

Policy on the Assimilation of Roles to the New Grading Structure 2006

1. Introduction

It is expected that the introduction of the HERA job evaluation scheme will result in the identification of certain grading anomalies arising from the University's current grading systems. This may result in cases where individuals are currently placed on spine points higher or lower than are warranted by the HERA score for their roles. This paper therefore sets out the circumstances in which green or red circling may arise and describes the mechanism for dealing with such cases, as well as the mechanism for cases where special protection arrangements apply.

2. Principles and Procedures for Assimilation

- a) In this document, references to the **grade maximum**, and to the maximum salary point of a grade, are to be taken to be references to the highest spine point of that grade apart from the contribution points. Contribution points are not deemed to be "within" a grade.
- b) Conversely, references to the **grade minimum**, and to the minimum salary point of a grade, are to the lowest spine point of that grade, even if it is one to which the University is committed not to recruit hereafter, i.e. a temporary minimum point (see 2(d), below). Temporary minimum points are deemed to be "within" the grade for the purposes of back dating green circling.
- c) An individual is affected by **financial detriment** if they could not, by standard incremental progression in the post-Framework Grade to which their role is assimilated, reach the spine point which is the equivalent to their current grade maximum at least as early as they would have reached that maximum if they had remained on their current grading structure.
- d) The **temporary minimum point** on grades 2-8 of the new grading structure is a spine point to which existing staff may assimilate as part of transitional arrangements for the implementation of the Framework Agreement. New staff appointed after 1 August 2006 will not be appointed to the temporary minimum point of a grade and it will not form part of the substantive grade in the future. Instead, the temporary minimum point will be phased out as role holders move from this spine point into the substantive spine points of the grade via incremental progression during the course of 2006/7.
- e) **Contribution points** are spine point(s) positioned at the top of each grade, which staff may be awarded for exceptional contribution via the 'Rewarding Excellence' contribution pay scheme. Where there is more than one spine point at the top of the grade, access to the first contribution point will not imply automatic progression to the second contribution point. Only role holders who have been awarded discretionary increments on the current grading structures may assimilate into a contribution point on the new grading structure (and only where salary assimilation, as defined below, would place them on that contribution point).

- f) **Salary assimilation** is the process of positioning a role holder's current salary on a spine point in the new grading structure (i.e. as it is currently before any 2006 pay settlement takes effect) *equal to or immediately above* the value of their 2005/06 salary. For example, if a role holder's current salary is £24,821, spine point 32 on the 2005/06 Administrative and Related salary spine, salary assimilation would position the role holder on spine point 29, £24,886, on the 2005/06 new single spine. Whether the role holder is then able to assimilate to that point is determined by the grade in which their HERA score places them, which may or may not contain the salary assimilation point.
- g) **Protection of an individual's current pay progression expectation**, as required by the Memorandum of Understanding, does not apply to staff whose roles have been red-circled or to those staff on the same current grade and with the same HERA score range as those whose roles are red-circled (see 2.3 (b) (ii), below).
- h) **Staff currently employed on a spot salary**¹ who assimilate to a grade on the new grading structure will not come within the definition of green-circling (see 2.2, below), as there is no current grade with which to compare the new grade. These staff may benefit from a pay increase on assimilation to their new grade, but this will not be backdated since their role is not deemed to be green-circled.

There are four ways that a role can be assimilated to the new grading structure, outlined below:

2.1 Standard Grading Assimilation

Standard grading assimilation occurs where **salary assimilation** for the role holder would place them on a spine point within a Post Framework Grade which matches the grade to which the role holder's role is mapped, using the HERA score. Additionally, the role holder is not affected by **financial detriment**. Role holders will be assimilated in the standard manner.

Arrangements for ALC 1 roles:

Members of staff who hold ALC 1 posts that are mapped to New Grade 5 in accordance with the HERA score for the role will not be treated as having had a contractual expectation of moving to the top spine point of ALC 2. In the light of the special criteria that have applied under national agreements to advancement from ALC 1 to ALC 2, these members of staff will be given the opportunity to develop their roles in the same way as those to whom pay protection applies (see Section 3.4, below).

¹ For example, Hourly Paid Staff.

2.2 Green Circling

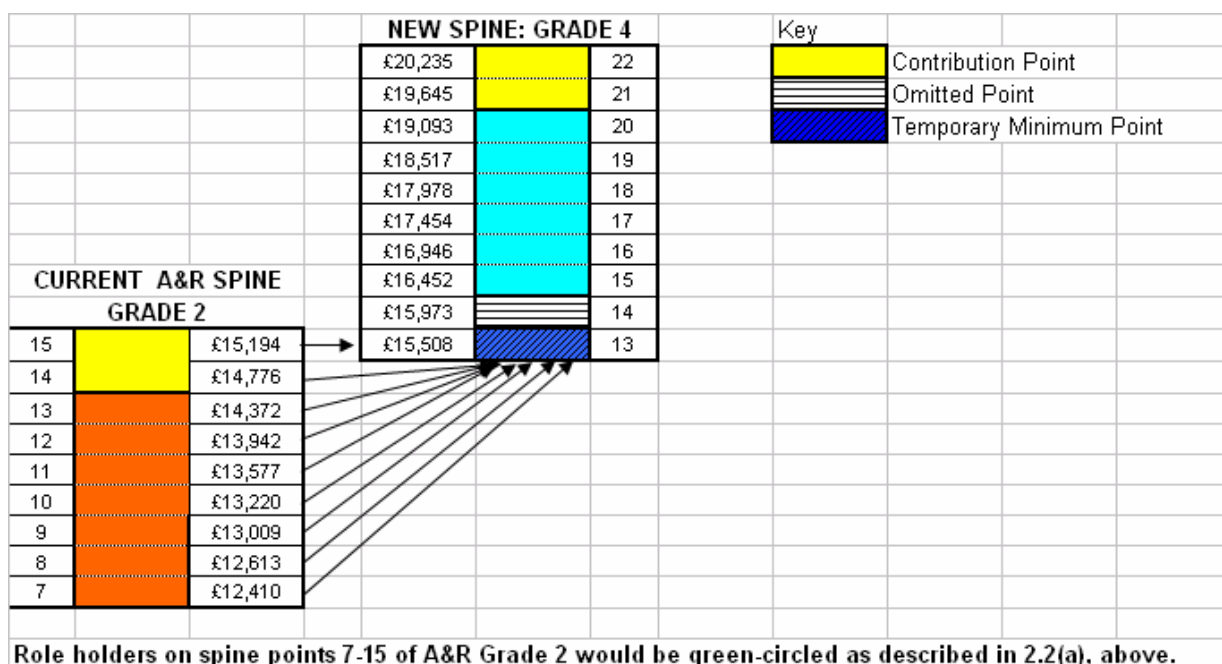
Green circling will apply where the results of role analysis indicate that an individual's role should be placed within a grade², the lowest spine point of which is **above** the spine point that would otherwise apply on standard assimilation.

Where a role is green circled, the salary increase will be backdated to 1 October 2005 in the case of current ALCOR, Administrative and Related, and Technical staff only. The backdating of salary increases due to green-circling for these staff categories is in recognition of the withdrawal of the 2005 Annual Grading Review.

There are two situations in which green circling occurs.:

- (a) The first situation, illustrated in fig. 1, is where the lowest spine point of the new grade is **above** all the spine points on the current grade.³ Thus any role on the current Administrative & Related Grade 2 whose HERA score maps it to the post-Framework Grade 4 will be green circled. All the spine points on the current A&R Grade 2 will assimilate to temporary minimum spine point 13 on the post-Framework Grade 4, as the nearest upward spine point. Salaries will be backdated at this spine point to 1 October 2005. Role holders on point 13 will all proceed to spine point 15, omitting point 14, at their next incremental date.

Fig 1: A& R Grade 2 roles whose HERA scores map to post-Framework grade 4



² See Section 2, (c) and (d), for details of how 'within the grade' is defined.

³ That is, the temporary minimum spine point on the post-Framework grade has a higher salary value than all the spine points on the current grade, excluding contribution points. In fig. 1 the temporary minimum spine point has a higher salary value, as it happens, than the contribution points as well.

(b) The second situation, illustrated in fig. 2, is where the lowest spine point on the new grade is **above** at least 50% of the spine points on the current grade.⁴ This is the case in the example given in fig. 2 of roles on the current Technical grade C whose HERA score maps them to the post-Framework grade 4. Here the lowest spine point on the new grade (point 13) is above three of the five points on the current grade, excluding the contribution point.⁵ There are two possible outcomes for individual role holders:

- (i) Where the lowest spine point of the new grade is **above** the spine point that would otherwise apply on standard assimilation, the role will be green circled. In the example in fig. 2, the lowest spine point (13) of the post-Framework grade 4 has a higher salary value than current Technical grade C spine points 10-12.⁶ The latter will assimilate to spine point 13 of the post-Framework grade 4, as the nearest upward spine point. Salaries will be backdated at this spine point to October 2005. All role holders on spine point 13 will all proceed to spine point 15, omitting spine point 14, at their next incremental date.
- (ii) Where the lowest spine point on the new grade is **below** the spine point that would otherwise apply on standard assimilation, the role will not be green circled. In the example in Fig. 2, the lowest spine point (13) of post-Framework grade 4 has a lower salary value than current Technical grade C spine points 13-16.⁷ Roles currently on these spine points will assimilate in the standard way, to the nearest equivalent or upward spine point on the new spine (See 2.1, above). They do not fall within the definition of green circling, and so the salary increases of role holders on these points will not be backdated to October 2005.

Fig 2: Technical Grade C roles whose HERA scores map to post-Framework grade 4

CURRENT TECHNICAL SPINE: Grade C			NEW SPINE: Grade 4			Key	
			£20,235	22	Contribution Point		
			£19,645	21	Omitted Point		
			£19,093	20	Temporary Minimum Point		
			£18,517	19			
			£17,978	18			
16	£16,946		£17,454	17			
15	£16,553		£16,946	16			
14	£16,053		£16,452	15			
13	£15,593		£15,973	14			
12	£15,194		£15,508	13			
11	£14,776						
10	£14,372						

Role holders on Technical Grade C spine points 10-12 are green-circled as described in 2.2 (a).
 Role holders on Technical Grade C spine points 13-16 are not green-circled.

⁴ That is, the temporary minimum spine point on the post-Framework grade has a salary value which is higher than, or the same as, 50% or more of the spine points on the current grade, excluding contribution points.

⁵ That is, the temporary minimum spine point on post-Framework grade 4 (new spine point 13) has a higher salary value (£15,508) than three out of five (more than 50%) of the spine points on current Technical grade C (points 10-12). The salary value of point 12 is £15,194.

⁶ See note 4, above.

⁷ That is, the temporary minimum spine point on post-Framework grade 4 (new spine point 13) has a lower salary value (£15,508) than spine points 13 and 14 on current Technical grade C (£15,593 and £16,053). The contribution points 15 and 16 on current Technical grade C both map to point 16 of the post-Framework grade 4.

2.3 Red circling

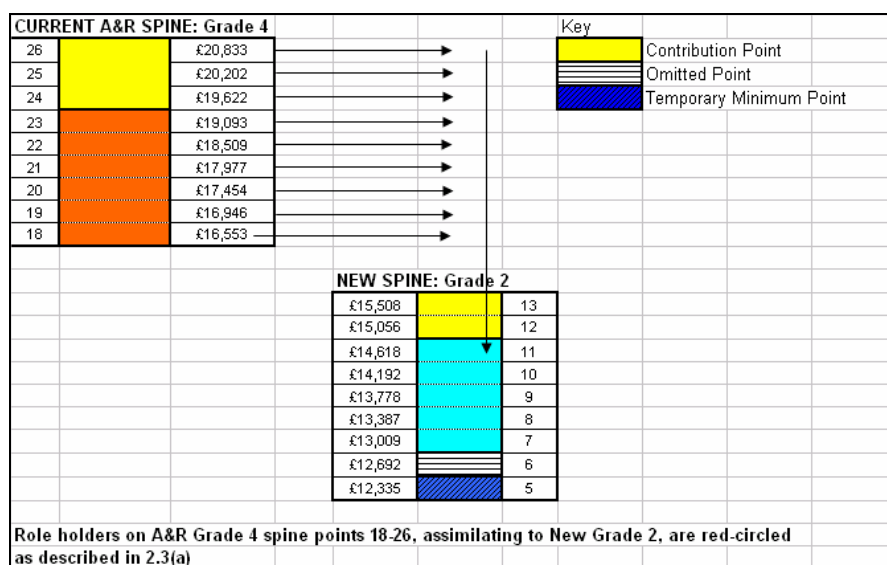
Red circling occurs where the results of role analysis indicate that an individual’s role should be placed in a grade, the top spine point of which is below the spine point that would otherwise apply on standard assimilation. (For the definition of what constitutes ‘within a grade’, see 2(c) and 2(d), above).

There are two situations in which red circling occurs. These are illustrated in figs. 3 and 4.

- (a) The first situation is illustrated in fig. 3. This is where the top spine point on the post-Framework grade, excluding contribution points, is **below all** the spine points on the current grade. This is the case in the example given in fig. 3 of roles on the current A and R grade 4 which map to the post-Framework grade 2. All of these will be red circled.

Where a role is red circled, the role holder will be maintained on their current salary (in effect a spot salary) for a period of pay protection of up to four years, with annual increases equivalent to the Retail Prices Index as at July of the relevant year or the annual pay award, whichever is the lower. The role holder will not receive annual increments during the pay protection period. At the end of the period they will be moved, if still in post and not regraded, to the spine point at the maximum of the grade to which their role has been mapped by the HERA score, excluding contribution points.⁸ See Section 3 below for further details of the pay protection arrangements.

Fig. 3: A&R Grade 4 roles whose HERA scores map to post-Framework grade 2. The maximum of the new grade is point 11, and this is the point to which all role holders will be moved at the end of the pay protection period, unless they have earned a contribution point within the period.



⁸ If the role holder is awarded a contribution point during the period of pay protection, they will assimilate to the first contribution point on the grade to which they have been mapped on the basis of the HERA score, once the period of pay protection has expired.

(b) The second situation is illustrated in fig. 4. This is where the top spine point on the post-Framework grade, excluding contribution points, is **below 50% or more** of the spine points on the current grade. In the example in fig. 4, the top spine point, excluding contribution points, on post-Framework Grade 3 is below five of the seven points on current Technical Grade D.⁹ Any role on the current Technical Grade D whose HERA score maps it to the post-Framework Grade 3 will assimilate to that grade. There are two possible outcomes:

(i) Those roles currently on spine points which have a salary value **above** the maximum point on the post-Framework grade, excluding contribution points, will be red circled. In fig 4, the roles to which this applies are currently on spine points 17-24. The arrangements described in 2.3 (i) above will apply to them.

Fig. 4: Technical grade D roles whose HERA score maps to post-Framework grade 3. Roles on Technical Grade D points 17-24 are red circled; TD points 15-16 are not.

CURRENT TECHNICAL SPINE: Grade D			Key		
24	£21,415		Contribution Point		
23	£20,833		Omitted Point		
22	£20,202		Temporary Minimum Point		
21	£19,622				
20	£19,093				
19	£18,509				
18	£17,977				
17	£17,454				
16	£16,946				
15	£16,553				
			NEW SPINE		
		£17,978	New	18	
		£17,454	Grade 3	17	
		£16,946	£16,452	16	
		£16,452	£15,973	15	
		£15,973	£15,508	14	
		£15,508	£15,056	13	
		£15,056	£14,618	12	
		£14,618	£14,192	11	
		£14,192	£13,778	10	
		£13,778	£13,387	9	
		£13,387	£13,387	8	

(ii) Those roles currently on spine points which have a salary value **at or below** the maximum point on the post-Framework grade, excluding contribution points, do not come within the definition of red circling. Nevertheless they will experience the effect of being on a grade in which red circling occurs. In the example in fig. 4, Technical grade D roles on current spine points 15 and 16 can assimilate in the standard way to the nearest equivalent or upward spine point (see 2.1, above). This means that the maximum point of the post-Framework grade will be lower than that of their current grade. When they reach the maximum of the post-Framework grade, they will stay there and will receive the annual pay award only. They will, in that respect, be treated more favourably than red circled roles. (See 2.3 (i) above). They will be, however, experience

⁹ That is, the maximum point, excluding contribution points, on post-Framework grade 3 (new spine point 16) has a lower salary value (£16,946) than five of the seven (i.e., more than 50%) points on current Technical grade D (17-21).

financial detriment, and so they will receive the same support as staff in red circled roles in respect of personal development plans and access to training.

2.4 Special protection arrangements

Special protection arrangements are available in two situations. These are to address anomalies in relation to current ALCOR grade 4 and Technical grade D, created by the relationships between the current and new grading structures, details of which are given in Appendix I. In order to mitigate these anomalies, it has been agreed that special protection arrangements should be introduced to abate the effect of red circling on individuals in ALCOR Grade 4 and Technical Grade D, in cases where the top spine point on the post-Framework grade, excluding contribution points, is **below fewer than 50%** of the spine points on the current grade.¹⁰

Special protection arrangements are available for:

- a) Role holders currently on ALCOR 4 whose HERA role score places them on post-Framework grade 7;
- b) Role holders currently on Technician Grade D whose HERA role score places them on post-Framework grade 4.

These role holders must reach the equivalent point on the post-Framework spine to their current grade maximum, within the same length of time, as they would if standard assimilation were to apply.¹¹ This means that they will, unlike role holders in 2.3 (b) (ii), be allowed to proceed by incremental steps to a higher point than the maximum of their post-Framework grade. Nevertheless they cannot stay there for longer than four years, in order to maintain the principle adopted in red circling, that inequalities in pay should not be perpetuated for longer than necessary. The aim of the special protection arrangements is, therefore, to ensure that by 2010 these role holders revert to the maximum of their post-Framework grade. For details, see Appendix 1.

3. Pay Protection

3.1 Principles

In establishing arrangements for pay protection the University must adhere to the principle underpinning the Framework Agreement of equal pay for work of equal value. Guidance from the Equal Opportunities Commission indicates that if an employer relies on pay protection as a defence in equal pay cases, consideration may be given to the length of the pay protection, the proportion of men and women in the pay protected group and whether pay has been frozen or individuals have continued to receive pay increases. A lengthy period of pay protection and the continuing receipt of pay increases

¹⁰ In ALCOR grade 4, where roles whose HERA score maps to post-Framework 7, the maximum spine point of the post-Framework grade is 43 (£37,643). Its salary value is below two out of the five spine points on the current grade. In Technical grade D, where roles whose HERA scores map to post-Framework grade 4, the maximum spine point of the post-Framework grade is 20 (£19,622). This is equal to or below two out of the seven spine points on the current grade.

¹¹ This is in accordance with the Memorandum of Understanding.

may be regarded as unacceptably perpetuating an inequality in pay. These factors have been considered in developing the University's approach to pay protection.

3.2 Details of Pay Protection

Staff subject to pay protection will be maintained on their pre-assimilation salary with the benefit of cost of living increases for a period of four years (see Section 3.3, below, for further detail). Cost of living will be calculated according to the Retail Prices Index (all items) as at July of the relevant year or the annual pay award, whichever is the lower. At the end of the protection period, staff will revert to the grade maximum for the post.

3.3 Period of Protection and Calculation of Pay

Pay protection arrangements will apply for a period of four years or until the basic salary of the grade maximum of the post-Framework grade exceeds the basic salary prior to assimilation, whichever is sooner.

Where there is evidence to suggest that staff are red circled as a result of grading which has been used inappropriately in the past to reflect market conditions, pay protection as described above will apply. Consideration may be given to the application of market/retention supplements, in accordance with the University's policy on the use of market related payments, as part of the options available to red circled employees and their line managers.

Temporary responsibility allowances will not be included in the calculation of pay for assimilation or protection purposes.

3.4 Development Arrangements

Individuals who are subject to pay protection will be invited to a meeting with their Head of Department or nominee to discuss the position. At this meeting a Personal Development Plan (PDP) will be established to support the individual.

The purpose of the PDP is to assist the individual in their efforts to progress to a higher grade, an objective which may be achieved either by applying for a higher graded role or through developing their current role where this is appropriate. In the latter case the role may be put forward for a role review in accordance with the established arrangements.

Further details of developmental arrangements can be found in the document *Guidance on the Management of Red Circling 2006*.

3.5 Existing Protection Arrangements

Previous pay protection arrangements will cease as of 1st August 2006 when the new pay protection arrangements will apply.

3.6 Pension Arrangements

An employee who suffers a drop in salary as a result of the above arrangements who is a member of one of the occupational pension schemes to which the University contributes may, subject to the rules of their scheme, elect to pay contributions on the basis of their pensionable salary before the reduction. Anyone considering this option should contact a member of the Pensions Section for further details and would be well advised to seek independent financial advice.

**Grading Structure Working Party
March 2006**

Special Protection Arrangements

There are anomalies in relation to current ALCOR grade 4 and Technical grade D, which are created by the relationships between the current and new grading structures. These are revealed by comparing current ALCOR grade 4 and Technical grade D with other grades.

The roles of individuals currently employed on ALCOR grade 4 are red circled if the HERA score evaluates to post-Framework grades 6 and 7, and green circled if the HERA score evaluates to post-Framework grade 8. There is no 'standard assimilation' post-Framework grade to which individuals can assimilate. Similarly, the roles of individuals currently employed on Technical grade D are red-circled if the HERA evaluates to post-Framework grades 3 and 4, and are green circled if the HERA score evaluates to post-Framework grade 5. ALCOR grade 4 and Technical grade D are anomalous in that no other grade on any of the current grading systems relates to adjacent post-Framework grades in a parallel way. In comparison, the roles of individuals in ALCOR grade 3, for example, are red circled if the HERA score evaluates to post-Framework grade 6; assimilate in the standard manner to post-Framework grade 7; and are green circled if the HERA score evaluates to grade 8. The roles of individuals in Technical grade C are red circled if the HERA score evaluates to post-Framework grade 2; assimilate in the standard manner to post-Framework grade 3; and are green-circled if the HERA score evaluates to grade 4. In fact, all current grades, except ALCOR 4 and Technical D, can assimilate in their entirety to one post-Framework grade in the standard manner, with red and green circling in the adjacent grades.

It has therefore been agreed that special protection arrangements should be introduced to abate the effect of red circling on individuals in ALCOR 4 and Technical D, where the top spine point on the post-Framework grade, excluding contribution points, is **below fewer than 50%** of the spine points on the current grade.¹² These special protection arrangements are available for:

- (i) Role holders currently on ALCOR 4 whose HERA role score places them on Grade 7;
- (ii) Role holders currently on Technician Grade D whose HERA role score places them on Grade 4.

In order to ensure that role holders subject to special protection arrangements do not receive a salary in excess of the maximum point of the appropriate grade in the post-Framework scale at August 2010, one or more of the following will apply:

- If they assimilate to a point above the maximum of the post-Framework grade to which they are mapped according to their HERA score, they will receive a proportion of the annual pay award during subsequent years in order to bring their salary in line with the grade maximum by August 2010. If that proportion is less than RPI, they will receive a percentage increase equivalent to RPI in those years in order to ensure that they do not receive a lower salary than if they were red-circled. However if they receive increases equivalent to RPI and then in August 2010 have a salary higher than the

¹² In ALCOR grade 4, where roles whose HERA score maps to post-Framework 7, the maximum spine point of the post-Framework grade is 43 (£37,643). Its salary value is below two out of the five spine points on the current grade. In Technical grade D, where roles whose HERA scores map to post-Framework grade 4, the maximum spine point of the post-Framework grade is 20 (£19,622). This is equal to or below two out of the seven spine points on the current grade.

maximum point of their post-Framework grade, they will revert to the maximum point at that time.

- If they assimilate to a point below the maximum of the post-Framework grade, they will receive annual increments to enable them to reach a point equivalent to the maximum of their current grade. If they reach that point before 2010, they will “mark time” or receive a proportion of the annual pay award in subsequent years appropriate to bring their salary in line with their post-Framework grade maximum in 2010.
- If, having marked time and received no pay increases for a certain number of years, their salary is still higher than their post-Framework grade maximum at August 2010, they will move down to that point at that time and receive lump sum compensation for the reduction in salary.
- If, through the course of incremental progression in the post-Framework spine, they have not reached the point equivalent to the top of their current grade by August 2010, they will revert to or remain at the maximum point of the post-Framework grade to which the HERA score has assigned them, and receive lump sum compensation for the detriment to their pay progression expectation and any reduction in salary.

ALC4 and OR4 staff whose HERA role score places them on Grade 7

- Staff on current spine point 21 assimilate to point 46 in August 2006 and remain there, receiving .25 of the annual pay award or RPI, whichever is greater, for four years. In August 2010 they will revert to the maximum point on Grade 7.
- Staff on current spine point 20 assimilate to point 44 in August 2006 and go to point 46 on their incremental date during 2006/7. They remain there, receiving RPI for three years. In August 2010 they will revert to the maximum point on Grade 7.
- Staff on current spine point 18 assimilate to point 43 in August 2006 and go to point 44 on their incremental date during 2006/7. They then have incremental progression to reach point 46 in 2007/8. Then they mark time, with no additional salary increases until August 2010, at which time they revert to the maximum point on Grade 7.
- Staff on current spine point 17 assimilate to point 41 in August 2006 and go to point 43 on their incremental date during 2006/7. They then have incremental progression until they reach point 46 in 2008/9. They then mark time, with no additional salary increases until August 2010, at which time they revert to the maximum point on Grade 7.
- Staff on current spine point 16 assimilate to point 40 in August 2006 and go to point 41 on their incremental date during 2006/7. They then have incremental progression until they reach point 46 in 2009/10. In August 2010, they revert to the maximum point on Grade 7.

Technician Grade D staff whose HERA role score places them on Grade 4

- Staff on current spine point 21 assimilate to point 21 in August 2006 and remain there, receiving .75 of the annual pay award or RPI, whichever is greater, for four years. In August 2010 they will revert to the maximum point on Grade 4.
- Staff on current spine point 20 assimilate to point 20 in August 2006 and go to point 21 on their incremental date during 2006/7. They then remain there, receiving .66 of the annual pay award for three years until August 2010 when they will have reverted to the maximum point of Grade 4.
- Staff on current spine point 19 assimilate to point 19 in August 2006 and go to point 20 on their incremental date during 2006/7. They then have incremental progression to reach point 21 in 2007/8. They remain there, receiving .5 of the annual pay award for two years until August 2010 when they will have reverted to the maximum point of grade 4.

ENCLOSURE 5

- Staff on current spine point 18 assimilate to point 18 in August 2006 and go to point 19 on their incremental date during 2006/7. They then have incremental progression until they reach point 21 in 2008/9. They then mark time with no additional salary increases until August 2010 when they will have reverted to the maximum point of grade 4 .
- Staff on current spine point 17 assimilate to point 17 in August 2006 and go to point 18 on their incremental date during 2006/7. They then have incremental progression until they reach point 21 in 2009/10. In August 2010 they revert to the maximum point of Grade 4.
- Staff on current spine point 16 assimilate to point 16 in August 2006 and go to point 17 on their incremental date during 2006/7. They then have incremental progression until they reach point 20 in 2009/10. They remain at point 20, the maximum of Grade 4-
- Staff on current spine point 15 assimilate to point 16 in August 2006 and go to point 17 on their incremental date during 2006/7. They then have incremental progression until they reach point 20 in 2010/11. They remain at point 20, the maximum of Grade 4.