

TEESSIDE AND COUNTY DURHAM PROBATION AREAS

ROLE	MATCHED OR EVALUATED	SCORE	BAND	SCORE AFTER APPEAL	BAND
Service Mgr Community Reintegration	Matched	675	6	n/a	n/a
Service Mgr PPU	Matched	675	6	n/a	n/a
Service Mgr Special Projects	Evaluated	675	6	n/a	n/a
Service Mgr Interventions & Courts	Matched	675	6	n/a	n/a
SPO Community Reintegration	Matched	580	5	n/a	n/a
SPO Courts	Matched	580	5	n/a	n/a
SPO Community Service (ECP)	Matched	606	5	n/a	n/a
SPO ETE (HELP)	Evaluated	580	5	n/a	n/a
SPO Prisons (HMP Holme House)	Matched	564	5	n/a	n/a
SPO Prisons (HMP Kirklevington)	Matched	590	5	656	6
SPO Prisons (Durham Area)	Matched	593	5	n/a	n/a
SPO Throughcare Manager (HMP Durham)	Matched	606	5	n/a	n/a
SPO Hostels	Matched	636	6	n/a	n/a
SPO MAPPA	Matched	587	5	n/a	n/a
SPO Accredited Programmes	Matched	619	5	n/a	n/a
SPO Drugs Team	Matched (49)	580	5	n/a	n/a
SPO MAPPA	Matched (49)	580/593	5	n/a	n/a
SPO Public Protection Unit	Matched (49)	610	5	n/a	n/a

ROLE	MATCHED OR EVALUATED	SCORE	BAND	SCORE AFTER APPEAL	BAND
SPO MAPPA & Public Protection (combined role)	Evaluated	666	6	n/a	n/a
SPO Practitioner Training (Area TPO Programme Manager)	Matched	610	5	646	6
Senior Psychologist	Evaluated	564	5	n/a	n/a
Consortium TPO Programme Manager	Evaluated	518	4	561	5
HR Manager	Evaluated	613	5	n/a	n/a
Finance Manager	Matched	587	5	n/a	n/a
Staff Development Manager	Evaluated	564	5	n/a	n/a
Health & Safety Manager	Matched	554	5	n/a	n/a
IT/Information Manager	Evaluated	564	5	n/a	n/a

JOB EVALUATION

Teesside & County Durham Probation Areas

- a) The Job Evaluation process has been completed for all staff in both Areas.
- b) The Job Evaluation process was carried out exactly in accordance with the National User Guide.
- c) A supplementary local guidance document was produced in respect of the Appeals Process and is **attached**.
- d) Job matching and evaluation was carried out on the basis of role-based job descriptions.
- e) Details of management posts that were subject to Job Evaluation, and how they were categorised, with initial outcomes (band and score):

See **attached**.
- f) Job Evaluation appeals by management staff:

Teesside:
SPO Practitioner Training – original outcome (matched) Band 5, increased to Band 6 on appeal
SPO HMP Kirklevington – original outcome (matched) Band 5, increased to Band 6 on appeal
Consortium TPO Programme Manager – original outcome (evaluated) Band 4, increased to Band 5 on appeal

County Durham:
SPO Practitioner Training – original outcome (matched) Band 5, increased to Band 6 on appeal
- g) Staff profile for each Area by grade, number, ethnicity and gender (NB current information, not figures as at time of job evaluation).

Attached as requested.

Barbara Holdhusen
HR Director
8.6.09

**NATIONAL PROBATION SERVICE – TEESIDE
NATIONAL PROBATION SERVICE – COUNTY DURHAM**

**JOB EVALUATION
APPEAL AND REVIEW PROCEDURE**

1 INTRODUCTION

- 1.1 This Appeal and Review Procedure sets out the detailed arrangements adopted by NPS Teesside and NPS County Durham to comply with Section 11 (Appeal and Review Procedure) of the User Guide for the approved Job Evaluation Scheme for the Probation Service as agreed by the National Negotiating Council (NNC) in October 2005.
- 1.2 Job evaluation is a technique for comparing the relative demands of jobs, usually as the basis for a grading and pay structure. Job evaluation is about comparing the demands of jobs, not people. Job evaluation does not assess how individuals perform, nor how their work is organised, nor their length of service in the organisation or the role, nor whether they have the required skills and knowledge for the work.

2 GOVERNANCE ARRANGEMENTS

- 2.1 Appeals Panels are the responsibility of the local Probation Board. However, powers of review have been retained by the NNC and National Probation Directorate (NPD) insofar as ensuring consistency is concerned.
- 2.2 This Appeals Procedure relates only to Job Evaluation matching, grading and related pay issues (ie which pay band a role has been allocated to). The substance of appeals raised through the Job Evaluation Appeal Procedure cannot also be raised elsewhere. The decision of the Appeals Panel is final as it relates to job evaluation matching, grading and related pay issues. Any other queries or concerns should be addressed via the appropriate local procedure.

3 STAGES OF THE PROCEDURE

- 3.1 For the purposes of this procedure, the stages are designated as follows:
- Stage 1 – initial evaluation or matching of the job
 - Stage 2 – review of initial evaluation or matching (Informal Appeal)
 - Stage 3 – appeal against initial evaluation or matching (Formal Appeal)

4 REASONS FOR APPEAL OR REVIEW

4.1 There are a number of situations in which an individual (or a group of staff) may wish to appeal against or seek a review of the grading of their jobs:

- Disagreement over matching of the job to a national profile;
- Disagreement over the local evaluation of the job;
- The job has changed significantly since the original matching or local evaluation; or
- The job is a new role (less than 12 months) and has not yet been subject to full evaluation.

4.2 **Disagreement over Matching to National Profile**

(ie where a job description was used to match a role to a national benchmark job profile)

An individual (or group of staff) 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.

4.3 **Disagreement over Local Evaluation of the Job**

(ie where a job description questionnaire (JDQ) was completed by a job analyst and agreed with the individual and their line manager before being used to evaluate a job)

An individual (or group of staff) 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.

4.4 **Significant Job Changes**

(ie 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)

An individual (or group of staff) 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 now 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.

4.5 **New Jobs**

New jobs will be matched or evaluated by a panel including a member of staff from HR and a trade union representative, in consultation with the relevant line manager, and then advertised at the appropriate pay band. 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 staff) 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 4.2 above for an appeal against a matching review or 4.3 above for an appeal against an evaluation review.

5 **HOW TO SUBMIT AN APPEAL**

5.1 An individual (or group of staff) who wishes to appeal under 4.2 or 4.3 above against the matching or evaluation of their job must submit the claim **in writing** to the HR Director within 20 working days of publication of the results (or by a later date agreed by the HR Director at her discretion).

5.2 **Group Appeals**

Where a group of staff carrying out the same job wish to appeal or request a grading review, the method for dealing with this should be that a representation (no more than two staff members) from the group will put the case forward on behalf of all their colleagues

5.3 The person(s) making the appeal **must** complete and submit with their appeal:

- a blank matching form (in the case of appeals against a matching decision); or
- a blank evaluation form (in the case of appeals against an evaluation decision)

explaining under each of the Job Evaluation factor headings whether they disagree with the decision for that factor and, if so, the information they consider should have been taken into account. An appeal which is submitted without this documentation will be returned to the appellant with a request for this information to be provided before the appeal can be progressed.

5.4 An individual (or group of staff) who wishes to request a review of the initial evaluation or matching of their job as set out in 4.4 above must submit the claim in writing to the Area HR Manager within 20 working days of publication of the outcomes of Job Evaluation, 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 be accompanied by written evidence that they have the support of their senior line manager (Director).

6 INFORMAL APPEAL

- 6.1 As a first step, to allow for clarification and possible resolution of the issues, the appeal should be discussed informally between the individual, a management representative (normally the HR Manager) and a union representative (if appropriate) as soon as possible and, in any event, within **one month** of the submission of the appeal request.
- 6.2 Both the management representative and the union representative should have been trained in job matching (for matching appeals) or evaluation (for evaluation appeals) so that the rationale for the current grading can be explained and the questions for appeal identified.
- 6.3 In the case of an evaluation appeal, 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. This will then be submitted to the line manager for agreement before being re-evaluated.
- 6.4 In the case of a request for a review due to substantial changes to the job, 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. Where a local job evaluation will then be undertaken, the job holder will also be asked to complete a new job description questionnaire. This will then be submitted to the line manager for agreement before being re-evaluated.
- 6.5 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.

7 FORMAL APPEAL

Appeal Panels

- 7.1 The local Probation Board is responsible for establishing Job Evaluation Appeal Panels. It will be the responsibility of the Director of Human Resources to convene panels. The Appeal Panel will be responsible for conducting hearings for the final, formal stage of the Job Evaluation Appeals Process.
- 7.2 The Panel will only be convened when all other procedures, as set out in the Job Evaluation User Guide, have been exhausted (including the Informal Appeal process set out in section 6 above).
- 7.3 Formal Appeals will 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. The Panel will have at least one representative from the recognised trade unions. Members of the Panels will be drawn from those who have received training in

the Job Evaluation Scheme either in Job Matching or Job Evaluation. This may include members of the Probation Board.

- 7.4 Appeals Panels will be chaired by the Director of Human Resources or, in her absence, another senior manager or Board member as decided by the Chief Officer. The Chair will be responsible for keeping a written record of proceeding, ensuring the appropriate formalities are observed and will sign the final letter advising the appellant of the outcome of the appeal.

Conduct of an Appeal

- 7.5 The appeal will be heard by the joint panel which will:
- Apply the procedure exactly as for the original matching/local evaluation;
 - Consider whether the new information/representations change the original match/local evaluation;
 - Complete a new matching/local evaluation rationale form as appropriate.
- The Panel will operate in accordance with the principles outlined in section 6 of the national Job Evaluation User Guide.
- 7.6 The appellant(s) may make oral or written representation to the Panel, and may be accompanied by a trade union representative or a workplace colleague. Any written submission must be available to the Panel at least five working days before the appeal is heard. In the interests of fairness, consistency of approach, and the need to ensure good progress is made with Appeal hearings, a time limit of 30 minutes will be placed on oral submissions to the Appeal Panel.
- 7.7 The purpose of an appellant attending the appeal hearing will be to enable the panel members to fully understand the reason for the appeal and clarify any areas of misunderstanding. The Panel may ask questions of the appellant or their representative.
- 7.8 The appellant and their representative are not allowed to be present while the actual matching or evaluation takes place.
- #### **Notification of Outcome**
- 7.9 The appellant will 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. The appellant will receive a copy of the new or revised matching/evaluation form.
- 7.10 The decision of the Appeals Panel in respect of appeals submitted under 4.2 or 4.3 above is final.
- 7.11 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 above for an appeal against a matching or evaluation decision.

Remedy

- 7.12 Where an appeal submitted under 4.2 or 4.3 above results in a change of grading, this will be implemented from 1 April 2006 or the date of appointment to the role (if later than 1 April 2006).
- 7.13 Where a review under 4.4 above results in a change of grading, this will be implemented from the date at which the request for review of initial evaluation or matching was submitted in writing.
- 7.14 Any subsequent changes to employment contracts will be handled by the Human Resources unit.

BEH
November 2006

STAFFING INFORMATION

ALL FIGURES ARE AS AT 31.3.09

By grade, number, ethnicity and gender

Teesside

Race and Ethnic Origin	No of Employees as at end of March 2009*
Asian or Asian British: Indian	1
Asian or Asian British: Pakistani	3
Black or Black British: African	2
Black or Black British: Bangladeshi	1
Black or Black British: Other	2
Does not wish to be recorded	2
Mixed: Other	1
Mixed: White and Black Caribbean	1
White: British	343
White: Irish	1
White: Other	5
Total:	362*

Gender	No of Employees as at end of March 2009*
Male	104
Female	258
Total	362*

*total number employees including sessional – not FTE

Staffing by grade – full-time equivalents			
Staff Category	Main budget	Ring fenced budget	Total FTE
Senior Management	4		4
Assistant Director	4		4
Middle Management	16.48	6	22.48
Other Staff	3.19		3.19
Practitioner Staff - OS	83.76	11.81	95.57
Practitioner Staff - PO	86.35	14.6	100.95
Practitioner staff – TPO		8	8
Practitioner staff – Hostels	-	19.93	19.93
Support Staff - Clerical	52.12	2.81	54.93
Support Staff - Technical	7.47		7.47
Mentor	-	1	1
Miscellaneous	-	1	1
Grand Total	257.37	65.15	322.52

County Durham

Race and Ethnic Origin	No. Employees
Asian or Asian British: Indian	1
Asian or Asian British: Pakistani	1
Chinese	1
Does not wish to be recorded	7
Mixed: Other	1
White Other	3
White: British	285
White: Irish	2
Total	301*

*total number employees including sessional – not FTE

Gender	Number of Employees at end of Mar 09
Male	87
Female	214
Total	301*

*total number employees including sessional – not FTE

Staffing by grade – full-time equivalents			
Staff Category	Main budget	Ring-fenced (prisons)	Total full-time equivalents
Director	4.68		4.68
Asst Director	4		4
Middle Manager	21.59	1	22.59
Practitioners - PO	74.78	13.8	88.58
Practitioners - PSO	78.21	14	92.21
Practitioners – Trainee PO	11		11
Case Admin	30.08		30.08
Office Co-ord	7.76		7.76
Receptionist	4		4
Support Staff - Other	2		2
Supp Staff - Comms	1		1
Supp Staff-Technical	10.27		10.27
Unit Mgr	2		2
Total	251.07	28.8	279.87

BEH
9.6.09