

University of Durham

Codicil to Agreement for the Modernisation of Pay and Pay Structures 25 July 2006

The documents contained within this codicil should be read in conjunction with the University of Durham Agreement for the Modernisation of Pay and Pay Structures.

Contents

Document A	Durham Graded Pay Structure
Document B	Assimilation of Annualised Hours Staff
Document C	Consolidated Revised and Existing Terms and Conditions of Employment
Document D	Enhanced Pay Protection
Document E	Operational Detail of Annual Staff Review Scheme

Signed on behalf of the University by:	
Professor Phil Jones Deputy Vice-Chancellor	
Mr Lee Sanders Registrar and Secretary	
Ms Paulina Lubacz Treasurer	
Mr Jack Boyd Director of Human Resources	
Signed on behalf of the campus trade unions by:	
For DUCU: Mr John Ashworth	

Mrs Sharon Richardson	
For UNISON: Mrs Dorothy Anson	
Mrs Libby Cansino	
For Amicus: Mr Lennie Lauchlan	
Mr Frank Davies	
For GMB: Mrs Rosie Clewes	
Mr Les Goodyer	
Date:	

		1.8.05	1.8.06		
52	Grade 9		£49,116	£50,589	52
51			£47,685	£49,116	51
50			£46,296	£47,685	50
49		5	£44,947	£46,295	49
48		4	£43,638	£44,947	48
47		3	£42,367	£43,638	47
46		2	£41,133	£42,367	46
45	1	£39,935	£41,133	45	
44		£38,772	£39,935	44	
43		£37,643	£38,772	43	
42		£36,546	£37,642	42	
41		£35,482	£36,546	41	
40		£34,448	£35,481	40	
39	Grade 7		£33,445	£34,448	39
38			£32,490	£33,465	38
37			£31,525	£32,471	37
36		7	£30,607	£31,525	36
35		6	£29,715	£30,606	35
34		5	£28,850	£29,716	34
33		4	£28,009	£28,849	33
32	3	£27,194	£28,010	32	
31	2	£26,401	£27,193	31	
30	1	£25,633	£26,402	30	
29		£24,886	£25,633	29	
28		£24,161	£24,886	28	
27		£23,457	£24,161	27	
26		£22,774	£23,457	26	
25		£22,111	£22,774	25	
24		£21,467	£22,111	24	
23	Grade 5		£20,842	£21,467	23
22			£20,235	£20,842	22
21		6	£19,645	£20,234	21
20		5	£19,093	£19,666	20
19		4	£18,517	£19,073	19
18		3	£17,978	£18,517	18
17		2	£17,454	£17,978	17
16	1	£16,946	£17,461	16	
15		£16,452	£16,967	15	
14		£15,973	£16,488	14	
13		£15,508	£16,023	13	
12	Grade 3		£15,056	£15,571	12
11			£14,618	£15,133	11
10		5	£14,192	£14,707	10
9		4	£13,778	£14,293	9
8		3	£13,387	£13,902	8
7	2	£13,009	£13,524	7	
6	1	£12,692	£13,207	6	
5		£12,335	£12,850	5	
4		£11,989	£12,504	4	
3	Grade 1		£11,703	£12,218	3
2		2	£11,377	£11,892	2
1		1	£11,060	£11,575	1

Document B Assimilation of Annualised Hours Staff

Proposed Grade and Supplement:

Housekeeping

General Assistant Housekeeping

The proposed grade for this position is Grade 1, in the Durham Graded Pay Structure, with a supplement of 11% for unsocial hours working. This would provide the following :

Current Salary based on 1.0 FTE		£12,598.778
Grade 1	£11,060 +11%	£12276.6
	£11,377 +11%	£12628.47
Old hourly rate based upon 38hours per week	£6.3759	
New hourly rate based upon 37 hours per week	£6.3808 (Point 1)	
New hourly rate based upon 37 hours per week	£6.5638 (Point 2)	

Proposed Assimilation to Point 2 for current staff.

Housekeeping Team Leader

The proposed grade for this position is Grade 2, in the Durham Graded Pay Structure; it is recommended that the supplement is reduced to 9.5% for this position. This would provide the following:

Current Salary based on 1.0 FTE		£13075.59
Grade 2	£11,703 + 9.5%	£12814.79
	£11,989 + 9.5%	£13127.96
	£12,335 + 9.5%	£13506.83
Old hourly rate based upon 38hours per week	£6.6172	
New hourly rate based upon 37 hours per week	£6.6605 (Point 3)	
New hourly rate based upon 37 hours per week	£6.8233 (Point 4)	
New hourly rate based upon 37 hours per week	£7.0202 (Point 5)	

Assimilation to Point 4 for current staff

Housekeeping Supervisor

The proposed grade for this position is Grade 3, in the Durham Graded Pay Structure; but it is recommended that no additional supplement is paid. Future appointments should be made at an appropriate level on the grade. This would provide the following:

Current Salary based on 1.0 FTE £13599.82

Grade 3 £12,692
 £13,009
 £13,387
 £13,778
 £14,192

Old hourly rate based upon 38hours per week £6.8825
 New hourly rate based upon 35hours per week £6.9736 (Point 6)
 New hourly rate based upon 35 hours per week £7.1478 (Point 7)
 New hourly rate based upon 35 hours per week £7.3555 (Point 8)
 New hourly rate based upon 35 hours per week £7.5703 (Point 9)
 New hourly rate based upon 35 hours per week £7.7978 (Point 10)

Assimilation to Point 9 for current staff

Note that where previously an individual had an FTE equivalent to 0.92 or greater there will be the opportunity to buy back an additional 2 hours per week at single time, which provides for an additional annual payment of up to £787.31

Catering

General Assistant Catering

The proposed grade for this position is Grade 1, in the Durham Graded Pay Structure; it is recommended that the supplement is reduced to 24% for this position. This would provide the following:

Current Salary based on 1.0 FTE £14,043.43

Grade 1 £11,060 +24% £13714.40
 £11,377 +24% £14107.48

Old hourly rate based upon 38hours per week £7.1070
 New hourly rate based upon 37 hours per week £7.1281(Point 1)
 New hourly rate based upon 37 hours per week £7.3324(Point 2)

Assimilation to Point 2 for current staff

Catering Team Leader

The proposed grade for this position is Grade 2, in the Durham Graded Pay Structure; it is recommended that the supplement is reduced to 22% for this position and future appointments are made at an appropriate level on the grade. This would provide the following:

Current Salary based on 1.0 FTE £14,572.61

Grade 2	£11,703 + 22%	£14,277.66
	£11,989 + 22%	£14,626.58
	£12,335 + 22%	£15,048.70

Old hourly rate based upon 38hours per week £7.3748

New hourly rate based upon 37 hours per week £7.4208 (Point 3)

New hourly rate based upon 37 hours per week £7.6022 (Point 4)

New hourly rate based upon 37 hours per week £7.8216 (Point 5)

Assimilation to Point 4 for current staff

Catering Supervisor

Following consultation the Colleges Division has reviewed the position of Catering Supervisor across the Division and has identified a generic job description which has been evaluated as Grade 5. All current and future Catering Supervisors will be placed on this grade and therefore the need for an Annualised Hours Grade is removed.

This decision affects only one individual within the division and there is no detriment to pay.

Staff will reduce hours from 37 to 35 in accordance with the Durham Agreement.

Assimilation to Grade 5 Point 16 is recommended for Catering Supervisors.

1. Overview

- (a) Changes to Terms and Conditions will come into effect from 1 August 2006, wherever practicable. Part Time hours and leave will be pro rata. The arrangements set out in this document supersede all local arrangements.

Grades 1 and 2	Hours of work: 37 hours per week Overtime: Over 37 hours paid at time and a half. Annual Leave: 27 days, plus 4 Customary Days, plus 8 Public Holidays Pension Scheme: Retirement Benefits Plan
Grades 3, 4 and 5	Hours of Work: 35 hours per week Overtime: Up to 37 hours, paid at time. Over 37 hours paid at time and a half. Annual Leave: 27 days, plus 4 Customary Days, plus 8 Public Holidays, Pension Scheme: Retirement Benefits Plan (RBP)
Grade 6	Hours of Work: 35 hours per week Overtime: Where applicable, up to 37 hours, paid at time. Over 37 hours paid at time and a half. (See section 18.) Annual leave: 27 days, plus 4 Customary Days, plus 8 Public Holidays Pension Scheme: Status quo pending actuarial review
Grades 7 to 9	Hours of Work: Nominal 35 hours per week Overtime: Not applicable. Annual Leave: 30 days, plus 4 Customary Days, plus 8 Public Holidays Pension Scheme: Universities Superannuation Scheme

- (b) Individual working patterns will be agreed in order to meet local business needs. No changes will be made without prior consultation and agreement to the working patterns for current staff, including the working arrangements for weekends.
- (c) All overtime will be agreed and authorised in advance and may be taken as time-worked off in lieu.
- (d) All staff in Grades 1 to 6 inclusive will have 5 agreed days of work (for most staff these will be Monday to Friday) and all hours worked up to 37

within this normal working week will be paid at plain time; any hours worked beyond 37 hours will be paid at time and one half. Any hours worked on day 6 or day 7 of the agreed working week will be paid at premium rates.

- (e) Customary Days will be agreed by Council each year and will normally be expected to lie between Christmas and New Year.
- (f) Transitional arrangements for staff whose hours of work are changing will operate for August 2007 and August 2008, i.e. 37 hours reducing/35 hours increasing to 36 on 1 August 2007, and 36 hours reducing/35 increasing to 37 on 1 August 2008.
- (g) Revised holiday arrangements will be effective from 1 January 2007, subject to further checks of planned activities at Easter 2007.
- (h) Staff with salaries above the national 51 point pay spine (Professorial and ALC6 staff) are not covered by the Framework Agreement. It has been agreed locally that for completeness the main terms and conditions of employment should be harmonised for all staff, and so the main terms and conditions which apply to staff in grades 1 to 9 will also apply to staff above the national pay spine.

2. Normal Working Week

- (a) Hours – the total number of hours in a normal working week is as defined by the Hours of Work for each grade. These hours are exclusive of meal breaks.
- (b) Days – the normal working week will be an agreed period of 5 working days, with the 6th and 7th day of the week being designated the 1st and 2nd rest day. The five agreed working days can include Saturday and Sunday.
- (c) Employees in **Grades 1 to 6** have a defined working week which identifies the normal number of hours worked and the days of the week during which that work is undertaken.
- (d) Employees in **Grades 7 to 9** (and identified Trainee Management, Professional, and Research roles) have a nominal working week of 35 hours per week, the hours and days are not strictly defined as it is expected that employees on these grades will manage their own time to ensure that all duties and responsibilities are fully completed, where this involves additional time either at work or away from the workplace no enhanced rates of pay will apply.

3. Additional Payments / Enhanced Rates of Pay

- (a) Where two or more additional payments/enhanced rates of pay apply only the highest will be taken into account when determining pay, unless otherwise stated.
- (b) A number of additional payments will continue to be available for staff employed in **Grades 1 to 6**. There are also some particular arrangements, such as the shift arrangements for Computer Operating staff or the weekend working arrangements for some Biological Sciences Technicians which at present apply only to specific staff groups within grade 6 because of the nature of their work. It would not be appropriate to extend these special arrangements/ conditions of employment to other staff who now fall within the grade. It is proposed to maintain these arrangements for these specific staff groups at present but during the coming year to review the business need and objective justification for their continuance.
- (c) Alternating and Rotating Shift Allowances
These allowances apply to Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions). Employees in receipt of alternating or rotating shift allowance will not be entitled to the enhanced rate of pay for night work.

Alternating Shift:

a cycle of shifts which alternate in immediate succession, or overlap, to cover a period of 11 hours or more in 24.

A payment equivalent to 11% of the hourly equivalent rate for Point 4 on the single pay spine is paid for each hour worked within the defined shift cycle.

Rotating Shift:

a cycle of shifts which rotate in succession to cover a period of 24 hours.

A payment equivalent to 18% of the hourly equivalent rate for Point 4 on the single pay spine is paid for each hour worked within the defined shift cycle.

(d) Premium Rates or Enhanced Rates

These allowances apply to Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions)

Part-time staff engaged regularly throughout their agreed working week (at least 50% of the time being worked on days other than the 1st and 2nd rest

day), will receive the following enhanced rates of pay for all hours worked as part of the normal working week on the 1st and 2nd rest day. No changes will be made without prior consultation and agreement to the working patterns for current staff, including the working arrangements for weekends.

x 1.3 for all hours worked between 10:00pm and 6:00am

x 1.5 for all hours worked beyond 37 hours in the defined working week

x 1.5 for all hours worked on the 6th day of the defined working week (1st rest day)

x 2.0 for all hours worked on the 7th day of the defined working week (2nd rest day)

There may be some specific groups of employees in Grades 7 to 9 who qualify for these payments due to the nature of the work that they are expected to undertake.

(e) Overtime

Any additional hours worked over and above the normal working week must be agreed and authorised in advance of the time being worked. At the time of agreeing the additional hours the method of 'payment' should also be agreed; either the appropriate rate of pay or TOIL.

Overtime is applicable to staff in Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions)

For part-time staff the full-time equivalent of the normal working week must be worked before overtime rates of pay apply.

(f) Time Off In Lieu (TOIL)

Where an employee works authorised additional hours beyond their normal week by agreement they may take an equivalent amount of time, on an hour for hour basis, off at a later time; this would normally be within four working weeks of the time worked.

TOIL is applicable to all grades 1 to 9, including for Lecturers in grades 7 to 9 who work bank holidays.

(g) Payment for working on Public Holidays and University Customary Days

An employee in Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions) who works on a Public Holiday or University Customary Day is paid at an enhanced rate equivalent to:

(i) the normal day's pay; plus

- (ii) the hourly equivalent rate x the number of hours worked, up to the hours in their normal working day; plus
- (iii) they are granted time off in lieu at a later date equivalent to the actual number of hours worked, up to the hours in their normal working day

Note: Any 'overtime' worked on a public holiday or University Customary Day will be paid at x 2.0 but no time off in lieu will be given.

Example 1:

Normal working day is 7 hours, normal daily rate of pay is 7hrs x £6.00 = £42.00

Person A works 6 hours on a Customary Day

Person A receives – (£42) + £36 + 6 hours time off in lieu at a later date. (Note: the first payment of £42 will already have been paid in the normal monthly salary so no additional payment is made for this amount.)

Example 2:

Normal working day is 7 hours, normal daily rate of pay is 7hrs x £6.00 = £42.00

Person B works 9 hours on a Customary Day

Person B receives – (£42) + £42 + 7 hours time off in lieu at a later date + 2 hours at x 2.0 (£24) (Note: the first payment of £42 will already have been paid in the normal monthly salary so no additional payment is made for this amount.)

There may be some specific groups of employees in Grades 7 to 9 who qualify for these payments due to the nature of the work that they are expected to undertake but normally staff in these grades will be allowed compensatory time at a later date.

(h) Call-Out Payments

Call-Out Payments are made where there is a requirement for certain groups of employees to respond to emergency situations outside of their normal working hours. The requirement to respond to call-out situations will be written into the contract of employment for those employees whose role requires them to be available to perform these duties

The payment is referenced to the individual's grade and salary

Note: It is not proposed to alter the current arrangements in place for 2006/2007, but to review all current arrangements for Call-Out and Stand-By Payments for August 2007

These payments are not made to employees who occupy university premises as part of their overall remuneration.

Call-out payments applicable to staff in Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions)

There may be some specific groups of employees in Grades 7 to 9 who qualify for these payments due to the nature of the work that they are expected to undertake.

(j) Stand-By Payments

Stand-By Payments are made where there is a requirement for employees to be available for work outside of normal working hours and must be able to respond within 20 minutes of being called into work. Such requirements will be for clearly identified groups of staff and will be a contractual term of their employment.

Stand-By Payments will only be paid where it is clearly identified that a group of staff are called into work on a regular basis in response to an out of hours emergency. Ad hoc responses to such emergency situations on an irregular basis will be covered by On-Call Payments or an appropriate enhanced rate of pay.

The level of Stand-By Payment will be negotiated locally from time to time and will reflect the frequency of having to provide such cover.

These payments are not made to employees who occupy university premises as part of their overall remuneration.

Note: It is not proposed to alter the current arrangements in place for 2006/2007, but to review all current arrangements for Call-Out and Stand-By Payments for August 2007

Stand-By payments are applicable to staff in Grades 1 to 6 (except where roles have been identified as Trainee Management, Professional or Research positions)

There may be some specific groups of employees in Grades 7 to 9 who qualify for these payments due to the nature of the work that they are expected to undertake.

(k) Return to Work Payments

Return to work payments are made where there is a requirement, either an emergency or an unexpected business reason, where an employee having completed their normal working day is called back to work to undertake additional work. This requirement is expected to be used only in rare circumstances.

Where such a requirement is made the employee will receive an additional payment equivalent to two hours at the appropriate overtime rate for any time worked up to two hours. Any time worked beyond two hours will be paid at the appropriate overtime rate.

Where an employee has previously agreed with their line manager to return to work at a later time to undertake additional duties this payment will not apply.

These payments apply to staff employed in Grades 1 to 6.

(l) Additional Responsibilities 'Step-Up' or 'Acting-Up' Allowance

Circumstances may arise where an employee may be asked to undertake the duties and responsibilities of a higher graded job for a period of time. This may be because of absence of the usual job holder or because there is a temporary need for specific business purposes.

Payment for undertaking the duties and responsibilities of the higher grade will be made on the basis that the full range of duties and responsibilities are being completed. Where only partial performance of the duties and responsibilities is undertaken 'step-up' payments will not apply.

Payment will not be made where:

- (i)** the role of 'Deputy' is included in the standard job description
- (ii)** the additional responsibilities are regarded as a development opportunity and/or natural growth of the job
- (iii)** the duties taken over are consistent with the current grade of the employee who is providing cover e.g. a member of housekeeping staff taking over the cleaning duties of a team leader but not the other responsibilities as these may be covered on a temporary basis by a supervisor.

Payment will be based on the difference between the employee's current salary and the bottom point of the higher grade or three incremental points whichever is the greater. All 'step-up' payments must be agreed with HR and authorised in advance of the duties being undertaken.

Grades 1 and 2 – an employee required to undertake the duties and responsibilities of a higher grade for a normal working day or longer will

be eligible for a 'Step-Up/ Acting-Up' payment for each day that the duties are undertaken.

Grades 3 to 6 – an employee required to undertake the duties and responsibilities of a higher grade for a period of one month or longer will be eligible for a 'Step-Up/ Acting-Up' payment for the period that the duties are undertaken.

Grades 7 to 9 - cases will be considered on their merits in terms of the nature, range and duration of the additional duties, and whether or not the step up represents a development opportunity for the individual.

(m) Flexible Working Arrangements

Flexible working arrangements apply to all staff in Grades 1 to 9.

Flexible working arrangements may be agreed by Heads of Department in consultation with Heads of Division to promote greater flexibility in working patterns to meet service delivery needs. Such arrangements may include changes to working patterns to accommodate varying business needs (daily, weekly, monthly, seasonal); time off in lieu arrangements; formal flexitime schemes, or arrangements to provide authorised additional leave for study purposes. Where appropriate, formal flexitime schemes may be introduced building on the current formal scheme which is currently in operation in parts of the University Administration and other areas of the University. Guidance will be developed in consultation with managers and staff representatives where proposals for such arrangements are brought forward.

4. Leave and Holidays

(a) Annual Leave

Annual leave for all employees in Grades 1 to 6 has been harmonised to a holiday entitlement of 27 days per annum. The holiday year continues to be calculated on a 1st January to 31st December basis.

Annual leave for all employees in Grades 7 to 9 has been harmonised to a holiday entitlement of 30 days per annum. The holiday year continues to be calculated on a 1st January to 31st December basis.

Holiday should be agreed and authorised in advance by line management, normally a minimum of three weeks notice should be given when submitting a holiday request.

In order to meet business requirements it may be necessary to apply a first come –first served basis at some periods of the calendar year.

The University advises all employees to ensure before booking holiday arrangements that they have agreement from their line manager to take holiday at a particular time.

Employees leaving the University are expected to have taken any outstanding holiday by the end of their notice period. Accrued holiday will be paid by agreement with the Head of Department/Section only in exceptional cases where for business reasons the employee is unable to take holiday prior to the leaving date.

(b) Public Holidays

The University recognises 8 public holidays for which, with the exception of May Day and Spring Bank Holiday, the normal practice is for the University to be closed. However certain functions within the University may remain open and employees in those areas will receive adequate notice (3 months) if they are to be asked to work the Public Holidays, the appropriate level of recompense for staff required to work on these days is detailed in 2 above.

(c) Customary Days

The University closes on an additional four days each year. These days, determined by Council, normally fall between the Christmas and New Year period.

(d) Study Leave

Study leave is available to all employees where it is clearly identified as part of an agreed development programme in line with the Annual Staff Review Scheme.

(e) Other Leave

Other forms of leave e.g. compassionate leave; jury service; etc. are set out on the Human Resources website. Please refer to the website or contact Human Resources Managers for further information.

5. Notice Periods

(a) Grades 1 to 5

Employees should provide one month's notice of resignation from the University.

In normal circumstances the University will provide a minimum of one month's notice of termination of employment, this increases in line with statutory requirements by a week a year from year five up to a maximum of 12 weeks.

(b) Grade 6

Employees should provide three month's notice of resignation from the University

In normal circumstances the University will provide 3 months notice of termination of employment.

(c) Grade 7 to 9

Employees should provide three months notice of resignation from the University.

In normal circumstances the University will provide 6 months notice of termination of employment.

Note: the notice period given by the University during probationary periods will be one month for Grades 1 to 6 and three months for Grades 7 to 9

6. University Sick Pay Scheme

There are no changes to the current scheme which applies to all staff within the Durham Graded Pay Structure.

	Full Pay	Half Pay
Year 1 – first 3 months	2 weeks	2 weeks
Year 1 – after 3 months	2 months	2 months
Years 2 and 3	3 months	3 months
Years 4 and 5	5 months	5 months
After 5 years	6 months	6 months

Document D Enhanced Pay Protection

Assimilation Allowance

The University recognises that in some cases, removal of the pay protection allowance after three years would have a significant impact on take home pay and therefore to lessen the impact, an additional assimilation allowance (AA) will be made in such cases.

The assimilation allowance is an additional temporary element of pay and will:

- only apply until such time as the cumulative cost of living increases exceed the assimilation allowance.
- not be subject to cost of living increases.
- reduce on an annual basis by the same amount as the pay for the grade increases.

The level of the assimilation allowance is determined on an individual basis and will be notified to staff by letter prior to 31st July 2009.

Document E Operational Detail of Annual Staff Review Scheme

1. Consultation

The Contribution Work Group recognised the importance of undertaking an extensive consultation exercise with Heads of Departments/Managers and Trade Union colleagues before making detailed proposals for the Annual Staff Review scheme. The following proposals reflect the feedback received during that consultation exercise.

2. Principles

The following principles have been agreed:

- a) The scheme's main purpose is to bring benefits to individuals, departments and the University.
- b) All managers have a fundamental responsibility to review and develop their staff; the scheme should ensure that all staff are given this opportunity.
- c) The scheme should focus on the developmental and positive aspects of contribution monitoring.
- d) There should be one scheme that applies to all members of staff, but the scheme must incorporate sufficient flexibility for it to be meaningful for different staff groups.
- e) The scheme must be fair and consistent and provide evidence for assessing and recognising the sustained exceptional contribution of staff.
- f) All staff should have an equal opportunity to progress within grades and into contribution points.
- g) The scheme should be simple to administer and easy for staff to understand.
- h) All staff should meet annually with an appropriate reviewer to assess progress against objectives for the previous year, agree objectives for the coming year and discuss how their objectives will contribute towards the achievement of departmental and University strategies.
- i) Objectives should focus on both qualitative and quantitative measures and must be specific to the relevant department/discipline.
- j) The scheme should ensure that individual objectives are in line with University and departmental strategies and should therefore take place at an appropriate time in order to feed into the planning process.

- k) The annual review should focus on training/development required to help staff carry out their roles, meet agreed objectives and develop their careers.
- l) The individual should have the opportunity to comment on their review.
- m) The annual review should be the mechanism that highlights exceptional performers and provides evidence to support recommendations for Exceptional Contribution Payments.
- n) Clear, constructive feedback must be provided at all stages.
- o) Managers and reviewers must undertake training and have the necessary skills to conduct annual reviews.
- p) The reviewer should recommend which staff should be considered for Exceptional Contribution Payments, but the reviewer should not be the sole decision maker, except where the Head of Division is the Reviewer.
- q) There must be a process to moderate and monitor Exceptional Contribution Payments at departmental, faculty and University level to ensure consistency and fairness.
- r) It is accepted that the majority of our staff are working at a good or excellent level; recommendations for an Exceptional Contribution Payment must be made in this context.
- s) For those staff identified as not meeting agreed objectives, the review meeting should ensure that they receive the appropriate support and development to help them reach the required standard. In some cases the scheme may provide a route to instigate other relevant procedures.
- t) The scheme should not replace other methods already in place to reward one-off individual or team exceptional performance.

3. Scope of the Annual Staff Review

The Annual Staff Review scheme will:

- a) apply to all full time, part time and fixed term staff engaged on a University contract of employment.
- b) be the mechanism that highlights exceptional performers and provides evidence to support recommendations for Exceptional Contribution payments. The Review may also provide evidence to help inform other existing reward processes.

4. Purpose and Outcomes of Annual Staff Review

- a) The scheme will replace all existing staff development review systems.
- b) The scheme will provide a link between the individual and University/Departmental Strategy and priorities; providing every member of staff with the opportunity to meet at least once a year with an appropriate reviewer to discuss how their role can contribute to the continued success of the University.
- c) The primary purpose of the scheme is that all staff will review progress against objectives over the previous year, agree objectives and key milestones for the coming year and, where necessary, agree any personal or professional development requirements. It is expected that the normal standard of performance is good or excellent.
- d) For a small number of staff whose contribution is assessed as exceptional, the scheme will provide evidence to support a recommendation for accelerated incremental progression or, for those staff at the top of their grade, movement into the contribution points.
- e) The scheme may also provide additional evidence to help inform other existing reward processes.
- f) The scheme may identify a small number of staff who are not performing to an acceptable standard; in such cases a supportive development plan will be agreed.

5. Recommended timetable for Annual Staff Review

Following extensive consultation it was agreed that the following timetable was realistic and provided sufficient flexibility to address the differing operational demands of departments/colleges (N.B. It may be necessary to vary the timing slightly in 2006 to accommodate the training schedule for reviewers).

August – December	Review meetings and departmental moderation takes place
January/February	Summary of recommendations to Divisional Heads, Divisional Heads moderate results.
March	Summary of approved recommendations to JCNC for equal opportunities monitoring.
April/May	Letters to individuals confirming payments.

August

Payments made.

6. Timing of First Contribution Payments

- a) The first round of reviews will take place in August to December 2006 (subject to the training programme for reviewers); it has been agreed that this first year will be a training and development period to ensure that the scheme works well in practice and that reviewers and reviewees are comfortable with the process.
- b) Reviewers will not be required to make recommendations for exceptional contribution payments until after the second round of reviews have taken place in 2007, with first payments effective from August 2008.
- c) During this interim period, other reward processes will remain in operation, including the Staff Reward Scheme.

7. Process

- a) **Step 1 - HoDs nominate a pool of appropriate staff to act as reviewers.** Where appropriate it should be line managers, (in view of their moderating role HoDs should undertake as few reviews as possible; as a guide this should not be any more than 6 and only where no one else would be appropriate). If line managers or individuals are uncomfortable with their allocated reviewer/reviewee they should raise this with their HoD who will decide if another reviewer/reviewee should be allocated. HoDs will be reviewed by their Divisional Head. Divisional Heads will be reviewed by the Vice-Chancellor.
- b) **Step 2 – Divisional Heads and HoDs ensure that all staff are aware of departmental strategy and priorities before review meetings commence,** appropriate staff objectives should be discussed and, in light of departmental priorities, HoDs should also give guidance to reviewers as to what a successful case for an exceptional contribution payment might include.
- c) **Step 3 - Review meetings take place for all staff.** The individual's role should be discussed and reviewed in light of University/Divisional/ Departmental strategy/priorities. All staff should review progress against objectives over the previous year, agree objectives and key milestones for the coming year and, where necessary, agree any personal or professional development requirements.
- d) **Step 4 – Summary of the review meeting** the reviewer should give feedback on the reviewee's performance over the last 12 months. A

summary of the meeting should be agreed by the reviewer and the reviewee and signed by both parties.

- e) **Step 5 – Recommendations by reviewers** – once the reviewer has completed all of his/her reviews, all completed forms should be forwarded to the HoD for his/her information (where the numbers are significant, the HoD can delegate this responsibility to other senior staff but he/she should retain oversight of the process). The reviewer should also prepare a summary of his/her reviews highlighting specific recommendations. (N.B. reviewees should not be made aware of any recommendations until they have been approved by the Divisional Head).
- f) **Step 6 - Moderation takes place at departmental level.** Each department should nominate a small Moderation Panel; as a guide this should consist of the HoD and at least one other appropriate person (members of the moderation panel must be trained reviewers). The composition of the Panel may vary for different staff groups. The panel's role will be to ensure fairness and consistency within the department. The HoD and members of the Moderation Panel will use the evidence provided by the review to inform recommendations regarding exceptional contribution payments. Any cases of underperforming staff must also be highlighted to the HoD who will be responsible for ensuring that a supportive development plan is put in place.
- g) **Step 7 – Consideration of training and development needs** – The HoD should consider the department's training needs; group training needs should be identified and priorities agreed and budgetary provision made in the departmental planning submission. Feedback must be provided to individuals and a summary of the department's training needs should be forwarded to the Staff Training and Development Manager and the Academic Staff Development Officer.
- h) **Step 8 – Where appropriate, each department provides written recommendations for exceptional contribution payments to the Divisional Head/Dean.** The Divisional Head/Dean should consider and moderate recommendations. Divisional Heads have authority to approve contribution payments for all departments in their Division. All recommendations for contribution payments must be accompanied by the review form to enable the Dean/Divisional Head to assess the evidence in support of the case. The Divisional Head also has authority to approve contribution payments for all of his/her direct reports.
- i) **Step 9 – Divisional Heads provide moderated outcomes to a central group** for university wide, high level, equal opportunities and diversity monitoring.

- j) **Step 10 – Divisional Heads issue letters to individuals confirming contribution payments.**

8. Disagreements

- a) Any disagreements between reviewers and reviewees that are sufficiently serious to require assistance to resolve should be brought to the attention of the departmental moderation panel who will take whatever action is appropriate to try to resolve the matter.
- b) Any issues that are not resolved at departmental level should be raised with the Divisional Head who will take whatever action is appropriate to try to resolve the matter.
- c) Any individual who remains dissatisfied will have recourse to the existing grievance procedures.

9. Decision Making Authority

- a) The authority to approve exceptional contribution payments will rest with the Divisional Head.

10. Monitoring and Review

- a) To ensure that the scheme is fairly and consistently applied to all groups of staff throughout the University, monitoring statistics will be made available to meetings of JCNC. The statistics will be provided for each department according to gender, ethnicity and staff group.
- b) A formal review of the scheme will take place in 2007 after the first round of reviews have been completed.

11. Rating Assessment

- a) The scheme will not include any formal rating scale.
- b) Staff will fall into 2 categories, i.e. those meeting the required standards and a small number of staff who are not meeting the required standards. The University expects the vast majority of our staff to fall into the first category, with the expected level of performance being good or excellent and with a small number of staff making an exceptional contribution.
- c) A definition of what constitutes exceptional contribution will be agreed with trade union colleagues.
- d) Full guidance and training will be provided for reviewers to help them:

- i. provide constructive feedback to staff in terms of their level of contribution and to allocate staff to the appropriate category
- ii. to recognise those who have made an exceptional contribution
- iii. to recognise and support those staff who have not met the required standards.

12. Multiple Contribution Payments

- a) There will not be any limit on the number of contribution payments a member of staff can receive (other than the reaching the top contribution point for that grade).
- b) If an individual has been recommended for more than one contribution payment, Heads of Departments will be required to undertake a review of the case. The appropriateness of other options, such as an application for promotion/re-grading, should be considered before the recommendation for a contribution payment is forwarded to the Divisional Head. (N.B. staff can be put forward for promotion or re-grading at any stage, not just after receiving a contribution payment(s)).

13. Payments

- a) Contribution payments will be made in the form of consolidated increments in August each year, for some staff this will result in an amended incremental date.

14. Paperwork

- a) There will be one form, applicable to all staff, to ensure every member of staff experiences the same process and has an equal opportunity to be considered for contribution payments.
- b) This will be available in paper form and will also be available as a template on line
- c) The form will consist of:
 - i. A self review section completed in advance by the reviewee
 - ii. A section to agree objectives for the coming year
 - iii. A section to agree development needs
 - iv. An agreed summary of discussion
- d) Full guidance notes for reviewers and reviewees will be provided and will be tailored to the needs of specific staff groups.

15. Confidentiality of Forms

- a) Heads of Departments will see all sections of the form.
- b) If staff wish to raise a confidential issue during the review the guidance notes will suggest that this is done verbally at the meeting or that the reviewee provides a supplementary document that remains confidential between the reviewer and reviewee.

16. Training for Reviewers and Reviewees

- a) Training for Reviewers will be compulsory.
- b) Reviewees will be encouraged to participate in briefing sessions and training events.

17. Next Steps

- a) Trade Union colleagues are invited to endorse these recommendations.
- b) Once the scheme outline has been agreed, work will continue on producing detailed forms, guidance notes and accompanying documentation. Managers and Trade Union colleagues will be continue to be consulted.
- c) An implementation plan will be agreed to incorporate communication, training for reviewers and reviewees.