



**Policy on the Assimilation of Roles to the New Grading Structure**

*(To follow – pending revisions)*

**Post-implementation Review (2006)**

**1. A one-off exercise, following implementation of the new single grading structure in 2006:**  
The same principles as for Role Review (see Appendix V) should apply.

**2. Post-implementation Review Panel**

The review should be conducted by a panel of three members, i.e. a different panel from that which originally scored the role (records will be kept of which panel/panel members scored which role).

**3. Timescale:**

- (a) It is currently planned to notify staff of their new grade and salary by letter in May 2006.
- (b) It is anticipated that any post-implementation reviews will take place between June and October 2006.
- (c) If there were a large number of review requests, it would not be possible to process all applications within a very short timescale.
- (d) Priority should be given to requests from red-circled staff as far as is practicable.

**4. Legitimate grounds for review:**

*a) The role has changed since the initial role analysis*

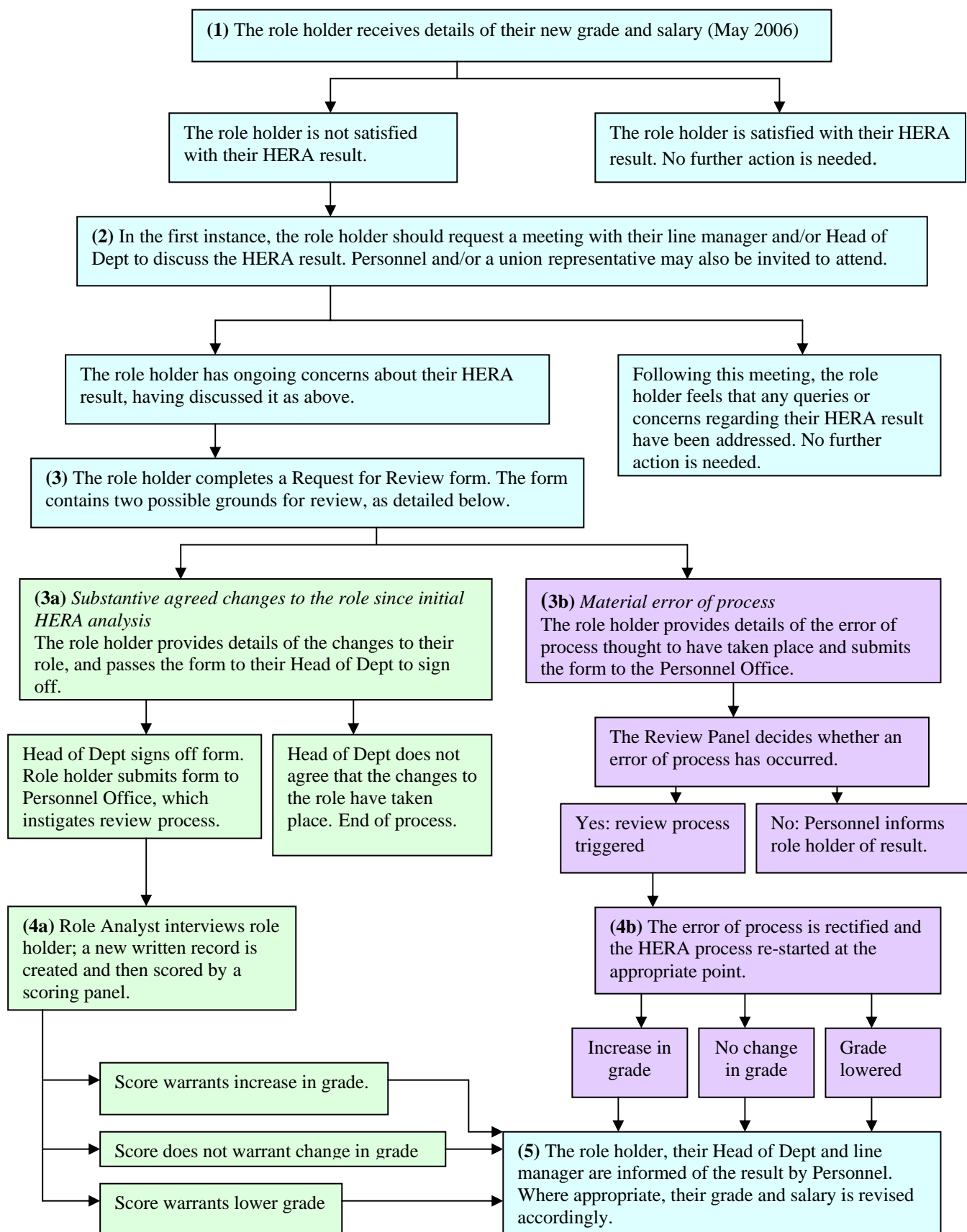
Where an employee's role has changed since the initial role analysis, a Role Analyst should be brought in to update the written record. The role would then be scored according to the updated written record.

*b) A material error of process is thought to have occurred*

Where it is thought that a material error of process has occurred in the initial analysis of the role, the process should be re-started at the appropriate point.

**Promotions and Regrading Working Group/September 2005**

**THE FRAMEWORK AGREEMENT**  
**Post-implementation Review Process (2006)**



## UNIVERSITY OF YORK

## Request for Post-implementation Review of HERA outcome

Section 1: Applicant details			
Name	Title: Prof/Dr/Mr/Mrs/Miss/Ms	Department	
	Surname:		
	Forename:		
Job title		Employee Number (see salary slip)	
Have you discussed the results of the HERA analysis of your role with your line manager or Head of Department?			Yes / No

Section 2: Reason for request for Post-implementation Review
Have there been substantive agreed changes to your role since you verified your written record? If so, please give details of the changes in the box provided below or on a separate attached sheet. If not, please go to Section 3.
<b><i>For completion by Head of Department:</i></b> I agree that there have been changes to the above named employee's role as described above.  Signed ..... Date ..... Print name .....

Section 3: Reason for request for Post-implementation Review
Do you think that there may have been an error in the process of role analysis? If so, please give details in the box provided below or on a separate attached sheet.

***For completion by applicant:***

Signed ..... Date .....

*Please return to the Personnel Office*

**IMPACT OF HARMONISATION: HOURS AND LEAVE**

(a) Impact for Existing Staff

<b>37 hour working week and 38 annual leave days<sup>1</sup> per year</b>		
<b>Staff Group</b>	<b>Impact of move to 37 hour working week</b>	<b>Impact of move to 38 days annual leave allowance</b>
Academic	Notional reduction: 0.5 hours	No change
Research	Notional reduction: 0.5 hours	No change
ALCOR	Reduction: 0.5 hours	No change
Administrative & Related	Increase: 0.5 hours	Increase of 4 days for staff with less than 5 years service Increase of 3 days for staff with 5 years service Increase of 2 days for staff with 7 years service Increase of 1 day for staff with 12 years service
Technical	No change	<b>Grades A-D:</b> Increase of 4 days for staff with less than 5 years service Increase of 3 days for staff with 5 years service Increase of 2 days for staff with 7 years service Increase of 1 day for staff with 12 years service  <b>Grades E- I:</b> No change for staff with less than 10 years service Reduction of 1day for staff with 10 years service
Manual	Reduction: 1 hour	Increase of 4 days for staff with less than 5 years service Increase of 3 days for staff with 5 years service Increase of 2 days for staff with 7 years service Increase of 1 day for staff with 12 years service

(b) The Financial Impact of Harmonisation

Please note that the projected figures include details of the likely minimum costs associated with the recommended option and also the likely maximum costs, in terms of cash flow value. The minimum cost assumes a minimal level of staff replacement to cover reduced working hours/increased annual leave, while the maximum cost is based on the most generous level of staff replacement (see accompanying notes). It should be noted that the level of staff replacement, and associated costs, are to some extent within the control of the University.

---

<sup>1</sup> This figure is inclusive of public holidays.

**Combined Notional Value to Harmonising Leave and Hours**

		Working Week					
		Notional Value to University Cost/(Saving)					
		Total	£610,800	£208,800	(£192,900)	(£594,700)	
Annual leave	Notional vale to University Cost/(Saving)	Total	Hours/Max Leave	36.5	37.0	37.5	38.0
		(£777,695)	34	(£166,895)	(£568,895)	(£970,595)	(£1,372,395)
		(£537,200)	35	£73,600	(£328,400)	(£730,100)	(£1,131,900)
		(£296,900)	36	£313,900	(£88,100)	(£489,800)	(£891,600)
		(£56,300)	37	£554,500	£152,500	(£249,200)	(£651,000)
		£184,300	38	£795,100	£393,100	(£8,600)	(£410,400)
		£424,800	39	£1,035,600	£633,600	£231,900	(£169,900)

1. Based on staffing at 19/5/05
2. The notional value associated with changes has been calculated based on the actual an average working days pay ( Salary/((Contract hrs week x 52.178) - (Contract hrs per day x No of holidays) and excludes employers on costs
3. The notional value associated with changes has been calculated based on % change to the working week

**Combined Cash Flow Value to Harmonising Leave and Hours (MINIMUM Costs of Replacement)**

		Working Week					
		University Cashflow Cost/(Savings)					
		Total	£169,500	£112,900	£56,600	£0	
Annual leave	University cashflow Cost/(Saving)	Total	Hours/Max Leave	36.5	37.0	37.5	38.0
		£0	34	£169,500	£112,900	£56,600	£0
		£1,500	35	£171,000	£114,400	£58,100	£1,500
		£20,600	36	£190,100	£133,500	£77,200	£20,600
		£39,500	37	£209,000	£152,400	£96,100	£39,500
		£58,600	38	£228,100	£171,500	£115,200	£58,600
		£77,500	39	£247,000	£190,400	£134,100	£77,500

1. Based on staffing at 19/5/05
2. No savings have been assumed as a result of reduction in holidays or increase in hours: it is assumed that it is unlikely that staff savings will be made.

3. **No additional costs** have been assumed as a result of reduction in working hours or increase in holidays: it is assumed that this will be absorbed by increased productivity (except for manual staff see note 4)
4. It is assumed that **80%** of manual staff hours will be replaced at single time
5. Excludes any costs associated with buyout of less favourable terms and conditions

**Combined Cash Flow Value to Harmonising Leave and Hours (Likely MAXIMUM Costs of Replacement)**

		Total	Working Week			
			University Cashflow Cost/(Savings)			
Total		Hours/Max Leave	£327,600	£199,500	£81,200	£0
			<b>36.5</b>	<b>37.0</b>	<b>37.5</b>	<b>38.0</b>
Annual leave	University cashflow Cost/(Saving)					
	£0	<b>34</b>	£327,600	£199,500	£81,200	£0
	£2,600	<b>35</b>	£330,200	£202,100	£83,800	£2,600
	£38,000	<b>36</b>	£365,600	£237,500	£119,200	£38,000
	£73,500	<b>37</b>	£401,100	£273,000	£154,700	£73,500
	£109,000	<b>38</b>	£436,600	<b>£308,500</b>	£190,200	£109,000
	£145,100	<b>39</b>	£472,700	£344,600	£226,300	£145,100

1. Based on staffing at 19/5/05
2. No savings have been assumed as a result of reduction in holidays or increase in hours: it is assumed that it is unlikely that staff savings will be made.
3. **20%** additional costs have been assumed as a result of reduction in working hours or increase in holidays: the balance is assumed to be absorbed by increased productivity (except for manual staff, see note 4)
4. It is assumed that **100%** of manual staff hours will be replaced at 70 @ single time and 30% @ 1.5x
5. Excludes any costs associated with buyout of less favourable terms and conditions

## Flexitime Guidelines

### Flexitime

#### *CONTENTS*

### **Terms and Conditions of Service for University Staff**

Preamble

- 1 Principles
- 2 Working Hours: Definition
- 3 Working Hours: Flexibility
- 4 Working Hours: Deficit/Excess
- 5 Flexitime Leave
- 6 Working Hours: Records
- 7 Working Time Records: Adjustments
- 8 Sickness during flexitime leave
- 9 Appointments outside Core Hours
- 10 Overtime
- 11 Training and notice periods

#### *GUIDANCE NOTES*

##### **Preamble**

- 1 In April 1996 Council agreed that Guidelines on Flexible Working Hours to be adopted by Departments when implementing flexitime schemes in the future. Schemes in existence before that time may continue in their present form, but any future amendments to those schemes should be in accordance with the procedures and practices recommended in the Guidelines.
- 2 As part of the Framework Agreement implemented on the 1<sup>st</sup> August 2006 the scope of the Flexitime policy was extended to make flexitime available to all staff within the University. The principles agreed are detailed in section 1.

### **Flexible Working Hours**

#### **1 Principles**

- 1.1 The University is committed to the promotion of a healthy work-life balance for all its staff and welcomes the contribution that the use of flexitime working arrangements can make in this regard. Flexitime can also allow participants to work in more effective ways that will be of benefit to the university as well as themselves.
- 1.2 Flexitime arrangements will be made available, as far as practicable, to all

university staff (including both full-time and part-time employees). It is acknowledged, however, that;

1.2.1

- some may choose to retain their current working arrangements, rather than enter the flexitime scheme;

1.2.2

- some may have to be excluded, owing to the nature of their duties, or because they receive payments to reflect different working arrangements. The decision on this matter lies with the Head of Department.

1.3

If staff members are dissatisfied with a decision to withhold flexitime arrangement they can invoke the University's standard procedures in order to have this decision reviewed.

1.4

The services provided by the Department must not be compromised to accommodate the flexitime scheme. Departments participating in a flexitime scheme shall be responsible for adapting it to fit their operational needs. Adaptations should accord with these principles and the published guidelines.

1.5

Departments reserve the right to suspend flexitime for a set period to meet operational requirements. Advance notice will be given when this is to occur. Such suspensions could be set annually or may be ad hoc in nature.

1.6

It is expected that staff will work and operate flexitime schemes within their departments in a fair and harmonious manner.

## 2 Working Hours: Definition

2.1

Working hours are those that contractually apply to the individual member of staff. For full-time staff the working week is 37 hours giving a notional working day of 7 hours 24 minutes and a notional half day of 3 hours 42 minutes.

2.2

Part-time staff working hours are calculated on a pro-rata basis. Part-time staff may be included in the flexitime scheme subject to the caveat that their part-time status may already represent the maximum degree of flexibility allowed by local conditions.

2.3

Each new member of staff should discuss with his/her Head of Department/Section whether flexitime operates within that particular Department/Section and if so what the arrangements are for that specific post.

## 3 Working Hours: Flexibility

3.1

Working hours may be divided into bands of core time and flexitime. Unless away from work for some specific reason (annual leave, illness

etc) staff are required to be present during core time bands, but, subject to conditions, may start and finish work at their discretion during flexible time bands.

The table below contains example core time bands. These can be varied by departments to take into account operational requirements.

3.2

The core time bands are	10.00 am - noon 2.00 pm - 4.00 pm
Flexible time bands are	8.00 am - 10.00 am 12.00 noon - 2.00 pm 4.00 pm - 6.00 pm

A break, 30 minutes minimum, will be incorporated into the working day; this will normally fall within the 12:00 to 2:00 time band.

3.3

4

#### *Working Hours: Deficit/Excess*

4.1

Although the contractual weekly hours will remain unchanged, flexitime will normally be calculated on a 3 month period (Jan-March, April-June, July-Sept, Oct-Dec). Schemes may allow a deficit/excess of up to 32 hours. The deficit/excess can be carried forward to the next accounting period. Any excess over the stated amount (up to 32 hours) will be lost at the end of the accounting period.

Staff with a deficit of flexitime hours on termination of employment will have the deficit hours charged against outstanding annual leave or, if there is no leave outstanding, will have their final pay adjusted to cover the deficit. Staff with an excess of flexitime hours on termination of employment will be paid their excess hours at single time rate, if it is not possible to take these hours as flexitime leave prior to termination of employment.

4.2

5

#### Flexitime leave

5.1

In addition to the freedom provided in starting and finishing work, flexitime may allow for 3 additional flexi-leave days to be taken in a 3-month accounting period. The leave may be taken as full days or half days. Credit will be in accordance with the notional working hours defined in section 2. Detailed arrangements for taking flexitime leave will be in accordance with established departmental procedures for taking annual leave.

6

#### **Working Hours: Records**

6.1

It is expected that staff working flexible hours will record their working

hours using an electronic recording system or a spreadsheet. However, some departments may prefer to use a paper-based system. Time recorded will be to the nearest minute. It should be noted that deliberately falsifying a time record or keying in for another employee is misconduct which will be dealt with in accordance with the normal disciplinary procedure.

Data produced by the system will be available to relevant members of the department's management team (typically Heads of Department and Departmental Administrators).

6.2

7

### **Working Time Records: Adjustments**

7.1 Departments will implement appropriate procedures for adjusting recorded time. Examples of occasions when time will need to be adjusted will be annual leave, sickness absence, working away from the University.

8

### **Sickness during Flexitime leave**

8.1 Notification of sickness absence whilst on flexitime leave should be made as soon as practicable and should adhere as closely as possible to normal sickness notification procedures within the department. Sickness absences for all flexitime leave days should be accounted for by medical certification and in these circumstances self-certification will not be accepted.

9

### **Appointments outside Core Hours**

9.1 Staff benefiting from flexitime are required, so far as is reasonably practicable, to arrange personal appointments at a time outside core hours. Examples of such appointments are routine visits to the dentist, doctor, optician, bank, school or a professional adviser. In an emergency or when an appointment cannot be made outside core time bands (e.g. a hospital appointment to see a consultant) a member of staff will normally be credited with the core band time even though absent.

10

### **Overtime**

10.1 Flexible hours working is wholly independent of any arrangements for working overtime. Excess hours worked as flexitime are not overtime. If any additional hours are to be worked as overtime this should be agreed in advance with the formal authorisation of the relevant member of the departmental management team. Overtime is not recorded for flexitime purposes.

11

### **Training and notice periods**

- 11.1 Before implementation on a permanent basis, each location should pilot the scheme for at least three months and usually six months. The pilot may identify local problems that will need to be addressed before the scheme can be implemented on a permanent basis. Exceptionally the pilot may lead to the conclusion that the scheme is not appropriate for that location. Any decision to withdraw flexitime either after the pilot or at a later date will be subject to the test of reasonableness, and any staff remaining dissatisfied with a decision can invoke the University's standard procedures in order to have this decision reviewed.

***DOCUMENT CONTROL***

**Title:** Flexitime

**Applicable to:** All staff

**Date Last Reviewed:** February 2005

**Procedure Owner:** Personnel Office

[Back to Staff Handbooks Index Page](#)

Personnel Office / [personnel-systems@york.ac.uk](mailto:personnel-systems@york.ac.uk) / March 2005

## **ROLE REVIEW**

### **Introduction**

As part of the process of redesigning the grading and reward systems for staff working at the University of York, trades union and management representatives have been working in partnership within the national Framework Agreement to revise the procedures for what in the past has been called regrading. The aims are to build on the job evaluation scheme which is being used to inform the new grading system, to allow managers to plan work in the areas for which they are responsible, and to enable staff to have input to the process and to their own career development.

Since the new grading system is underpinned by a process of job evaluation using the HERA (Higher Education Role Analysis) scheme which uses the terms 'roles' and 'role holders' to evaluate the skills, experience, and competences involved in particular jobs, it makes sense to treat any assessment of changes after that evaluation as a review of these roles. Under the new system in which staff and unions have participated with management in job evaluation, the grade at which anyone is working will be underpinned by that evaluation and will contain some element of progression within it. However, in a context where the shape and needs of particular jobs in the university change quite frequently it is also important to build in the means to review roles regularly and recognise how those changes affect and are affected by staff.

In the past staff for whom it was appropriate could put forward their case for the job they did to be regraded, which if accepted could in turn mean that their pay and grade could change. This meant that there often appeared to be an overlap between changes in the content of a particular job ('role' in HERA language) and the personal progression of the person doing that job ('role holder' in HERA language). When the new grading system is in place it will be possible to look at whether a role needs to be reassessed and at changes in a role holder's work as distinct issues. It is hoped that the procedures for role review outlined below will provide greater clarity about career prospects for staff and the process of planning change.

### **1. Outline process and principles**

**1.1** There are three main stages to the role review process:

- (a) Trigger;
- (b) Review;
- (c) Decision.

**1.2** The overall aim of the process is to ensure that roles are appropriately graded and that substantive changes to a role are considered in a timely way and reflected in the grade for the role in line with the HERA scoring system.

**1.3** The role review process is designed to be timely and easy to access; streamlined; efficient and effective; easy to understand; transparent, and fair.

**1.4** The HERA methodology underpins the role review process.

- 1.5 The process should in principle allow for roles to be regraded upwards or downwards.
- 1.6 The process should be handled sensitively by managers.
- 1.7 The timing of the process should meet the needs of the University and its staff, especially in terms of responding to managed change (i.e. it should not be limited to a single annual review point).

## **2. Possible triggers for role review**

### **2.1 Management action**

This could be as a result of, for example, an evolutionary change in the role in question; the specific permanent addition of responsibilities; departmental restructuring; or other circumstances (including the Annual Performance Review discussion, where the reviewer - who may or may not be the individual's Head of Department or line manager - learns that the role has changed, and that it appears to be a permanent change, and therefore flags up that the role should be reviewed).

### **2.2 Individual request for review**

In the case of an individual requesting a review, an initial discussion with the Head of Department (or the appropriate manager) is required. The agreement of the Head of Department (or the appropriate manager) must be obtained before the review can go ahead.

### **2.3 Group request for review**

There may be circumstances where the review of a group of roles appears to be needed. The same principles of discussion and agreement as above would apply.

## **3. The Role Review Process: principles**

### **3.1 Purpose**

The purpose of the role review process is to assess and evaluate a request for review (which will normally have been initiated by a manager).

### **3.2 Timing of the process**

The process will be undertaken on an 'as needed' basis, with reasonable expectations about the turnaround time needed for processing. It is anticipated that the role review panel will convene approximately every two months.

### **3.3 Administration of the process**

- (a) The role review panel will consist of three members, constituted as follows: 1 x Personnel representative; 1 x Role Analyst, 1 x union representative. Panel members will be drawn from a pool.
- (b) All panel members must receive relevant training and should have HERA expertise.
- (c) The panel will receive administrative support from Personnel.

**3.4 Possible role review outcomes**

The outcome of role review will normally be either that

- (a) The role is regraded (upwards or downwards); or
- (b) The role is not regraded; the grade for the role remains the same.

**3.5 Grounds for appeal**

'Appeals' are not a routine part of the process. They should be rare and exceptional and submitted in relation to clearly defined and published grounds. For example, an 'appeal' stage should be available to deal with occasional cases of material administrative error. In these cases, the circumstances of the procedural error would be investigated and the process then resumed as appropriate. Any party involved in the role review process would be able to request an investigation into a potential case of material error.

**4. Comments on the Role Review process****4.1 Departmental responsibility for role review**

The primary overall responsibility to progress a case for role review lies with the Head of Department or the appropriate manager.

**4.2 Individual requests**

Individual requests for role review should not be routine, as it is the responsibility of management to ensure that roles are kept up to date.

**4.3 Changes to the role/individual development**

The role review process is designed to address (a), below, but not (b):

- a) Deliberate, intentional changes to roles (recognised by regrading if the changes to the role are sufficient to warrant it)
- b) The natural growth of an individual within a role (recognised normally by movement up the incremental scale)

**4.4 Managing the development of roles**

The procedure is designed to encourage managers to manage the accretion of duties by their staff (rather than allowing it to occur in an uncontrolled fashion) and to undertake a regular review of roles as circumstances/priorities change over time.

**4.5 Career development**

All staff should be aware of career development paths, bearing in mind that there will be multiple career paths for different groups of staff and that career development is not always necessarily or inexorably upwards. There should be opportunities to develop at whatever level: for example, sideways moves are valuable to gain experience. University staff should be made aware of internal opportunities, to encourage moves between departments/functions, between centre and departments etc.

**4.6 Grievance procedure**

Grievance procedures are available for individuals who consider that they are not being treated fairly.

**4.7 Advantages of a pool of panel members**

It is expected that the pool of panel members will gradually develop expertise in applying the HERA conventions, and hence be trusted to carry out a fair and effective process. Moreover, by having a pool of members, the workload for any one panel member will not be too onerous.

**4.8 Ensuring trust**

The role review process has been designed to include features (such as the involvement of trades union representatives and the overall transparency of the process) which will ensure that it is trusted, as this will be vital to ensure that staff have confidence in the outcome.

**5. Meeting the cost of role reviews which result in a higher pay grade**

It is assumed that there will be both an annual budget set aside to cover any unplanned costs of role review (i.e. central fund) with most costs met from local (departmental) budgets, with an emphasis on local business planning.

**Promotions and Regrading Working Group/2005**

## CONTRIBUTION PAY

### **'REWARDING EXCELLENCE' SCHEME: PROCEDURE FOR THE AWARD OF ADDITIONAL INCREMENTS FOR OUTSTANDING CONTRIBUTION WITHIN A ROLE**

#### **1. WHAT IS THE SCHEME?**

The University recognises and values the hard work, commitment and achievements of all staff. The 'Rewarding Excellence' awards are intended to provide recognition to those staff from any level or job family whose exceptional contribution on a sustained basis over an appropriate period of time, has been outstanding and is worthy of particular note. The scheme provides an annual opportunity to be considered for an award, normally of one additional incremental point, which will then become the new salary point of the member of staff receiving the award.

The University also recognises and values outstanding achievements of a one-off or short-term nature. Staff should refer to details of the 'Making the Difference' scheme for information about awards of that kind, applications for which may be made at any time during the year.

#### **2. REASONS FOR THE SCHEME**

- 2.1 To provide staff with a tangible reward for a sustained, outstanding contribution within their role.
- 2.2 To assist progress towards achieving the objectives of the University by motivating staff to achieve excellence.
- 2.3 To reinforce the values of the University by publicly acknowledging achievements which embody those values.
- 2.4 This scheme is not intended to replace the process of promotion (for Academic, Research and Teaching staff) or of grade review (for all other staff). In considering the role and/or the contribution of a member of staff, individuals or their managers should consider promotion or grade review in the light of the guidance given for those processes.

#### **3. PRINCIPLES OF THE SCHEME**

- 3.1 The scheme is intended to reward those who can demonstrate sustained, outstanding achievement or excellence in their role. It is expected that this will be a minimum of [give percentage] of staff costs every year. More may be available some years dependent upon the financial position of the university or the receipt of additional funds, for example those targeted specifically at contribution reward.
- 3.2 The 'Rewarding Excellence' scheme is not intended to encourage staff to work excessive hours, and judgements on the merits of applications will be base on qualitative rather than

quantitative assessments.

- 3.3 The scheme should operate with consistency, fairness and transparency in order to retain the confidence of staff.
- 3.4 The scheme should operate with equality of access across job families and grade levels, and with broad equality of outcomes as one of its aims. Monitoring will ensure that awards will, over time, reflect the workforce of the University regarding gender, ethnicity etc.
- 3.5 The scheme should not be administratively burdensome at any stage of its operation.

#### 4. ELIGIBLE STAFF

- 4.1. All staff who have 12 months' service or more and have not achieved a similar award within the last 2 years are eligible to be nominated. Staff who have been nominated within the last 2 years but have not been successful are eligible for further nomination at the next opportunity.
- 4.2. The scheme is open to staff who have changed roles within the University, but can demonstrate the same outstanding levels of skill or achievement in each role.
- 4.3. Staff are eligible to apply whether their contribution has been made individually or as a member of a team.

#### 5. APPLICATION PROCESS

- 5.1. All members of staff should have an agreed, up-to-date Job Description that clarifies the expectations of their role. Many will have, in addition, specific objectives agreed at Performance Review and/or a person specification that identifies the competencies required for their job. These documents are the starting point for the identification of outstanding contribution.
- 5.2. Heads of Department/Line Managers have a responsibility to monitor the contribution of all their staff and respond accordingly. Discussions that take place at Performance Review are often a trigger for this sort of consideration. As part of the monitoring process managers should identify cases where standards of excellence are exceptional, and have been sustained for a significant period. Submission for an award may be considered appropriate at that point.
- 5.3. It is not possible to be specific about the length of time necessary to demonstrate that outstanding performance has been sustained, since it will vary from job to job. The work cycle of a Finance administrator will be different from that of a Catering Manager, or a Senior Lecturer. Evidence submitted of the sustained nature of the contribution should be appropriate to the post.
- 5.4. Individuals may be nominated for an award by their Head of Department (possibly on the recommendation of a line manager) or they may nominate themselves. In either case the application form (see Appendix A) must be accompanied by an up to date job description

that has been authorised as accurate by the Head of Department, and an Equal Opportunities Monitoring Form.

- 5.5. Applications should be submitted to the Director of Personnel by March 31<sup>st</sup> every year. The awarding committee will meet in May to consider which applications should receive an award. It is likely, depending on the number of applications, that this process of consideration will require an evaluation of the worth of each application in competition with others. It is therefore important that all those submitting applications should follow instructions about the format of their submission, in order to facilitate the process of comparison.
- 5.6. The awarding committee will submit its recommendations for awards to the June meeting of Staff Committee. Those receiving awards will be notified before the end of August and will receive one additional increment in their salary from 1 September. Staff may be in receipt of more than one additional increment where they have been successful with applications submitted at least two years apart.

As the process is a competitive one it will not be possible to discuss results without compromising the confidentiality of other applicants. There will therefore be no review process.

**6. MONITORING PROCESS**

- 6.1. Staff Committee will receive annual data on the operation of the scheme, and will look for evidence that outcomes are broadly equal over time for job families, grade levels, departments, gender, ethnicity, disability, age and other relevant categories of staff.
- 6.2. The operation of the scheme will be reviewed every 3 years to ensure it continues to meet its stated purpose in the most appropriate way.

**DOCUMENT CONTROL**

<b>Title:</b>	'Rewarding Excellence' Contribution Pay Scheme Procedure	
<b>Applicable to:</b>	All staff groups	
<b>Effective from:</b>	1 August 2006	<b>Last Updated:</b>
<b>Procedure Owner:</b>	Personnel Office	

## 'Rewarding Excellence' Contribution Pay Scheme

## Example Application Form

Name of Nominee..... Department.....

Job Family..... Grade.....

Type of Contract ..... Length of Service.....  
(full-time/part-time, permanent/fixed-term)

Date last Nominated for Award..... Date last Received Award.....

Signature of Nominee..... Date.....

Name of Nominator..... Head of Dept/Line Manager.....  
(where different)

Signature of Nominator..... Date .....

**GUIDANCE NOTES ON COMPLETION**

1. Given as Appendix B are a range of categories that cover the activities of University staff. Nominators may use these categories – or identify their own – to describe (indicative length 150 – 200 words) the achievements, acquisition or deployment of skills or behaviours which have been over and above the level expected within the role.
2. Supportive evidence may be attached, with permission of the nominee, for example:
  - certification of qualification gained by extended study which contributes to fulfilling their role
  - letters of thanks/commendation from customers
  - student feedback results
  - evidence of income generation
  - letter in response to previous, unsuccessful application which may demonstrate sustained contribution
3. Evidence must be given to show that the exceptional contribution has been sustained over time and that there is good reason to believe it will continue to be so. That evidence should be applicable to the applicant/s normal role and job cycle.
4. Evidence of outstanding contribution need not be given for every category, and indeed some categories will be more applicable to some types of role than others. Nevertheless, nominators should be able to confirm that the applicant/s contribution in all elements of their role (as contained within an attached job description) has been of a high standard.
5. Individuals who are self-nominating and who are not confident of their literacy skills, or who have disabilities that make the completion of a form difficult, are advised to seek the assistance of

an appropriate colleague, trades union representative or manager.

6. Examples of completed applications for different job families may be found at [<URL link>](#).
7. Attachments that should or may be included:
  - Job Description (Mandatory – for guidance on development of job descriptions please see the Recruitment and Selection Handbook at [<URL link>](#))
  - Person Specification (optional)
  - Evidence of formal objectives agreed with manager (optional)
  - Job competencies (optional)

Please note that not all categories will be relevant for every job and may be deleted.

<b>Categories of Activity.</b>	
1.	<b><u>Analysis, research &amp; information management</u></b>
2.	<b><u>Communication, liaison &amp; networking</u></b>
3.	<b><u>Contribution to decision-making processes &amp; outcomes</u></b>
4.	<b><u>Income generation</u></b>
5.	<b><u>Initiative, innovation &amp; problem solving</u></b>
6.	<b><u>Pastoral care &amp; welfare</u></b>
7.	<b><u>Planning, organising &amp; managing resources</u></b>
8.	<b><u>Service delivery and/or customer care</u></b>
9.	<b><u>Teaching, training &amp; learning, and support activities</u></b>
10.	<b><u>Team leadership, team contribution</u></b>
11.	<b><u>Other (please specify)</u></b>

I certify that my/the nominee's contribution in every aspect of my/their role has been of a high standard, and that in the categories shown above I/they have made an exceptional and sustained contribution.

Signature of nominator.....

Date.....

**‘MAKING THE DIFFERENCE’ SCHEME:  
PROCEDURE FOR THE AWARD OF RECOGNITION PAYMENTS  
FOR OUTSTANDING CONTRIBUTION**

### **3. WHAT IS THE SCHEME?**

The University recognises and values the hard work, commitment and achievements of all staff. The ‘Making the Difference’ awards are intended to provide recognition to those staff from any level or job family whose exceptional contribution on a one-off or short-term basis has been outstanding and is worthy of particular note. The scheme provides staff, managers and colleagues the opportunity to nominate an individual or a team for a recognition payment worth up to £250 per person.

The University also recognises and values outstanding contribution of a sustained nature. Staff should refer to details of the ‘Rewarding Excellence’ scheme for information about awards of that kind, applications for which may be must be submitted by March 31<sup>st</sup> every year.

### **4. REASONS FOR THE SCHEME**

- 2.1 To provide staff with a tangible reward for an outstanding contribution of a short-term nature.
- 2.2 To assist progress towards achieving the objectives of the University by motivating staff to achieve excellence.
- 2.3 To reinforce the values of the University by publicly acknowledging achievements which embody those values.
- 2.5 This scheme is not intended to replace the process of promotion (for Academic, Research and Teaching staff) or of grade review (for all other staff). In considering the role and/or the contribution of a member of staff, individuals or their managers should consider promotion or grade review in the light of the guidance given for those processes.

### **4. PRINCIPLES OF THE SCHEME**

- 3.6 The scheme is intended to reward those who can demonstrate outstanding achievement or excellence of a short-term nature which is of such a high standard that it has made a difference to students, customers, colleagues, department or the University as a whole.
- 3.7 The exceptional contribution may have been made within the normal role of the individual but at a level demonstrably greater in the short term than would normally be expected, or it may have been made through taking on short-term responsibilities or tasks outside the individual’s normal role. Where, however, the individual has taken on the duties of another member of staff at a higher grade for a period of 1 month or longer, the contribution should be recognised through the ‘Temporary Responsibility Allowance’ facility (see [[URL link](#)]). Where the individual takes on responsibilities outside the role that are of a long-term nature then discussions should take place with their manager about whether the changed duties are sufficient to warrant submitting for promotion or grade review.

- 3.8** The scheme will be administered within departments in order to provide them with the opportunity to reward high-quality contribution in a tangible and immediate manner. In order to ensure that reward follows contribution promptly, departments should ensure that applications, which may be made at any time, are considered on a frequent basis.
- 3.9** Departments should develop decision-making processes to administer the scheme that are suitable for them. It is a requirement, however, that they should operate with consistency, fairness and transparency in order to retain the confidence of staff. For that reason nominators and nominees should not be involved in the decision-making process for that nomination, and a minimum of two people should be involved in decision-making for every case.
- 3.10** The scheme should operate with equality of access across job families and grade levels, and with broad equality of outcomes as one of its aims. Equal Opportunity monitoring forms submitted to the Director of Personnel will be used to ensure that awards will, over time, reflect the workforce of the University regarding gender, ethnicity etc.

## **5. ELIGIBLE STAFF**

- 5.1.** All staff who have 6 months' service or more and have not achieved a similar award within the last year are eligible to be nominated. Staff who have been nominated within the last year but have not been successful are eligible for nomination again immediately.
- 5.2.** Staff are eligible to be nominated either individually or as teams. Where nominations are for consideration as a team the group of staff must be generally recognised as such by the department.

## **7. APPLICATION PROCESS**

- 7.1.** All members of staff should have an agreed, up-to-date Job Description that clarifies the expectations of their role. Many will have, in addition, specific objectives agreed at Performance Review and/or a person specification that identifies the competencies required for their job. These documents are useful reference points for the identification of outstanding contribution.
- 7.2.** Heads of Department/Line Managers have a responsibility to monitor the contribution of all their staff and respond accordingly. As part of the monitoring process managers should identify cases where an exceptional contribution has been made. Nomination for an award may be considered appropriate at that point.
- 7.3.** Where individuals have been submitted for an award on more than one occasion, and particularly where they have been successful more than once, consideration should be given as to whether it is more appropriate to submit them for a 'Rewarding Excellence' award for sustained, outstanding contribution within a role.
- 7.4.** Individuals or teams may be nominated for an award by their Head of Department, line manager or a colleague or they may nominate themselves. Nomination forms should also be made available to students, clients and customers, with clear instructions for where they

may be sent for submission.

- 7.5. Nomination forms should be directed to a central point in the department to be checked to ensure all necessary information has been included. Equal Opportunities Monitoring Forms should accompany nomination forms that are submitted by the member of staff themselves, or requested from the nominee if they have been nominated by someone else.
- 7.6. Departments are advised to identify a sum of money to set aside for this scheme at the beginning of the financial year, and departmental budgets will in future include a specific code for this purpose. Departments may identify a maximum number of awards to be made within a year and prioritise applications with that limit in mind. Alternatively, they may consider each case on its merits and make awards as appropriate.
- 7.7. Departments may want to take into account factors such as current formal disciplinary warnings or poor performance procedures when making their decision.

## 8. MONITORING PROCESS

- 8.1. Departments should include in their annual Performance Review report information about the number of awards made each year, and the total sum awarded, by category of staff.
- 8.2. In addition, Equal Opportunities Monitoring Form information will be used to provide Staff Committee with annual data on the operation of the scheme. Staff Committee will look for evidence that outcomes are broadly equal over time for job families, grade levels, gender, ethnicity, disability age and other relevant categories of staff.
- 8.3. Departments should retain all records associated with the scheme for a 3-year period. Staff Committee or its nominee/s may wish to review records in further detail where unacceptable inequalities become apparent.
- 8.4. The operation of the scheme will be reviewed every 3 years to ensure it continues to meet its stated purpose in the most appropriate way.

### DOCUMENT CONTROL

<b>Title:</b>	'Making the Difference' Contribution Pay Scheme Procedure		
<b>Applicable to:</b>	All staff groups		
<b>Effective from:</b>	1 August 2006	<b>Last Updated:</b>	
<b>Procedure Owner:</b>	Personnel Office		

## 'MAKING THE DIFFERENCE': CONTRIBUTION – RELATED BONUS PAYMENT SCHEME

## NOMINATION FORM

Name of Nominee.....Department.....

Job Family.....Grade.....

Type of Contract .....Length of Service.....  
(full-time/part-time, permanent/fixed-term)

Date last Nominated .....Date last Received Award.....

Signature of Nominee..... Date.....

Name of Nominator..... Relationship to Nominee.....  
(e.g. colleague, student, manager, customer)

Signature of Nominator.....Date .....

Contact Details.....

**GUIDANCE NOTES ON COMPLETION**

8. Nominators should complete the above details where they are known to them, though it is recognised that this will not always be the case. They should then use the box on the next page to give a description of the activity or contribution for which the nominee/s is being proposed for an award.
9. Supportive evidence may be attached, with permission of the nominee where relevant, for example:
  - letters of thanks/commendation from customers, students, members of the public
  - financial data, evidence of income generation
  - newspaper or journal articles
10. Nomination forms should be sent in a sealed envelope marked 'Making a Difference' to ..... [appropriate departmental co-ordinator], or placed in a box clearly marked for the purpose.
11. Individuals or teams who are self-nominating and who are not confident of their literacy skills, or who have disabilities that make the completion of a form difficult, are advised to seek the assistance of an appropriate colleague, trades union representative or manager.
12. It would be helpful if nominators who are not members of the department or the University would be willing to give a contact telephone number so that further details may be sought if necessary.

**REASONS FOR NOMINATION**

Please provide details of the contribution, behaviour or achievements that you believe merit consideration for an award.

Please send this form to .....(departments to provide details)

THE UNIVERSITY *of York*

POLICY ON THE USE OF MARKET RELATED PAYMENTS

**1. Introduction**

The Joint Negotiating Committee for Higher Education Staff's (JNCHES) Framework Agreement for the Modernisation of Pay Structures states that, following role analysis and the adoption of new grade structures, institutions may need to supplement pay rates for some staff where labour market conditions dictate<sup>2</sup>. This is because role analysis does not take account of labour markets where people with scarce skills and expertise in short supply can command a relatively high salary.

**2. Purpose of this Policy**

Following the JNCHES Guidance, this policy and the accompanying procedure and checklist have been designed to ensure that the University:

- Awards recruitment and retention premia in a fair, consistent, transparent and robust manner.
- Complies with equal pay legislation, i.e. has objective evidence of the need to offer different rates of pay to staff whose work is of equal value, and an appropriate mechanism in place for removing premia when they are no longer warranted by labour market conditions.
- Considers and addresses other potential issues and mechanisms to achieve effective recruitment and retention of staff.

In order to do this, the policy takes account of:

- The JNCHES's Framework Agreement for the assimilation of individual staff to new pay structures.
- The Equal Pay Act 1970
- Examples of best practice in improving recruitment and retention.
- Discussions with campus trade unions.

This policy provides the mechanisms to address pay related recruitment and retention issues and replaces other means previously used.

**3. What is a Recruitment & Retention Premium?**

A recruitment or retention premium is an addition to the salary for a specific post, or group of posts. They are paid where other employers' higher pay rates (the market rate), prevent the University from being able to recruit or retain staff on the salary indicated for the role by role analysis alone.

The payments apply to posts on a temporary basis. Should labour market conditions change and market pay rates fall, or where an employee moves to a different post that does not warrant a recruitment and retention premium, their entitlement to that payment will cease and the premium will be withdrawn in line with agreed notice and protection periods.

---

<sup>2</sup> Framework Agreement for the Modernisation of HE Pay Structures, Joint Negotiating Committee for Higher Education Staff.

Recruitment and retention premia may be applied to permanent and fixed term, full-time and part-time posts.

#### **4. Types of Market Premia**

The University will use two means of increasing pay rates to overcome recruitment or retention problems. These are:

- A lump sum payment which aids in the initial attraction of staff to a particular role (a recruitment supplement). These can be made as either a one-off payment or in several stages to include an element of staff retention.
- An ongoing retention premium, paid in addition to an individual's basic salary in order to bring the total annual salary for the role up to the market rate. These can be paid for:
  - A specified fixed term (for example, where market pay rates have increased for some temporary reason, such as for IT staff in the run up to the millennium).
  - An indefinite period, subject to a regular review, after which they can be increased, reduced or withdrawn.

As well as additional premia covered by this policy and awarded on a temporary basis, individuals may also be appointed above the minimum of a pay range (the normal recruitment point), if they have relevant skills and experience which warrant it. This is part of the normal appointment process and is not covered by this policy.

#### **5. Awarding and Paying Premia**

Recruitment and retention premia will only be awarded where there is clear evidence that recruitment or retention difficulties are caused by pay rates being low relative to those offered by other employers for similar posts. This will require managers adequately to consider and implement appropriate non-pay solutions to recruit and retain staff.

The accompanying procedure for determining and awarding market related payments includes a checklist to be used by the Head of Department in conjunction with the Departmental Personnel Manager to ensure all appropriate evidence is considered and to assess whether a premium is warranted. If they believe that it is they must make a case in writing to the Director of Human Resources before approving payment.

Where an ongoing premium is applied to a role the value will be determined by the difference between the University's normal pay rate, usually the mid point of the grade for the post as determined by role analysis (and including the value of allowances and other benefits) and the market rate, as determined by evidence from appropriate sources. Personnel Managers will advise on appropriate sources of information.

Individuals will be appointed onto the grade for the role as determined by role analysis. The incremental point on appointment will be determined as normal taking into account factors such as previous experience. The individual will then progress through the increments in the normal way. The recruitment or retention premium will be paid in addition to basic salary, will usually be expressed as a gross cash sum and will be separately identifiable from other components of pay.

Payment of a recruitment premium will not result automatically in payment of a retention premium for staff in similar posts. Evidence for the two cases will be different and must be submitted separately. Recruitment difficulties may be experienced for roles where retention is not a problem once staff are in post and other benefits of working at the University are apparent.

Where recruitment or retention premia are paid on an ongoing basis either for a fixed term or an indefinite period they will be included in calculations for the purposes of other payments such as maternity pay, sick pay and overtime. They will not, however, be pensionable.

## **6. Reviewing and Removing Premia**

The use of all recruitment and retention premia will be reviewed by a body that includes relevant staff representation, at intervals appropriate to the post and set by the Director of Human Resources at the time the premium is awarded. The review body will consider evidence on individual cases, provided by the HoD/Personnel Manager, and of the effectiveness of a premium in improving the recruitment or retention issue it was designed to address. Where an ongoing recruitment or retention premium has been applied this review will also take account of any increases in the normal pay rate for the post.

The review body will also take responsibility for reviewing the overall effectiveness of the market premia procedures, and for monitoring the equal opportunity impact of the scheme.

Ongoing recruitment or retention premia for a role should be withdrawn or reduced, following adequate reviews, once the reason for them no longer applies. Where this reduction or removal would result in a decrease in an individual's total pay a notice period of 3 months from the review date will be given of the University's intention to reduce or withdraw the premium. Reduction or withdrawal will then commence immediately and may be staged over a period of up to 9 months.

Where, following the review, the available evidence provided by the HoD/Personnel Manager on pay rates elsewhere and labour market conditions shows that an increase in a retention premium is required, that increase will take effect in the month following the review date.

Where a staff member chooses to leave a role which attracts a market premium and takes up a role in the University which does not, the premium will be removed with no notice or protection.

Where a staff member has received a lump sum recruitment or retention premium and leaves the University within two years of that premium being awarded they will normally be required to reimburse the full amount already paid to them.

There is no right of appeal by the individual against a decision to remove or reduce a market premium.

## **7. Cautions**

There are a number of issues of which managers need to be aware regarding the use of recruitment and retention premia. These include:

- Where there are a number of employers competing on pay grounds for staff in a particular area (geographical, specialist field etc) this may merely result in a pay spiral as employers try to out-bid each other for staff.
- Recruitment and retention premia can create ill-feeling among staff in posts which do not warrant them, particularly staff in similar posts to that for which a recruitment premium has been awarded but who may not be in receipt of a retention premium.
- It is critical that the evidence to support the decision to award a market premium is robust. The University may be required to demonstrate that any additional payments resulting in differences between jobs of equal value are justified in line with The Equal Pay Act 1970.
- It will always be sensitive to withdraw payments made as an indefinite increase to salary when they are no longer necessary. This may result in de-motivating the individuals concerned, which in itself could affect retention. Nevertheless, the continuing payment of a premium must also be justified in line with the Equal Pay Act.
- There are limited occasions where a recruitment or retention premium is the most effective course of action to address a recruitment or retention issue, and indeed, it is very rare for retention payments to be made. Recruitment and retention problems are often caused by factors other than pay, such as ineffective advertising or unrealistic job design.

**8. Summary**

If a Head of Department believes that they have a recruitment or retention issue they should contact their Personnel Manager who can provide advice and guidance on the most appropriate course of action as well as sourcing appropriate market data.

A checklist has been designed to help Heads of Departments gather the appropriate information to discuss with the Personnel Manager. This is attached as part of the procedure for applying premia and can be found at <[web URL](#)>.

Any recommended premium will then be agreed via the Director of Human Resources. An appropriate review body will be responsible for reviewing and if necessary removing individual premia, and for overseeing the management of the process.

**Framework Committee**

<b>DOCUMENT CONTROL</b>	
<b>Title:</b>	Market-Related Pay Supplement Policy
<b>Applicable to:</b>	All staff groups
<b>Effective from:</b>	1 August 2006
	<b>Last Updated:</b>
<b>Procedure Owner:</b>	Personnel Office