. The procedure is written to apply to an individual wishing to appeal or request a review of their job grading. Where a group of employees carrying out the same job wish to appeal or request a grading review, the method for dealing with this should be agreed locally, but the expectation is that a representation from the group will put the case on behalf of all their colleagues

11.6. (Situation A) Disagreement over Matching to National Profile

11.6.1. Grounds for Appeal

- An employee (or group of employees) may appeal against the matching of their job on one or more of the following grounds:

- Insufficient or otherwise inadequate information was available to the panel which undertook the initial matching of the job;
- The available job information was misunderstood or misinterpreted by the matching panel;
- The job is significantly different from that which was matched to the national profile.

11.6.2. Initiating an Appeal

- An employee (or group of employees) who wishes to appeal against the matching of the job should email 'Job Evaluation Queries' within 20 working days of publication of the results.

11.6.3. Informal Appeal

- As a first step, to allow for clarification and possible resolution of the issues, the appeal should be discussed informally between the employee, a management representative (normally from the HR department) and a union representative (if appropriate) as soon as possible and, in any event, within one month of the submission of the appeal request.
- It will be helpful if the informal meeting is attended by a trained matching panel member, so that the rationale for the current grading can be explained and the questions for appeal identified.

11.6.4. Formal Appeal

- If the appeal is not settled or withdrawn as a result of the informal meeting, the formal appeal must commence within one month of the informal appeal date.
- The formal appeal should be heard by a joint panel of at least three members who have all been trained in Job Matching or Job Evaluation with a locally agreed Chair. Members should not have been previously involved with the matching or evaluation of the job. The panel must have both management and union nominees. The panel will:
 - Apply the procedure exactly as for the original matching;
 - Consider whether the new information/ representations change the original match;
 - Complete a new matching form.
- The appellant may make oral or written representations to the panel, either in person or through a union representative or workplace colleague if desired. The purpose of the oral representations is to clarify the issues. The panel may ask questions. The appellant and representative should not be present when the actual matching takes place.

11.6.5. Notification

- The appellant should be notified as soon as possible of the outcome of the formal appeal and, in any event, within 20 working days of the date of the hearing.
- Notification of the outcome should be in writing, normally in the form of a new or revised matching form.

11.6.6. Remedy

- Where the appeal results in a change of grading, then this should be implemented as from the date at which the original grade became effective.

11.7. (Situation B) Disagreement over Local Evaluation of Job

11.7.1. Grounds for Appeal

- An employee (or group of employees) may appeal against the local evaluation of their job on the following grounds:
 - Insufficient or otherwise inadequate information was available to the panel which undertook the initial evaluation of the job;
 - The available job information was misunderstood or misinterpreted by the evaluation panel

11.7.2. Initiating an Appeal

- An employee (or group of employees) who wishes to appeal against the local evaluation of the job must email 'Job Evaluation Queries within 20 working days of publication of the outcome.

11.7.3. Informal Appeal

- As a first step, to allow for clarification and possible resolution of the issues, the appeal should be discussed informally between the employee, a management representative (normally from the HR department) and a union representative (if appropriate) as soon as possible and, in any event, within one month of the submission of the appeal request.
- It will be helpful if the informal meeting is attended by a trained evaluator, so that the rationale for the current grading can be explained and the questions for appeal identified.
- If it appears from the discussion that the job description questionnaire, on which the initial evaluation was based was seriously inadequate, then, by agreement, the jobholder may be asked to complete a new job description questionnaire which will then be re-evaluated.

11.7.4. Formal Appeal

- If the appeal is not settled or withdrawn as a result of the informal meeting, the formal appeal must commence within one month of the informal meeting date.
- The formal appeal should be heard by a joint panel of at least three members who have all been trained in Job Matching or Job Evaluation with a locally agreed Chair. Members should not have been previously involved with the matching or evaluation of the job. The panel must have both management and union nominees. The panel will:
 - Apply the procedure exactly as for the original evaluation;
 - Consider whether the new information/ representations change the original evaluation;
 - Complete a new or revised evaluation rationale form.

- The appellant may make oral representations to the panel, either in person or through a union representative, if desired. The purpose of the oral representations is to clarify the issues. The panel may ask questions. The appellant and representative should not be present when the actual evaluation takes place.

11.7.5. Notification

- The appellant should be notified as soon as possible of the outcome of the formal appeal and, in any event, within 20 working days of the date of the hearing.

11.7.6. Remedy

- Where the appeal results in a change of grading, then this should be implemented as from the date at which the original grade became effective.

11.8. (Situation C) Significant Job Changes

11.8.1. Grounds for Review

- An employee (or group of employees) may request a review of the initial evaluation or matching of their job on the grounds that the job has changed substantially since the initial matching or evaluation, so that the job is significantly different to that which was matched to the national profile or locally evaluated. The substantial change may have happened as the result of a reorganisation of work, or may have occurred through a series of incremental changes over time.

11.8.2. Initiating a Review

- An employee (or group of employees) who wishes to request a review of the initial evaluation or matching of the job must submit the claim in writing to the HR Manager, explaining the changes which have occurred to the job. It is expected that such a request for review of initial evaluation or matching will normally have the support of the line manager.

11.8.3. Informal Review

- As a first step, to allow for clarification and possible resolution of the issues, the request for review should be discussed informally between the employee, a management representative (normally from the HR department) and a union representative as soon as possible and, in any event, within one month of the submission of the request for review of initial evaluation or matching.
- If it appears from the discussion that substantial changes to the job have taken place, then the job description should be revised to accommodate these and, where a local evaluation is envisaged, the job holder asked to complete a new job description questionnaire.

11.8.4. Formal Review

- If the request for review of initial evaluation or matching is not settled or withdrawn as a result of the informal review, the formal review must commence within one month of the informal review date.

- The formal review should be heard by a trained joint matching or evaluation panel, with both management and union nominees, in exactly the same manner as for the initial matching/local evaluation exercises. The panel will:
 - Apply the procedure exactly as for the original matching/ local evaluation;
 - Consider whether the new information/ representations change the original match or local evaluation;
 - Complete a new matching form or evaluation rationale, as appropriate.
- The appellant may make oral representations to the panel, either in person or through a union representative, if desired. The purpose of the oral representations is to clarify the issues. The panel may ask questions. The appellant and representative should not be present when the actual matching or evaluation takes place.

11.8.5. Notification

- The appellant should be notified as soon as possible of the outcome of the formal review and, in any event, within 20 working days of the date of the hearing.
- Notification of the outcome should be in writing, in the form of a new matching form or evaluation rationale.

11.8.6. Remedy

- Where the review results in a change of grading, then this should be implemented as from the date at which the request for review of initial evaluation or matching was submitted.

11.8.7. Appeal against Review of Initial Matching or Evaluation

- If an individual or group of job holders is dissatisfied with a review of a changed job, they may submit an appeal. In this case, the procedure is as for above for an appeal against a matching review or for an appeal against an evaluation review.

11.9. (Situation D) New Jobs

- New jobs should be provisionally matched or evaluated by the ACO HR/HR Manager/HR Officer and relevant line manager and advertised at the appropriate grade salary range.
- After no more than 12 months, the job holder(s) may request a review of the local matching or evaluation of the post, against an up-to-date job description or completed job description questionnaire, as appropriate.
- If an individual or group of employees is dissatisfied with the outcome of this review of matching or local evaluation, they may submit an appeal. In this case, the procedure is as for (A) above for an appeal against a matching review or (B) above for an appeal against an evaluation review.

Job Evaluation Matching Form

Position being matched:	
Possible matches considered (list all):	
Profile used for matching:	
Panel members:	
Date of panel:	

	Factor	Rationale	Level	Points	Match?
1	Job Knowledge				
2	Mental Skills				
3	Interpersonal & Communication Skills				
4	Physical Skills				
5	Initiative & Independence				
6	Responsibility for people				
7	Responsibility for Supervision				
8	Responsibility for Financial Resources				
9	Responsibility for Physical Resources				
10	Mental Demands				
11	Emotional Demands				

12	Physical Demands				
13	Working Conditions				
	TOTAL				

Evaluation Form/Score Sheet

Job Evaluation Rationale Form

Job Title:

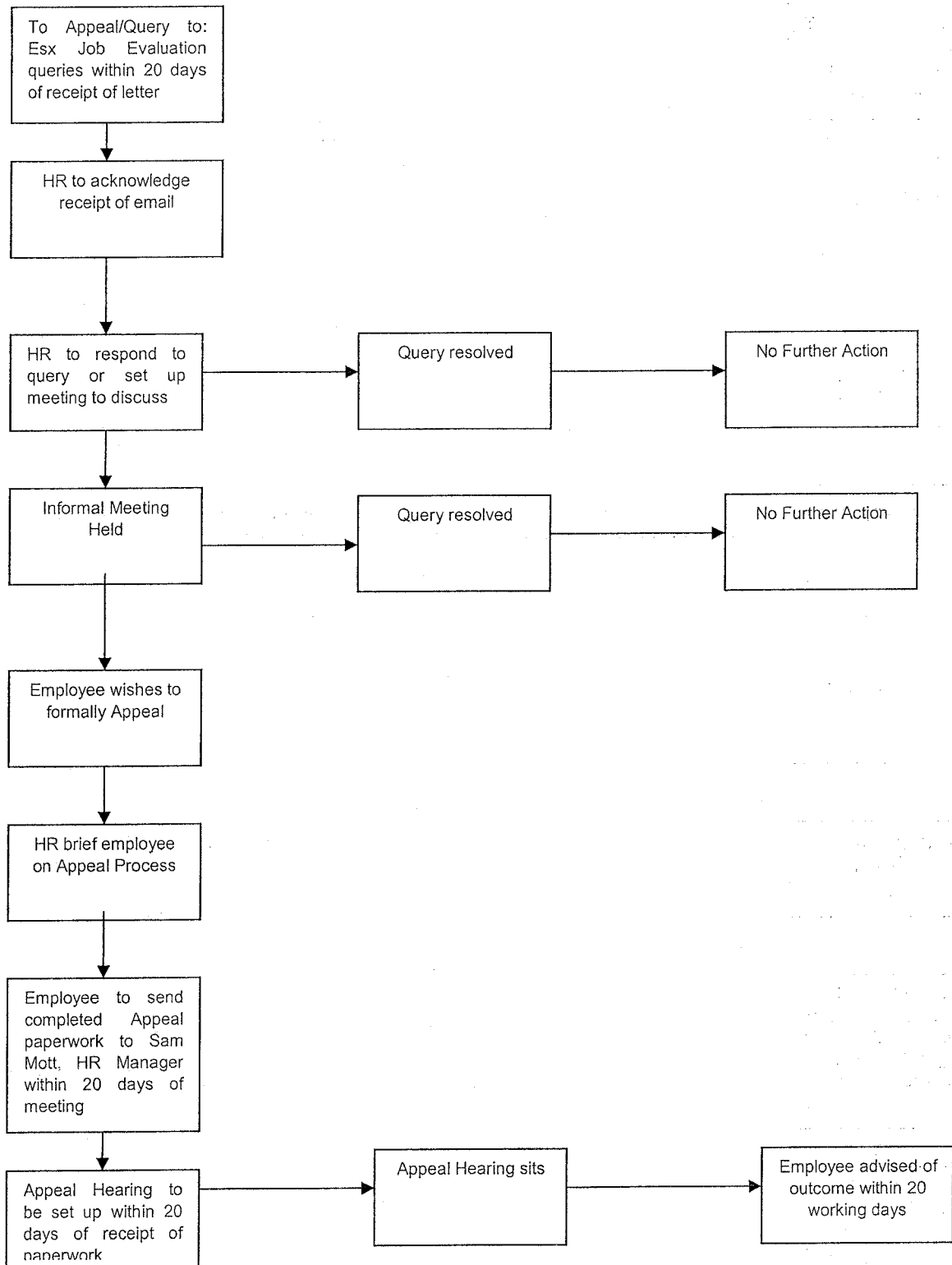
Date of Assessment:

FACTOR	LEVEL	REASONS FOR LEVEL
1. Job Knowledge		
2. Mental Skills		
3. Interpersonal/Communication Skills		
4. Physical Skills		

5. Initiative and independence		
6. Responsibility for People		
7. Responsibility for Supervision/Direction/Co-ordination of Employees		
8. Responsibility for Financial Resources		
9. Responsibility for Physical Resources		
10. Mental Demands		

11. Emotional Demands		
12. Physical Demands		
13. Working Conditions		

Query / Appeal Process for Job Evaluation



Jobtitle4	sex		Data		M		Total FTE		Total ACTUAL
	F	M	FTE	ACTUAL	FTE	ACTUAL	FTE	ACTUAL	
Managers (inc SMT)	37.47837838	42	42	18	18	18	55.5	60	
Assessment & Offender Manager	26.75333333	29	29	17.5	18	18	44.3	47	
Caretaker				0.21621622	1	1	0.2	1	
Court Officer	20.5	22	22	5	5	5	25.5	27	
Deputy Hostel Manager				1	1	1	1.0	1	
Employment & Basic Skills Co-ordinator	4	5	5	1	1	1	5.0	6	
Finance Officer	3.14864865	4	4	6.5	7	7	3.1	4	
Hostel Officer	3.83432432	5	5	3	3	3	10.3	12	
Housing Liaison Officer	2	2	2				5.0	5	
Human Resources Assistant	2	2	2				2.0	2	
Human Resources Officer	2	2	2				2.0	2	
Information & Systems Officer				4	4	4	4.0	4	
Information Systems Support Officer	3.90540541	4	4	2	2	2	5.9	6	
NVQ Assessor	1.5	2	2	1	1	1	2.5	3	
Offender Manager	64.4	69	69	20	20	20	84.4	89	
PA To Board & Chief Officer	1	1	1				1.0	1	
Personal Assistant	4	4	4				4.0	4	
Practice Development Assessor	2.3	3	3				2.3	3	
Princes Trust Liaison Officer				0.5	1	1	0.5	1	
Programme Tutor	3.3	4	4	5	5	5	8.3	9	
Programmes Tutor PSO	10.1	11	11	6	6	6	16.1	17	
PSOA	3.5	5	5				3.5	5	
Support Services Officer	69.46486486	79	79	8.01351351	9	9	77.5	88	
Trainee Probation Officer	5	5	5	4	4	4	9.0	9	
Treatment Manager	4	5	5	5	5	5	9.0	10	
Unpaid Work Supervisor	5.63783784	9	9	20.10135137	30	30	25.7	39	
Unpaid Work Supervisor Manager	4	4	4	1	1	1	5.0	5	
Victim Contact Officer	2	2	2	1	1	1	3.0	3	
Training & Nvq Co-ordinator	1	1	1				1.0	1	
Court Martial Report Writer	1	1	1				1.0	1	
Training & NVQ Administrator				1	1	1	1.0	1	
Finance Administrator	0.5	1	1				0.5	1	
Partnerships & Contracts Officer				1	1	1	0.5	1	
Partnerships & Contracts Administrator				1	1	1	1.0	1	
NAPO Representative				1	1	1	1.0	1	
VISOR Administrator	0.5	1	1				0.5	1	
RIC SDR Writer				0.5	1	1	0.5	1	
Deputy MSS	6	7	7				6.0	7	
Communications Officer				1	1	1	1.0	1	
LMT Administrator	3.5	4	4				3.5	4	
MARAC Link Manager	1	1	1				1.0	1	
CDUW Placement Officer	1	1	1				1.0	1	
Grand Total	300.3	337	337	135.3	149	149	435.7	486	

Count of surname	age3	age2		age				Grand Total
	>20	20-29	30-39	40-49	50-59	60-69	70+	
sex								
F	2	76	79	71	87	20	2	337
M	2	15	23	42	45	19	3	149
Grand Total	4	91	102	113	132	39	5	486

firstname	sumname	fullname	jobtitle	location	division	contract	sex	disabled	age	ethnicity	wholtime	nonemp	emp	ischa
Susan	Thompson	F	Support Services Officer	Chelmsford	Support Services	37	F		54		1	0	0	TRUE
Jason	Arnold	F	Support Services Officer	Harlow	Support Services	37	F		42		1	0	0	TRUE
Starr	Siddings	F	Assessment & Offender Manager	Southeast	ADM	37.5	F		34		1	0	0	TRUE