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**THE UNIVERSITY OF SHEFFIELD GRADING  
SCHEME**

**JOINT AGREEMENT FOR  
THE IMPLEMENTATION OF THE NATIONAL  
FRAMEWORK AGREEMENT**

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\*\* full details still to be agreed

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## **1. Introduction and joint declaration**

This document forms the basis of the joint agreement between the University of Sheffield and its recognised trade unions – SAUT, Amicus, Unison, TGWU and GMB – on the implementation of the Framework Agreement for the modernisation of pay structures and the associated Memorandum of Understanding.

The University and the recognised trade unions are delighted to be able to jointly agree this package of improvements for staff following a positive outcome from ballots held at the University of Sheffield for members of these recognised trade unions.

Unless otherwise stated, this agreement covers all staff excluding clinical academics and professorial and equivalent staff.

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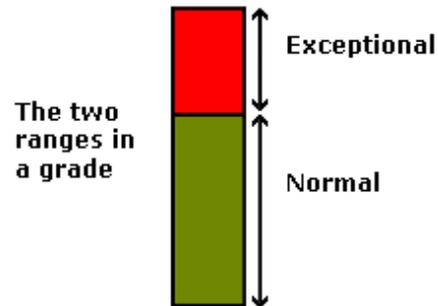
GMB



## 2. Grade structure and salaries

A single 9 grade structure – The University of Sheffield Grading Scheme - for all staff up to senior lecturer and equivalent, except clinical academics.

Each grade will be made up of a number of points from the new pay spine with each grade having two ranges of points: the normal range and the exceptional range.



The key and typical responsibilities and requirements of jobs in each of the nine grades in the grading scheme are defined in the Grade Profiles and summarised in the Grade Profiles Supplement.

The Grade Profiles are included as Appendix 1.

## 2a. The nine grade structure and associated salaries at implementation

Spine Point	Grades		Pay spine
54	9.10		50,589
53	9.9		49,115
52	9.8		47,685
51	9.7		46,296
50	9.6		44,947
49	9.5		43,638
48	9.4		42,367
47	9.3	8.11	41,133
46	9.2	8.10	39,935
45	9.1	8.9	38,772
44		8.8	37,643
43		8.7	36,546
42		8.6	35,482
41		8.5	34,448
40		8.4	33,445
39		8.3	32,471
38	7.12	8.2	31,544
37	7.11	8.1	30,607
36	7.10	8.0	29,715
35	7.9		28,850
34	7.8		28,009
33	7.7		27,194
32	7.6		26,401
31	7.5		25,633
30	7.4		24,886
29	7.3	6.8	24,161
28	7.2	6.7	23,457
27	7.1	6.6	22,774
26		6.5	22,111
25		6.4	21,467
24	5.9	6.3	20,842
23	5.8	6.2	20,235
22	5.7	6.1	19,645
21	5.6		19,073
20	5.5		18,537
19	5.4		17,978
18	5.3	4.8	17,454
17	5.2	4.7	16,946
16	5.1	4.6	16,452
15		4.5	15,973
14		4.4	15,508
13		4.3	15,056
12	3.7	4.2	14,618
11	3.6	4.1	14,192
10	3.5		13,778
9	3.4		13,377
8	3.3		12,987
7	3.2		12,609
6	3.1	2.4	12,242
5		2.3	11,885
4		2.2	11,539
3	1.3	2.1	11,203
2	1.2		10,877
1	1.1		10,560

Figure 1 (left): The 2004 national 51 point pay spine with supplementary Sheffield points.

Increments will be effective from 1 January.

Cost of living rises will continue to be negotiated nationally and will be effective from 1 August.

From January 2006:

Grade 8 normal range will start at spine point 37

Grade 7 normal range will end at spine point 36

Grade 7 exceptional range will end at spine point 39.

The grade boundary between Grades 6 and 7 will be reviewed over the next 2 years, with the aim of lengthening Grade 6 and shortening Grade 7.

Figure 2 (below): The ranges of points within each grade.

Point	Description
	Normal Contribution point
	Exceptional Contribution point

## **2b. Additional points relating to the grade structure**

- The boundary between Grades 7 and 8 will be set between points 35 and 36 from implementation in 2005, and will then be moved up one point in January 2006 to lie between points 36 and 37.
- Grade 7 is the substantive grade for staff carrying out a full research role, as defined in the Grade Profiles.
- It is recognised that current ALC 1 staff have an expectation of progression to ALC 2. The University further recognises that grade 6 may be the entry grade for staff embarking on a “professional” career. All staff appointed to Grade 6 will be given particular consideration for progression to Grade 7 after 3 years in the grade, following an analysis of their job on the basis of the criteria in the Grade Profiles. Staff appointed to grade 6 as an entry level will be supported through the University’s Staff Review and Development Scheme to help them develop sufficiently to meet the requirements of the grade profile for Grade 7.
- The University recognises that the Grade Structure will need reviewing over time in the light of changes in circumstances.
- The University recognises that there is an imbalance between Grades 6 and 7.
- The University envisages deleting point 27 from Grade 7 with effect from 1 January 2007, subject to the outcomes of a joint review with SAUT of the use of this point by August/September 2006.
- The University also envisages deleting point 28 from Grade 7 with effect from 1 January 2008, subject to the outcomes of a joint review with SAUT of the use of this point by August/September 2007.
- All staff will be informed that the grade boundary between Grades 6 and 7 will be reviewed over the next 2 years with the aim of lengthening Grade 6 and shortening Grade 7.
- Until such time as point 29 becomes the bottom point of Grade 7, promotion to Grade 7 will be to point 29.
- The removal of points from the bottom of Grade 7 will result in these points being added to the top of Grade 6 with appropriate adjustments made in order to maintain three overlapping points in the exceptional range of Grade 6.
- The University of Sheffield agrees to a joint review with the SAUT in the eighth year of implementation of the new grades, in order to consider the impact of progression through the new Grade 7 in accordance with the Memorandum of Understanding.



### 3. Progression within the grade

§ Incremental progression within each grade.

§ Each grade will be split into two ranges:

- Normal range
- Exceptional range (beyond exceptional threshold).

§ Staff will have a normal expectation that progression from point to point up to the exceptional threshold will take place on an annual basis, subject exceptionally to existing procedures for dealing with performance problems, when increments may be withheld.

§ Accelerated incremental progression, including progression into the exceptional range will reflect sustained exceptional contribution by the job holder.

§ In addition, one-off financial awards will be available, throughout the grade, for exceptional contribution.

#### 3a. Exceptional contribution

The principle of exceptional contribution is applied in the same way throughout a grade, regardless of whether the recipient is in the normal or exceptional range.

##### Example

**Grade with 6 contribution points and 3 exceptional contribution points**



If the recipient is in the normal range, exceptional contribution awards are on top of standard incremental progression.

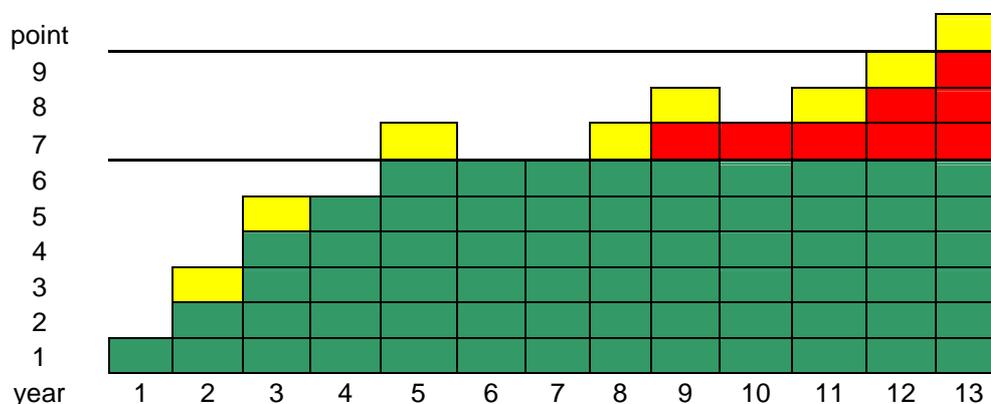
Exceptional contribution is rewarded in two stages:

1. For any single assessment of exceptional contribution:
  - By the award of a lump sum one off payment equivalent to an increment. This sum is not pensionable. An award may be made throughout the grade, including at the top of the exceptional contribution range.
2. For an assessment of exceptional contribution in the next year (long term leave needs to be taken account of in the application of 'next'):
  - By the consolidation of the previous one off payment and the award of a further lump sum. The consolidation gives the equivalent of an accelerated/discretionary increment (accelerated in the contribution range, discretionary in the exceptional contribution range). For staff on the top point of the exceptional range, the award is not consolidated, but continues to be payable as a lump sum.

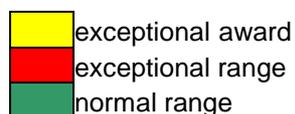
On an annual basis, departments will be asked to recommend staff for exceptional contribution awards. All staff on the University of Sheffield Grading Scheme will be eligible, including those who have been red circled. Once the revised Staff Review and Development Scheme (SRDS) has been fully implemented, it will become the mechanism for identifying recommended cases.

An example follows of how exceptional contribution works in the example grade above.

**Example Grade with 6 incremental points and 3 discretionary points**



History	Outcome	Point	Lump sum (equiv to point)
year 1 starts on point 1			
year 1 has exceptional year	standard increment	2	
	exc award in year 2		3
year 2 has exceptional year	standard increment	3	
	consolidation of award	4	
	exc award in year 3		5
year 3 has standard year	standard increment	5	
year 4 has exceptional year	standard increment	6	
	exc award in year 5		7
year 5 has standard year			
year 6 has standard year			
year 7 has exceptional year	exc award in year 8		7
year 8 has exceptional year	consolidation of award	7	
	exc award in year 9		8
year 9 has standard year			
year 10 has exceptional year	exc award in year 11		8
year 11 has exceptional year	consolidation of award	8	
	exc award in year 12		9
year 12 has exceptional year	consolidation of award	9	
	exc award in year 13		10



#### **4. Promotion**

**full details have still to be agreed**

Progression between the grades (re-grading/promotion) will be through an annual process whereby jobs may be put forward for re-grading, either by the manager or by the staff member. The primary criteria for assessment of jobs for promotion will be the grade profiles; and agreed procedures will be used.

The Academic Promotions Committee will continue to consider all promotions to Grade 9 level.



## 5. Terms and conditions

The agreed and negotiated revisions to terms and conditions will be:

### Grades 1 and 2

- **Hours of Work:** 37 per week.
- **Overtime:** Up to 40 hours, paid at time. Over 40 hours paid at time and a half.
- **Annual Leave:** 27 days, plus 3 closure days, plus 8 Bank Holidays.
- **Pension scheme:** The University of Sheffield Pension Scheme.

### Grades 3, 4 and 5

- **Hours of Work:** 35 per week.
- **Overtime:** Up to 40 hours, paid at time. Over 40 hours paid at time and a half.
- **Annual Leave:** 27 days, plus 3 closure days, plus 8 Bank Holidays.
- **Pension scheme:** The University of Sheffield Pension Scheme.

### Grade 6

- **Hours of Work:** 35 per week.
- **Overtime:** Up to 40 hours, paid at time. Over 40 hours paid at time and a half.
- **Annual Leave:** 27 days, plus 3 closure days, plus 8 Bank Holidays.
- **Pension scheme:** The Universities Superannuation Scheme.

### Grades 7, 8 and 9

- **Hours of Work:** Nominal 35 per week.
- **Overtime:** Not applicable.
- **Annual Leave:** 30 days, plus 3 closure days, plus 8 Bank Holidays.
- **Pension scheme:** The Universities Superannuation Scheme.

### Sick pay entitlement is the same for all grades:

	<b>Full Pay</b>	<b>Half Pay</b>
<b>Year 1 – first 3 months</b>	2 weeks	2 weeks
<b>Year 1 – after 3 months</b>	2 months	2 months
<b>Years 2 and 3</b>	3 months	3 months
<b>Years 4 and 5</b>	5 months	5 months
<b>After 5 Years</b>	6 months	6 months

### Notes

- These terms and conditions will come into effect, wherever practicable, from 1 October 2005.
- Part time hours and leave will be pro rata.
- Individual working patterns will be agreed in order to meet local business needs; no changes will be made to existing working patterns without individual agreement.
- All paid overtime must be agreed in advance and may be taken as time-worked off in lieu.
- All staff in Grades 1 to 6 will have 5 agreed days of work (for most staff these will be Monday to Friday) and all hours up to 40 worked within this standard working week will be paid at plain time; any hours over 40 will be paid at time and a half. Any hours worked on days 6 and 7 will be paid at premium rates.
- Closure days will be agreed by Council each year and will normally be expected to lie between Christmas and New Year.
- The length of the standard working week for staff in Grades 1 and 2, who are moving from a 35 to a 37 hour week, will be protected at 35 hours for 4 years from implementation.
- Protection of leave for staff in Grade 6, who currently have 30 days plus 3, will be dealt with at departmental level.

## **5a. Premium rates**

A number of premium rates will apply for staff in Grades 1 to 6:

- x 1.3 for work between 10.00 pm and 6.00 am
- x 1.5 for all hours worked on the 6<sup>th</sup> worked day of the week
- x 2 for all hours worked on the 7<sup>th</sup> worked day of the week
- x 2 for all hours worked on University Closure Days
- x 2 for all hours worked on Bank Holidays (plus time-worked off in lieu).

Shift allowances will be based on 18% (for rotating shifts) and 11% (for alternating shifts) of Grade 2 point 1.

## **5b. Overtime**

Overtime is defined as hours worked over and above the contractual hours laid down in an individual's contract of employment. Payment will be made to staff in grades 1 to 6 inclusive in respect of any hours worked, and previously agreed with the individual member of staff's manager, in excess of the contractual norm. Alternatively an equivalent number of hours to those worked as overtime may be taken as time off in lieu at a later date. To avoid any subsequent misunderstanding, it should be agreed in advance of the hours being worked whether additional payment would be made or time off in lieu taken.

Payment will be at flat rate until 40 hours have been worked in a week, increasing to time plus a half in respect of any hours worked over 40. In line with the arrangements for payment for working on rest days, payment will be at the rate of time plus a half for all overtime hours worked on the first rest day in a week and at double time in respect of hours worked on the second rest day in any week.

## **5c. Unsocial Hours Payments**

### **a) Shift Allowances**

Shift Allowances will be paid to staff in grades up to and including grade 6 whose working hours change according to a prearranged rota to cover the full 24 hours of the day or a lesser period of at least 11 hours in 24. The former are known as rotating shifts and the latter as alternating shifts.

### **b) Rest day working**

All staff in grades 1 to 6 inclusive will have agreed hours and rostered days of work. All hours within the standard working week that are worked in the first five days of the week will be paid at plain time irrespective of the particular days on which these fall (for most full-time staff this will be Monday to Friday). Hours worked on the sixth day will be paid at time plus a half and hours worked on the seventh day will be paid at double time.

N.B. Nothing in this agreement affects the procedure for varying an individual's working pattern. As before this should be done with the agreement of the individual concerned and with the involvement of the Trade Union as appropriate.

### **c) Working on Bank Holidays and University closure days**

Staff in grades up to and including grade 6 will receive double time plus time off in lieu for all agreed hours worked on Bank Holidays, and either double time or time off in lieu for all hours worked on University closure days.

### **d) Night work**

Payment at the rate of time plus a third will be paid to all staff on grades 1 to 6 inclusive in respect of all agreed hours worked between 10-00pm and 6-00am. These payments do not apply to staff in receipt of a shift allowance (see above) or if the hours in question are already attracting a higher premium.

#### **5d. Five out of seven day working**

A system of five out of seven day working will be introduced, by which it means that individuals will only receive unsocial hours premium payments for hours worked on their rest days, irrespective of on which days in the week these may fall. Unsocial hours premium payments will not be paid in respect of any hours which form part of the standard working week. It must be stressed that the University will not by the introduction of five out of seven day working be seeking to change the days on which individual members of staff currently work. If this were to be necessary this would as at present be by discussion and agreement.

The University wishes to introduce this system for two main reasons:

- Equality of treatment for all staff, so that all staff are rewarded equally for working their standard working week
- To ensure that the University remains competitive

It is recognised that, in some instances notwithstanding the additional flexibility given by incremental scales, on assimilation this would result in a substantial reduction in earnings for some staff affected by this change. To ensure that existing staff are not adversely affected the following approach is recommended.

1. In those cases where existing salary can be matched by assimilation to an appropriate point on the relevant grade following job matching no further action will be taken.
2. In those cases where the salary values attached to the grade to which an individual has been matched would result in a loss of earnings resulting from the introduction of five out of seven day working, the individual will be assimilated to the new salary structure in accordance with the normal rules. In addition they will receive a "restructuring supplement" equal to the difference between their existing and new salary. This supplement will remain in place until alternative arrangements are reached with the recognised trade unions, will be enhanced by nationally agreed cost of living increases, and will be superannuable.

All newly appointed staff will have contracts in line with the new arrangements.

Details of the arrangements for manual and ancillary staff have still to be agreed.

#### **5e. Benefits in kind**

The new pay and grading structure is based on the fundamental principle that all staff, whose job has been judged as being of a size to cause it to be placed in a particular grade, should receive the same level of reward irrespective of the nature or the location of their job within the University. This means that no free benefits in kind should be made available to staff based purely on their work location or the particular activities carried out by the member of staff or their Department.

It is however recognised that there will be occasions when members of staff do have to be provided with equipment to enable them to fully carry out the requirements of their role (e.g. mobile phones). In these situations the individual would be expected to re-imburse the University in respect of any personal benefit they gained from their use.

#### **5f. Pensions**

All new staff will be eligible to join the appropriate pension scheme for their grade.

Existing staff, who are already members of a pension scheme, which is different from the one associated with their grade, will be able to choose whether to stay in their old scheme or to join the scheme for their grade. Information on both schemes is available from the Pay and

Pensions Office, and staff in this situation are recommended to take independent financial advice.

## **6. Additional payments**

A number of additional payments will be available for:

- Temporarily 'acting up' to a job of a higher grade
- Undertaking defined roles in addition to the substantive post
- On call and call out.

### **6a. Acting Up**

Circumstances arise when it will be appropriate to reward an individual for undertaking the responsibilities of a higher graded job for a period of time. This is usually because of absence of the usual post holder (long term sickness, maternity, secondment etc), or because the post is only available for a limited period of time.

Payment will reflect the difference in grade and salary between the individual's substantive post and the post that is being acted up to, and the proportion of the higher grade duties that are being assumed.

The payment will be based on the difference between the individual's current salary and the bottom point of the higher grade, or three incremental points whichever is the greater. Once the base payment had been established this should be multiplied by the proportion of the duties being carried out, to arrive at the additional sum to be paid. This will be determined precisely by the HoD in conjunction with HR.

It should not be automatically assumed that payment will, or should be, made in the circumstances described above.

Payment will not be made where:

1. the role of "Deputy" is included in the standard job description/summary (although this may need to be reviewed if the situation lasted for an inordinate length of time)
2. the time scale is limited to less than 1 month for staff on grades 1 to 6, or 3 months for staff on grades 7 to 9
3. the additional responsibilities are regarded as a development opportunity and/or a natural growth of the job
4. the duties taken over are consistent with the current grade of the member of staff who is providing cover e.g. a lecturer taking over the teaching responsibilities of a senior lecturer.

### **6b. Additional Roles**

There are a small number of roles in the University that are performed by individual members of staff in addition to the role on which their assimilation to the new grading structure will be based.

Because of the distinction between the additional role and the main post, and the temporary nature of the appointments, some of these additional roles will be rewarded separately rather than through their grade salary.

The roles which the University would clearly want undertaking and which are not central to the main role are usually undertaken by academics for a limited number of years and would be difficult to assess as part of their role profile. These include such roles as Deans and Sub-Deans of Faculties, Directors of Teaching and Research.

### **6c. On Call and Call Out**

**full details have still to be agreed**

The University is committed to agreeing, with the Campus Trade Unions, and introducing an appropriate means of rewarding staff of all grades who, on a regular basis, have to be “on call” and who are subject to “call out” to perform duties out of normal working hours, and also those staff who on a less regular basis have to respond to emergency situations. Any arrangements that are in place will be consistent in approach across the University, equitable in application, and ensure that the university’s operational needs are best met.

The following will be taken into account in determining the payment:

- Where the work is linked to the individual’s skill base the payments will be linked to salary.
- In the case of “on call”, the payment will reflect the frequency of providing the cover.
- For call outs the payment will reflect the duration of the attendance at the workplace with a minimum payment being made.
- Consideration will also be given as to how best to reward staff who are able to perform “call out” duties from home.

Where the payment constitutes a consistent and predictable component of income, consideration will be given to it being superannuable.

To ensure clarity the need to perform “on call” and “call out” duties will be written into the contract of employment of those staff whose role requires them to be available to perform these duties.

In the interim period existing arrangements will continue.

### **6d. Additional Payments and Superannuation**

In determining whether an additional payment is superannuable or not the key test is whether or not the payment can be regarded as

- a) an integral part of the reward for the job or
- b) a temporary addition

On this basis payments for taking on temporary additional responsibilities are unlikely to be superannuable whilst those made in respect of an activity such as for being “on call” which will continue into the foreseeable future are likely to be superannuable.

Overtime payments would not usually attract superannuation except in those circumstances where overtime is built into the working week as part of an agreed rota. In these circumstances, as the overtime is a permanent component of the pay, it would be treated as superannuable.

## 7. Assimilation

All staff, who are eligible to be paid on the University of Sheffield Grading Scheme, will move from the existing pay scales and spine to the new pay scales and spine on the basis of: their old grade and salary; their new grade as identified through job matching; and agreed procedures.

The University is investing circa 4% of the annual pay bill in this move, giving the majority of staff an increase in pay.

In general, staff will move to the next point on the new pay spine above their current salary.

Staff who are green circled – matched into a grade higher than indicated by their old grade – will move immediately to a point on the higher grade.

Staff who are red circled – matched into a grade lower than indicated by their old grade – will have their salaries frozen at their old level and their pay protected for 4 years. During this period, they will be given the opportunity to start a personal development plan, with the intention of either growing their job, or developing themselves so that they are able to move into a higher graded job.

### 7a. Assimilation policy

This policy is based on the assumption that staff will be assigned to a grade in the new structures on the basis of job matching or, in a very few cases that are difficult to match, following a full evaluation of the job.

- Job matching will be carried out as a joint exercise between departments and HR.
- Following this, assimilation to pay points on the new spine will be carried out in HR on the basis of the newly assigned grade and the member of staff's current salary, as given below.
- Staff will be assimilated to a grade and spinal point with effect from 1 January 2005; in practice this will mean arrears payments for staff after the move to the new pay structures and pay spine has been completed during 2005.

### Where this policy is applicable

This policy is only applicable to the assimilation process in Phase 3 of the Pay & Reward Review project, as described above. It does not apply to any other cases of organisational change or restructuring.

The policy applies to all staff covered by the University of Sheffield Grading Scheme.

### Definitions

**Old salary** – basic salary before assimilation to the new spine.

**New salary** – basic salary immediately after assimilation to the new spine.

**Target salary** – the salary (before any time adjustments for cost of living or increments) to be achieved at the end of red circling or green circling.

**Time adjusted target salary** – *target salary* plus any cost of living awards that have accrued over time.

**New grade** – grade for the job as defined by job matching (or job evaluation).

### Principle

For the purposes of the salary assimilation exercise, staff may be assimilated into any point within the grade, according to the agreed rules.

### Assimilation to pay points

- If the *old salary* is below the bottom point on the *new grade*, the *target salary* is the bottom point on the *new grade* and green circling rules are applied to determine the *new salary*.
- If the *old salary* is above the top point on the normal range of the *new grade* and is not in the discretionary range of the current grade, the *target salary* is the top point in the normal

range of the *new grade* and red circling rules are applied to determine the *new salary* and future salaries.

- Otherwise the *new salary* is the point on the *new grade* as defined by agreed salary assimilation rules.

### **Green circling rules**

The *new salary* is the *target salary* i.e. the bottom point of the *new grade*.

### **Red circling rules**

#### ***Market pay***

The job is investigated by HR to see if market forces could explain the difference in pay. If this is the case, then the market supplement procedure is applied for the individual, whose *new salary* is set at an appropriate salary point within the *new grade* plus a stated market supplement.

#### ***Pay protection***

Otherwise the *new salary* will be frozen at the *old salary* with no further incremental progression or annual cost of living awards, until the *time adjusted target salary* is greater or equal to the frozen *new salary* or until the end of the agreed time period of:

- 4 years from implementation date for staff aged under 60
- Retirement for staff who are within five years of retirement age, in order to protect pension arrangements.

At the end of this time period the staff member will move to the *time adjusted target salary*.

#### ***Developing the job***

In addition, once an individual has been identified as red circled, a discussion is held between the member of staff's manager and HR about the possibility for developing the job so that it can eventually be graded appropriately for the frozen *old salary*. Progress is reviewed regularly during the period of red circling.

### **7b. Other pay protection**

Where pay protection arrangements are required in other situations, such as restructuring, the same pattern will be followed as is being used for assimilation to the University of Sheffield Grading Scheme.

### **7c. Additional points - arrears**

Arrears will only be paid to staff who are in post at the time of assimilation to the new grading structure and to staff who have retired since 1 January 2005. These arrears will be paid as an approximate lump sum and will be backdated to 1 January 2005.

Staff, who have already left during 2005 and who did not receive an increment that was due in 2005 will receive compensatory payment in due course. Those who are due to leave in August and September will receive this payment with their final salary.

The documents Red Circling Guidance Notes and Examples and Red Circling Management Guidance are included as Appendix 2 and Appendix 3.

## **8. Appeals**

All staff will have the right of appeal following the move to the University of Sheffield Grading Scheme.

An appeal must be based on either relevant information having been omitted from the job summary at the time of job matching, or an incorrect application of the grading criteria.

The appeals process allows for staff to have their jobs re-matched, with a full job evaluation at final appeal.

### **8a. Appeals procedure**

The appeals procedure is only applicable to the outcomes of the assimilation exercise following the move to the University of Sheffield Grading Scheme and the new pay spine, and is based on the job as it was at the time of matching. If the job has changed since job matching took place, it will be considered in the next promotion/regrading round.

The appeals process is initiated by an individual, who feels that s/he has been wrongly matched to a grade and/or positioned on a salary point.

#### **Time table and sequencing of activity**

- Job matching to assign grades,
- Pay modelling to attach grade structure to spine,
- Positioning staff on spine points,
- Informing staff of grade and salary point.

This implies that appeals are likely to take place towards the end of the implementation period, and after the effective date of the new salaries.

#### **Grounds**

Grounds for appeal are a belief that:

Either a) Relevant information was omitted from the job summary form.

Or b) There was an incorrect application of the grading criteria during job matching and assimilation.

#### **Conditions and timing**

- An appeal has to be submitted within 4 weeks of receiving official notice of new grade and salary, unless the individual involved can demonstrate a valid reason for not responding in that time.
- Appellants receive a response within 2 weeks of the receipt of their appeal.
- Any salary change following a successful appeal is with effect from January 2005.

#### **Process**

##### **Initial appeal**

1. The appeal is checked initially to make sure that it was not the result of an error, and, if this was the case, the error is rectified, the individual informed, and the appeal closed.
2. If the grounds are of type a), the individual is asked to fill in an additional job summary form, and the department is asked to re-match the job.
3. If the grounds are of type b), the job summary and original summary of decision form are considered anonymously by **the moderating panel**, and the job re-matched.
4. The individual is informed of the outcome and, if s/he is not satisfied, that final appeal is possible.

##### **The moderating panel**

The moderating panel will normally consist of:

- Chair – senior University representative
- Senior member of HR
- Union representative – from any one of the agreed trade unions.

Although consistency of treatment is best served by continuity of membership, a pool of possible members will be required.

##### **Final appeal**

The individual is interviewed to collect further job information, and the job evaluated to determine the grade. The individual is allowed to present a case to **the job evaluation panel** before the evaluation. This case is either in writing, in person and alone, or in person and accompanied (by a colleague or union representative). The Head of Department (or nominee) also has the opportunity to present on behalf of the department. The standard assimilation rules are used to determine salary position within the grade.

**The job evaluation panel**

This panel consists of 5 members of the University's Hay evaluation pool: the group of approximately 20 managers and union nominated staff who are trained and experienced in evaluating the University's jobs using the Hay job evaluation scheme.

The document Appeal Process: Guidance Notes is included as Appendix 4.

## **9. Staff Review and Development Scheme**

The Staff Review and Development Scheme (SRDS) has been revised to focus on: a review of the previous year in relation to agreed objectives; setting and agreeing new objectives; contribution assessment; and development review. All staff will have an annual review with their line manager. Through contribution assessment, the revised SRDS scheme will provide a consistent mechanism for recommending exceptional contribution awards. All recommendations for exceptional contribution awards will be reviewed at both departmental and central level to ensure that the scheme is being consistently applied.

### **9a. Principles of SRDS**

The University of Sheffield's Staff Review and Development Scheme applies to all members of staff.<sup>1</sup> It is based on the following principles, with the intention of bringing benefits to individual staff, to departments and to the University as a whole:

- a. That the University should have a process to ensure that every individual member of staff's objectives and contribution are in line with their department's aim of continued improvement of institutional performance;
- b. That all staff should have the opportunity, at least annually, to receive feedback from their manager, or appropriate reviewer, on how they have met the requirements of their job summary, how well they have met their own objectives and how they have contributed to meeting departmental and, where appropriate, University objectives;
- c. That all staff should have the opportunity, at least annually, to discuss and agree individual objectives with their manager;
- d. That all staff should have the opportunity, at least annually, to reflect on development undertaken and to discuss and agree future development needs to help meet their objectives;
- e. That all staff should have an equal opportunity to progress within grades. This incorporates both an expectation of normal progression up to the contribution threshold and the opportunity to be considered for additional reward based on the outcome of their review;
- f. That the University should have a consistent and evidence-based mechanism for recognising and assessing the contribution of all staff towards meeting departmental and University objectives, and rewarding this contribution, where appropriate, through exceptional contribution awards;
- g. That there should be a process both at departmental and University level for monitoring and moderating the outcomes of the scheme;
- h. That there should be transparent procedures for implementing the outcomes of staff review and development meetings.
- i. That SRDS is not the mechanism for withholding increments;
- j. That it provides a route for the instigation of performance improvement measures;
- k. That the University retains the right to withhold increments as part of performance improvement measures;

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<sup>1</sup> Except those on clinical consultant contracts – (ref to separate scheme)

- I. That the scheme should be reviewed on a regular basis.

The documents SRDS Information and Guidelines and SRDS Forms are included as Appendix 5 and Appendix 6.

## 10. Market supplements

full details have still to be agreed

The following principles will be applied in implementing market supplements:

- A market supplement is a separately identified addition to the basic (grade-related) pay for a job made to increase total pay to a level at which suitable staff can be recruited and retained.
- Market supplements may be paid to all staff in one particular job because of the market value of that job or they may be paid to one individual or group of individuals because of their personal market worth.
- The implementation of a market supplements policy at Sheffield will be guided by the Framework Agreement and be compliant with Equal Pay legislation.
- Market supplements should only be paid in exceptional circumstances, once alternative options have been considered, where there is unequivocal evidence of an external market and where the market salary level exceeds that in the main grade.
- A business case must be made for each market supplement, and it must be demonstrated that any skills being rewarded through the application of a market supplement are essential to the job.
- If personal pay data, quoted by applicants or existing staff, is used, evidence must be presented in support of the claim.
- Market supplements will be subject to review and, where circumstances indicate, may be withdrawn.

### 10a. Market supplement procedure

**The purpose:** To supplement salary, where there is clear evidence of a higher external market.

**The applicability to staff groups:** For staff at higher grades, a supplement would normally be considered to be applicable only to the individual, whereas at lower grades a market supplement might be applicable to a number of staff.

Market supplements should only be used in exceptional circumstances, where there is unequivocal evidence of an external market and where the market salary level exceeds that in the main grade.

#### The Business Case

1. The use of a market supplement should be considered once other methods of recruiting and retaining staff have been shown to be ineffective. Examples of other methods include: providing career opportunities or exploring alternative recruitment strategies.
2. A business case for each market supplement must be demonstrated (quantitatively) using a combination of the following methods to determine salary:

§ Published pay surveys

§ Special surveys conducted by the University or other institutions within the HE Sector

§ Analysis of job advertisements

**Note:** If personal pay data, quoted by applicants or existing staff, is used, evidence must be presented in support of the claim.

The University must prove that any skills being rewarded are essential to the job.

A cost benefit analysis is required to compare value to the University against cost.

The following must also be taken into account:

- § The number and pay of the staff carrying out similar work in the University.
- § The impact of Equal Pay legislation.
- § The cost impact to the University.

### **Recording and paying the supplement**

3. In order to protect the University from equal pay claims, a decision to pay a market supplement will be decided centrally by the Director of Human Resource Management in conjunction with one of the following:
  - The Pro-Vice Chancellor for staffing (for staff in academic departments),
  - The Registrar and Secretary (for staff in central support departments, except the Resources Division),
  - The Director of Finance and Resources (for staff in the Resources Division).
4. The supplement should not exceed 20% of the grade salary exceptional threshold, and should be paid as a non-superannuable allowance through the payroll, thus ensuring that it is indicated on the monthly payslip.
5. The value of the supplement should be kept in line with cost of living increases.
6. A rationale must be completed for each member of staff in receipt of the supplement and kept in the relevant personnel file.
7. Information relating to market supplements will be included in the contract of employment.

### **Withdrawing the supplement**

8. The University reserves the right to reduce or withdraw a market supplement if it is no longer applicable or appropriate to the job in question. This information will also be included in the contract of employment.
9. The decision to reduce or withdraw a supplement will be based on data obtained from a combination of the following:
  - § Published pay surveys
  - § Special surveys conducted by the University or other institutions within the HE Sector
  - § Analysis of job advertisements
10. Notice of 3 months will be given to relevant staff for the withdrawal of a supplement.

### **Review**

11. Reviews of supplements that have been 'awarded' should be carried out annually. Analysis of the number and level of supplements awarded should be carried out in terms of staff groups and according to gender, disability race etc. Outcomes of the review could include: retention, removal, freezing with no cost of living increase. **Note:** A fast track approach will be available.

# APPENDICES

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**\*\*\* minor amendments still to be made to process**



## Appendix 1

### The University of Sheffield Grading Scheme

#### Grade Profiles

##### INTRODUCTION

The Grade Profiles are written descriptions of the typical work activities, requirements and responsibilities of each of the grades in the new 9 grade structure. They show the main factors which differentiate one level from another and demonstrate the key requirements for progression. They cover all non-clinical members of staff up to and including Senior Lecturer equivalent.

The requirements for each of the grades have been sub-divided into 7 sections.

- Specialist Activities
- Customer Service
- Planning and Organising
- Finance/Resource Management
- Internal and External Liaison
- People Management
- Knowledge, Skills and Experience

The activities and responsibilities described in the Grade Profiles are generic and broadly summarise the requirements at each grade of the University of Sheffield Grading Scheme. The relative importance of these sections will vary between jobs. The descriptions are general and not specific to staff groupings or individual roles, and therefore may not explicitly describe any particular job. Members of staff will not carry out all of the activities mentioned at any particular grade, and some staff may carry out additional activities.

The Grade Profiles provide the basis for the University's reward, recruitment, and promotion activities. For further information on the University of Sheffield Grading Scheme and the Grade Profiles, including information on the process for allocating jobs to grades, please go to: [www.shef.ac.uk/payandreward](http://www.shef.ac.uk/payandreward)

## **GRADE 1**

Provide a support service to staff and students, either working alone or as part of a team working on similar tasks usually with short, defined timescales. The jobs require staff to work on straightforward tasks or on prescribed/directed activities, or based on clear instructions or daily work allocation within well-established routines and procedures.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Carry out routine and basic record keeping as required.
- Use straightforward equipment to carry out duties and activities effectively.
- Provide routine assistance to staff, students and others when required.

### ***Customer Service***

- Check and pass on information as required through contact with staff, students and others.
- Deliver a well-defined customer service that follows existing systems to an agreed standard of quality.

### ***Planning and Organising***

- Carry out work according to timetable/rota/routine or following a plan set by others, working within short timescales. May be required to prioritise some of own work to ensure it can be carried out within the required timescales and to the appropriate standards.
- Maintain awareness of levels of basic stock and report back when levels run low.

### ***Finance/Resource Management***

- Report low supplies/resources to others for re-ordering.
- Responsible for the safe-keeping of allocated equipment, keys or other items during work hours and for ensuring they are kept in good working order.

### ***Internal and External Liaison***

- Communicate with other University colleagues, as required, in order to carry out work.
- Communicate with customers to respond to straightforward requests for information, for example, from staff, students and others.

### ***People Management***

- Provide guidance to new colleagues.

### ***Knowledge, Skills and Experience***

- Generally no specific qualifications or experience required prior to appointment but the learning process at work may involve short courses and certification. Processes and practices normally take 1-6 months to learn.
- Ability to use appropriate equipment.
- Knowledge of the relevant aspects of the University, such as site locations, procedures and practices.
- Verbal communication skills and an appreciation of customer service.
- Understanding of relevant Health and Safety and security requirements.
- Use judgements based on knowledge, experience and general procedural awareness to deal with straightforward work issues.

## **GRADE 2**

Carry out a range of activities, working within routines and procedures, clear guidance and quite tight or short timescales, although not always carrying out prescribed/directed activities, or being allocated work daily. Jobs often require staff to provide general support in own work area, which may involve assisting more senior colleagues with specific activities. Staff are often required to be initial points of contact for customers.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Carry out routine record keeping and maintenance of databases.
- Run straightforward reports to support information procedures.
- Use and maintain straightforward equipment, requiring specialised techniques, to carry out duties and activities effectively.
- Set up apparatus/equipment, etc for use by staff, students or other customers.
- Carry out straightforward and routine interpretation of information, data and/or calculations.
- Provide routine assistance and information to staff, students and others using skills drawn from detailed learning.

### ***Customer Service***

- Respond to routine customer enquiries, providing answers to general queries, offering directions, basic advice, etc.
- Deliver a range of customer services that follow existing systems to an agreed standard of quality. Contribute to ideas for improving current working methods and processes.

### ***Planning and Organising***

- Carry out activities, following a rota or plan set by others, or by following a general daily routine, working flexibly to re-prioritise urgent and/or unscheduled activities/tasks into the daily schedule.
- Carry out some planning to ensure adequate resources and equipment or stock are in place and to ensure sufficient time is allocated to an activity in order to meet the objective(s).

### ***Finance/Resource Management***

- Handle cash and debit/credit card transactions, following established procedures.
- Follow set ordering procedures to ensure that low value supplies/resources are available to meet work requirements.
- Responsible for the safe-keeping of allocated equipment, vehicle(s), keys, or other items and for ensuring they are kept in good working order including responsibility for basic maintenance.

### ***Internal and External Liaison***

- Communicate with University colleagues and know who to contact to seek information needed to carry out work.
- Receive visitors and exchange straightforward information with customers and service providers.

### ***People Management***

- Provide guidance, support and informal coaching on specific tasks to new colleagues.

### **Knowledge, Skills and Experience**

- A few months' previous experience in the relevant area of work may be required. Building on the demand of Grade 1, some certification, short courses and practical training relevant to the job will normally be required, eg manual handling, customer care, storage/transport of specialist materials, basic first aid, lifeguard training, etc. Processes and practices normally take 6-12 months to learn.
- Ability to use appropriate equipment. May also require knowledge of specialised equipment/apparatus, eg CCTV, defib. equipment, cartridge masks, etc. Full driving licence and/or fork lift truck licence required for some jobs.
- Knowledge of the relevant systems and procedures, etc, plus a wider appreciation of the relevant area of the University/work.
- Interpersonal and customer service skills to communicate/exchange straightforward information with customers and others.
- Basic IT knowledge. Basic typing qualifications (RSA I/II) also required for some jobs.
- Building on the demand of Grade 1, understanding of relevant Health and Safety and security requirements.
- Use judgements based on knowledge, experience and general procedural awareness to deal with work issues.

### **GRADE 3**

Required to carry out a range of activities mainly using routines and procedures and working to quite tight or short timescales, although staff are not normally closely supervised on a daily basis. Staff are often required to liaise with customers, including dealing with less straightforward queries. They may also be involved in supervising the work done by Grade 1 staff. Some jobs at this grade may require formal training and/or qualifications.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

#### ***Specialist Activities***

- Maintain information on databases and other work records as required, and write/run straightforward reports to support information procedures.
- Create documents and presentations for others, based on a detailed brief, making decisions on appropriate presentation.
- Demonstrate the preparation and use of equipment and/or techniques available for use by staff, students, or other customers.
- Supervise straightforward activities and processes carried out by junior staff, usually to provide a service to others and carry out related duties, eg completing timesheets, etc.
- Carry out straightforward interpretation of information, data and/or calculations and present results accurately and appropriately.
- Provide assistance and information to staff, students and others using skills drawn from detailed learning. Includes demonstrating work tasks to others, or possibly explaining the services available to customers.

#### ***Customer Service***

- Deal with customer enquiries, using knowledge and experience, whilst judging when and who else to involve.
- Deliver a range of customer services that support existing systems to an agreed standard of quality. Monitor and review the quality of work done by self or others, and identify where further action is needed.

#### ***Planning & Organising***

- Follow a plan or schedule set by others to a pre-determined level of service, prioritising own work and/or allocating tasks and activities to other staff to ensure they are completed on time and to appropriate standards.
- Carry out planning so that resources, equipment and stock are available to meet specific work objectives. May involve assisting with the organisation of events, timetables, meetings, etc.

#### ***Finance/Resource Management***

- Take responsibility for small-scale resources/handling cash, following established procedures. For example, may organise departmental stationery with a small, pre-set budget or take responsibility for ensuring cash taken over a sales counter is handled according to security guidelines.
- Monitor and replenish levels of stocks/stores of basic equipment and supplies, following set ordering procedures.
- Responsible for routine maintenance of particular piece(s) of equipment and/or responsible for the allocation and collection of equipment and keys to staff during working hours.

#### ***Internal and External Liaison***

- Maintain a network of contacts throughout own work area, knowing who key individuals are.
- Exchange straightforward information with customers and service providers through established connections.

### ***People Management***

- Provide guidance and support through on-the-job training to junior colleagues/students in own area, in the use of basic equipment, skills, techniques and procedures.

### **In non-supervisory jobs:**

- Occasionally assign tasks to others and be responsible for ensuring tasks are completed accurately and on time, to ensure quality standards are maintained.

### **In supervisory jobs:**

- Supervise a schedule of activities or elements for straightforward processes and communicate work requirements (eg supervise a cleaning schedule, work rota, weekly menu, etc). Raise any unresolved problems (eg equipment failure, staff discipline, etc) with line management.

### **Knowledge, Skills and Experience**

- Some previous work experience in a relevant area of work would normally be required and EITHER relevant academic/vocational qualifications, OR equivalent work experience. Some relevant practical training may also be required. Processes, practices, etc normally take 6-12 months to learn.
- Ability to use standard and specialist equipment/apparatus and for some jobs, an appreciation of the basic principles of the relevant scientific or technical discipline is required. A full driving licence may be required for some jobs.
- Knowledge of relevant systems, processes, policy, legislation, quality standards and procedures. Also understanding of the relevant area of the University/work.
- Interpersonal and communication (written and verbal) skills. Supervisory jobs require an ability to motivate and organise staff. Some jobs also require ability to demonstrate equipment/work tasks, etc to others.
- Awareness of how to handle confidential information appropriately.
- IT literacy and/or ability to use computer package(s) relevant to the area of work. Typing skills (RSA II), high attention to detail, and accuracy of inputting information required for some jobs.
- Building on the demand of Grade 2, understanding of relevant Health and Safety and security requirements.
- Use judgements based on knowledge, experience and general procedural awareness to deal with work issues and resolve problems, independently referring more complex issues to senior colleagues.
- Ability to organise resources and prioritise activities within a pre-determined plan/schedule.

## **GRADE 4**

Staff have greater depth and breadth of knowledge and experience and are required to carry out a range of more complex duties and tasks than at lower grades, using skills acquired through on-the-job or vocational training and relevant work experience. The jobs require staff to work with minimal supervision on a day-to-day basis, taking on greater responsibility than staff at Grades 1, 2 and 3, and exercising a greater amount of initiative to develop solutions to problems and to ensure work conforms to agreed quality standards, guidelines and procedures. They are also dealing with non-standard work situations more regularly than at lower grades.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Responsible for keeping accurate records for reporting to external agencies, government bodies or for use in legal processes.
- Create documents and presentations for others based on a general brief, making decisions on appropriate presentation.
- Use, monitor and maintain specialist and/or technical equipment to carry out duties and activities effectively and provide demonstrations to others.
- Supervise and review the work done by junior staff or allocate work to colleagues to provide a service to others, ensuring the unit/facility, etc runs smoothly and to an appropriate standard.
- Carry out analysis of information, data and/or calculations and present results accurately and appropriately.
- Provide routine and non-standard information and assistance to staff, students and others using skills drawn from detailed learning.
- Prepare and carry out procedures for straightforward tests/ experiments, record test results and present findings accurately.

### ***Customer Service***

- Deal with routine and non-standard queries, possibly including those which require an understanding of information outside the immediate work area and knowing who else to involve.
- Use initiative to provide an appropriate level of customer service whilst ensuring that work conforms to agreed quality standards, guidelines and procedures.
- Make suggestions for improving service and efficiency, taking customer comments and feedback into account.

### ***Planning & Organising***

- Prioritise own work within a general schedule and allocate work to other staff on a daily and weekly basis to meet deadlines or work unit/customer demands and appropriate standards.
- Carry out planning so that adequate resources, equipment and stock are available to meet specific work objectives. May involve organising or supporting small events, timetables, meetings and co-ordinating the associated arrangements to ensure the activities/events are administered efficiently.

### ***Finance/Resource Management***

- Take responsibility for processing resources or sums of money following established procedures. For example, may check and process invoices.
- Monitor and replenish levels of stocks/stores of equipment and supplies, following set ordering procedures.
- Responsible for the safe-keeping of items of critical importance such as master keys to University buildings.

### ***Internal and External Liaison***

- Develop a network of contacts throughout own work area, knowing who key individuals are.
- Liaise with customers and service providers, as required, establishing the most appropriate form of contact (eg email, correspondence, face to face, etc) to exchange information.

### ***People Management***

- Provide routine and non-standard support, and provide guidance through on-the-job training.

#### **In non-supervisory jobs:**

- Assign tasks to others and be responsible for ensuring work is completed, to the required standards and timescales.

#### **In supervisory jobs:**

- Oversee the work of others to provide a service or perform a work process, allocating work and supervising staff, to ensure the work runs smoothly and to standard.

### **Knowledge, Skills and Experience**

- Previous work experience of 1-2 years in a relevant job would normally be required and EITHER relevant academic/vocational qualifications, OR equivalent work experience. Some relevant practical training may also be required. Should be capable of undertaking a range of activities without constant guidance.
- Ability to understand and address non-routine work, where applicable. Also the ability to use standard and specialist equipment/apparatus and for some jobs, an understanding of the basic principles of the relevant scientific or technical discipline is required.
- Building on the demand of Grade 3, knowledge of the work and function of other areas of the University required to deal effectively with others.
- Interpersonal and communication (written and verbal) skills required including the ability to communicate information of some complexity and report on information to external agencies, government bodies, etc, with clarity and accuracy.
- IT literacy and/or ability to use computer package(s) relevant to the area of work. Keyboard skills (RSA II/III) required in some jobs.
- Well developed understanding of Health and Safety regulations and procedures.
- Use judgements based on initiative, knowledge, experience and general procedural awareness to deal with non-standard work issues and resolve problems independently, occasionally referring more complex issues to, and seeking advice from, senior colleagues.
- Ability to organise resources and prioritise activities within a general schedule and to undertake a range of activities without constant guidance.

## **GRADE 5**

Provide specialist support to customers on a range of subjects and/or produce a range of products/documents for customers to a general specification or brief, using specialist skills and knowledge acquired through qualifications and practical experience. Staff are often involved in: interpreting customer requirements; producing solutions and providing advice; analysing data or information; or diagnosing and solving technical issues within an area of expertise. May also supervise/allocate work to more junior staff and co-ordinate some activities or events.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Maintain departmental information and documentation, manual and electronic records, databases, computerised information systems and generate reports as required. May be responsible for making informed decisions on how best to store information (eg how information is recorded on a database).
- Create a combination of standard and more complex documents or materials for others, using computer packages/software/ equipment based on a general brief.
- Involvement in the development, testing and construction of new equipment and/or techniques. Involves installing, monitoring and maintaining technical equipment and systems for use by staff, students or other customers.
- Provide technical advice and training/demonstrations in the use of specialised equipment.
- Diagnose and solve IT faults and problems, provide IT support for computing facilities, and maintain computing equipment.
- Be responsible for overseeing specific activities and processes in support of a service.
- Carry out analysis of information, data and/or calculations, identifying issues which require addressing, and presenting results accurately and appropriately.
- Provide detailed information and guidance to staff, students and others using skills drawn from detailed learning and experience.
- Contribute to short-term projects within own area/section or contribute as part of larger department-wide project teams, to support the achievements of project objectives.
- Prepare and carry out procedures for tests/experiments, record test results and present findings accurately.

### ***Customer Service***

- Point of contact for specialist queries, providing detailed information and a range of solutions to choose from; allowing for any potential implications and raising issues of concern. May need to discuss more complex queries with senior colleagues.
- Monitor customer feedback and make proposals for improving service through suggestions for changing current working methods, standards (eg quality, Health and Safety, etc) and processes.
- Implement changes to service provision as requested by senior colleagues, using discretion and initiative to ensure the service can continue to meet agreed quality standards, guidelines, and procedures.

### ***Planning & Organising***

- Prioritise own work within a general plan or schedule to meet deadlines and appropriate standards and assist supervisors and other senior staff in planning for future work. Includes co-ordinating arrangements and allocating tasks to others.
- Organise or support events, timetables, meetings, etc and co-ordinate the associated arrangements to ensure activities/events are administered efficiently. May include ensuring that sufficient resources/numbers of staff are available to carry out the work.

### ***Finance/Resource Management***

- Take delegated responsibility for small-medium scale budgets, or for processing sums of money following established procedures. For example, may have delegated responsibility for an inventory or consumables budget.
- Take responsibility for stocks/ stores of equipment and supplies within a delegated budget, so that supplies/resources are available when required.
- Take delegated responsibility for the general maintenance, servicing and repair of equipment, etc in a work area.

### ***Internal and External Liaison***

- Liaise with key contacts in the wider University body to support own work activities/specific tasks, as required.
- Liaise closely with customers, service providers and external bodies, establishing the most appropriate type of contact (eg email, correspondence, face to face, etc) to exchange information. May include liaison over information relating to University procedures, external body regulations, legislation, etc.

### ***People Management***

- Act as a point of referral for others on particular issues related to own work area.

#### **In non-supervisory jobs:**

- Allocate/delegate some work to others for specific activities, taking responsibility for ensuring work is completed to required standards and timescales.

#### **In supervisory jobs:**

- Supervise staff and delegate work, monitoring and reviewing individual and team progress and performance.

### **Knowledge, Skills and Experience**

- Previous work experience of 2-3 years in a relevant job and EITHER relevant academic/vocational qualifications, OR equivalent in work experience.
- Specialist skills and knowledge relevant to the job, including understanding of the relevant terminology. May also require awareness of external changes which impact on the job and an ability to adapt/transfer skills to use new technology, innovations, changes in legislation, etc.
- Comprehensive knowledge of relevant systems, processes, policies, procedures, internal and external regulations, legislation and quality standards. Some jobs also require awareness of wider University and HE issues.
- Interpersonal and communication (verbal and written) skills, including the ability to persuade, motivate and organise others. Some jobs also require an ability to deal with issues of confidentiality and sensitive situations.
- IT literacy and/or up to date knowledge of relevant packages, software, databases, information systems, development and maintenance of websites, etc. Some jobs require knowledge/skills at an advanced level. Good keyboard skills (RSA III) also required for some jobs.
- Building on the demand of Grade 4, well developed understanding of Health and Safety regulations and procedures.
- Analytical and problem solving skills may be required, eg for analysing reports, diagnosing and troubleshooting technical equipment and computer faults or for understanding and interpreting statistical data, etc.

- Organisational and time management skills and ability to plan and organise short-term activities and events.

## GRADE 6

Deploy a detailed understanding of methods, systems and procedures, technical or scientific practices to manage aspects of operational services, provide technical or administrative support and advice, or contribute to a research team. Dealing with people is often an important aspect of the work, whether liaising closely with other colleagues, contractors or customers, or supervising staff. Contributions include proposing and implementing improvements to current working methods and detailed manipulation of data and/or research.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Oversee the effective maintenance of information and documentation, etc for the relevant section of work, ensuring systems, websites, reports, etc are updated as required.
- Research, collate, organise and edit material for inclusion in reports and other documents.
- Develop, construct and refine experimental systems, apparatus, or equipment according to specification for teaching, research and related purposes. Includes interpreting the requirements of others and developing solutions. Also provide detailed coaching/instruction on apparatus/ equipment.
- Some jobs will involve developing or adapting new technology to make it suitable for use.
- Manage departmental/project IT requirements including maintaining and updating software, hardware and servers, etc and ensure departmental security, availability and accessibility needs are met.
- Oversee a section of work; take responsibility for allocating resources and ensuring procedures, processes, etc are followed and that work objectives are met.
- Perform detailed analysis and manipulation of information (in research this will be following analytical protocols set by others), data and/or calculations, highlighting and prioritising any issues for further investigation and contributing to reports to support decision making.
- Provide detailed instruction and/or advice or coach others in own area of expertise, drawing upon considerable depth of knowledge, skills, experience and expertise.
- Undertake short-term project management within own area/section or contribute as part of larger department-wide project teams, to support the achievements of project objectives.
- Prepare materials (eg solutions, chemicals, etc) and set up equipment for experiments and teaching demonstrations, and/or carry out research or run samples and experiments and interpret results to obtain data for research and teaching.
- Assist a research team or group to acquire and interpret research data and results where the method and purpose are clear, and contribute to the development of new techniques, models and methods. May include presenting data results to others.

### ***Customer Service***

- Independently provide advice and deal with queries of a specialist or detailed nature and/or interpret customer requirements to provide suitable work solutions. Recommend alternative courses of action if unable to assist.
- Deal with queries referred on from more junior staff and act as a filter for issues referred to supervisor, to provide immediate support and problem resolution.
- Review customer satisfaction, and monitor service objectives and standards within own area of work. Build conclusions into future improvements, in discussion with senior managers, to maximise service quality and efficiency.

### ***Planning & Organising***

- Plan and allocate work and responsibilities over the short-medium term, with an awareness of longer term issues. Use discretion to determine priorities and resolve conflicts to meet targets and deadlines.
- Building on the requirement of Grade 5, organise more complex events, timetables, meetings, etc and co-ordinate the associated arrangements, taking into account issues such as cost and timescale implications, resource requirements, and matching activities to the expertise of those involved.
- Carry out planning for short-term projects in own area, or contribute to planning for department/ project/school/section.

### ***Finance/Resource Management***

- Take delegated responsibility for budgets, for resources/handling cash, or for processing larger sums of money by following established procedures. This may include monitoring accounts, maintaining financial records and highlighting any required corrective actions. May also offer input into the resource planning process within the project or work area.
- May contribute information about likely future physical resource requirements for the resource planning process within an area.
- Oversee the general maintenance, servicing and repair of equipment, apparatus, etc in area of responsibility.
- May oversee the security/accessibility of data in area of responsibility.

### ***Internal and External Liaison***

- Liaise and build relationships with the wider University body and attend meetings as required to support and represent operational departmental, school or work unit activities.
- Liaise closely with customers, service providers and external contacts to support and represent departmental, school or work unit activities and to deal with standard and more in-depth work issues.

### ***People Management***

- Provide specialist guidance and support through on-the-job training to junior colleagues/students in own area, in the use of equipment, skills and techniques. May oversee the work of others as the most experienced team member and act as the main point of contact for a particular process, system or procedure.

#### **In non-supervisory jobs:**

- May occasionally be required to pull together a team of staff and oversee the completion of a short-medium term project or activity to the required standards and timescales.

#### **In supervisory jobs:**

- Oversee a section of work, allocating resources and delegating work whilst monitoring the process.

### **Knowledge, Skills and Experience**

- EITHER relevant academic, vocational or professional qualifications; plus 2-3 years related experience, OR broad vocational experience of 4-7 years acquired through a combination of job related training and work experience, demonstrating development through a series of progressively more demanding relevant jobs.
- Developing expertise and theoretical knowledge in own field, with specific aspects of deeper specialist skills and knowledge.
- Comprehensive knowledge of relevant systems, processes, policies, procedures, internal and external regulations, legislation and quality standards, plus appreciation of wider University and HE issues and how they impact on the job.
- Interpersonal and communication (written and verbal) skills. Building on the demand of Grade 5, this includes the ability to: understand/ interpret the requirements of others, present information to others, conduct effective internal and external relations, and deal with confidential/sensitive issues.

- IT literacy and/or up to date knowledge of relevant packages, equipment, hardware, software, databases, information systems and procedures, development and maintenance of websites, etc. Some jobs require in-depth skills/knowledge, eg hardware maintenance, programming skills, etc. Good keyboard skills (RSA III) also required for some roles.
- Building on the demand of Grade 5, well developed understanding of Health and Safety regulations and procedures.
- Well developed analytical/problem solving capability.
- Ability to assess and organise resources, and plan and progress work activities, projects, changes within own area of work, etc; using initiative and judgement with limited recourse to seniors.

## **GRADE 7**

The nature of work varies considerably at this grade but staff will have recognised expertise and will either be line managing/supervising an operational unit, service or team, providing specialist advice and support, or developing a teaching or research career. Contributions include project or contract management, responsibility for financial performance (cost control and/or some aspects of income) and/or input into planning and policy development. Well-developed written and verbal reporting skills are required in jobs at this grade.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Monitor and maintain records/reports to meet both internal and external (eg legislative or national) requirements.
- Report to and participate in relevant Committees to contribute to strategy, develop policies and practice, and make recommendations.
- Plan, design, develop, construct and refine experimental systems, apparatus, or equipment for teaching, research and related purposes.
- Manage departmental/project IT requirements and contribute to improvements to IT systems on a University-wide basis.
- Lead the organisation/operation of a defined work area, facility, service or support team; clarify requirements and monitor progress, ensuring agreed strategy, policies and business plans are implemented.
- Perform detailed analysis and manipulation of information, data and/or calculations, presenting results and making recommendations via briefings, presentations or written reports, to facilitate the interpretation of specific issues/problems and to support decision-making.
- Responsible for an area of work requiring substantial knowledge, skills or techniques and act as a recognised source of expertise including providing advice and support to others, personally or through delegation.
- Provide input into departmental/work area policy development through contribution of own expertise.
- Undertake short-term departmental project management or contribute as part of larger University-wide or external project teams, to support the achievements of project objectives.
- Carry out a plan of research, contributing as a team member to a broader programme, using methodology appropriate to the type of research, and write up findings for publication and dissemination. May contribute towards the writing of bids for research grants.
- Teach courses (to undergraduates and/or postgraduates), predominantly through lectures and seminars; collect/design and deliver course materials, set and assess coursework and exams, advise students on their progress and supervise practical work where it is part of the course.

### ***Customer Service***

- Provide specialist or professional advice and make recommendations within guidelines to support informed decision-making.
- Work with customers, other services and external agencies as appropriate to review and design/deliver service support mechanisms, practices and procedures, ensuring legal requirements and best practice are met.
- Draw on experience and expertise to design practical solutions to issues/problems. Involves taking necessary follow-up measures.

### ***Planning & Organising***

- Plan and organise activities in collaboration with senior colleagues or take delegated responsibility for longer term planning, within the overall direction and longer term plans of the work area, project, etc.
- Take responsibility for planning and organising resources and for effective decision making to support senior colleagues in meeting planned objectives. This includes taking into account issues such as cost and timescale implications, resource and skill requirements.
- Lead assigned project teams (usually of a short-term nature) or contribute as part of larger University-wide/external project teams, to support the achievement of project objectives.
- Contribute to developments in policies, procedures and plans in own work or department/service area. In teaching, this may include contributing to curriculum development and in research, contributing to the planning/ development of a research programme. Some jobs may contribute to the annual planning process.

#### ***Finance/Resource Management***

- Take delegated responsibility for managing budgets; overseeing resources and contracts for goods and services, ensuring budget constraints are met, maintaining financial records and highlighting any required corrective actions. Also offer input into the departmental resource planning process and contribute to business/income development.
- Ensure the purchase of stocks, equipment and consumables are maintained within a pre-set level of expenditure and contribute information about likely future physical resource requirements for the resources planning process within own area.
- Some jobs may have responsibility for information resources for the work area/project which could include; monitoring what is available, evaluating how it might be used, how it could be stored, etc, and deciding on acquisition within pre-set guidelines.
- Oversee the general maintenance and security of buildings, plant, machinery and equipment in the project or work area.

#### ***Internal and External Liaison***

- Liaise with the wider University body as required to represent the department/school/work unit in supporting work area and University activities.
- Attend external meetings and liaise with external contacts to represent and report on work issues or to contribute to collaborative initiatives, projects or events. Liaise and, in some roles, negotiate, with customers, key external contacts and service providers.

#### ***People Management***

- Coach and provide specialist guidance and support to others. In research this may include involvement in training research students. Also act as the main point of contact and take responsibility for the organisation and operation of an aspect of work.

#### **In non-supervisory jobs:**

- Delegate work to others, ensuring work is completed to required standards and timescales.

#### **In supervisory jobs:**

- Manage/supervise a team of staff operating within a well defined discipline, communicating requirements and monitoring and reviewing individual and team progress and performance, ensuring agreed strategy, policy and business plans are implemented.

#### **Knowledge, Skills and Experience**

- EITHER relevant academic, vocational or professional qualifications; plus 3-5 years related experience, OR Significant vocational experience of 7-10 years, demonstrating development through a series of progressively more demanding relevant jobs. Researchers have a PhD or the equivalent in professional qualifications and experience. Those in teaching-led jobs may also have a teaching qualification. Some roles are working towards professional accreditation.
- Well developed expertise and understanding of theory and operational knowledge in own field of work. For some jobs, this includes a detailed knowledge of own service area and products/services available.

- Comprehensive knowledge and understanding of relevant work practices, processes, policies, procedures, regulations, legislation, quality standards and codes of practice, plus appreciation of wider University and HE issues and how they impact on the job. For some roles, a broader sector/ commercial awareness is also required.
- Interpersonal and communication (written and verbal) skills. Building on the demand of Grade 6, this includes the ability to: explain/present complex information to non-experts, network and develop internal and external relations and motivate, develop and encourage the commitment to learn/secure high performance in others.
- In-depth/expert IT knowledge required for IT specific roles.
- Comprehensive understanding of Health and Safety regulations and procedures.
- Ability to analyse and solve problems with an appreciation of possible longer-term implications.
- Organisation and time management skills to plan and organise activities and events of some complexity.

## GRADE 8

Staff have a recognised reputation and expertise at a greater breadth and depth than at lower grades and are likely to be called upon regularly to provide expert authority or specialist advice. Professional or technical staff may have management responsibility for a diverse team and resources; delivery of a significant service, area of estate, operational or leisure facility; or alternatively may be providing a support service (eg specialist activity, design or project management) as experienced individual advisers. For academic staff involved in research and teaching, Grade 8 represents the career grade, although roles focussing mainly on either teaching or research may have progressed from Grade 7.

Work often involves integration/co-ordination across different parts of the department/school/University and most roles are involved in developmental work (eg relating to strategy, policy, curriculum development, research programmes, etc). Financial impact could be significant, whether on directly managed resources, projects or income development.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following: Specialist Activities***

- Oversee and ensure that information storage and retrieval processes in the relevant work area are effective and up to date so that both internal and external (eg legislative or national) requirements can be met.
- Report to, and participate in, relevant Committees to contribute to the overall management of the department/school and to the development of strategy, policy and practice.
- Take a lead in planning, designing, developing, constructing and refining complex and specialist experimental systems, apparatus, or equipment for teaching, research and related purposes; or for developing or adapting IT systems and new technology with significant/University-wide impact.
- Lead and manage the organisation/operation of a significant/diverse facility, service or team of staff and delegate work activities and responsibilities to deliver specific goals, ensuring agreed strategy, policies and business plans are implemented.
- Design experimental/analytical protocols; identifying trends and solutions, sourcing additional information, reporting on progress and making recommendations via briefings, presentations or written reports.
- Responsible for an area of work/complete service requiring substantial knowledge, skills or techniques and act as a recognised source of expertise including providing advice and support to others, either personally or through delegation to appropriate team member.
- Contribute or take a lead in departmental/work area policy development through contribution of own expertise.
- Undertake departmental project management, and lead and/or contribute to a range of projects for the University, employing formal techniques to carry out work. Project work may be across teams and could also involve other departments/ external collaborations.
- Develop and carry out a plan of personal research and/or lead or contribute to a research team; developing methodologies and techniques appropriate to the type of research, developing and winning support for research proposals and funding bids and disseminating and presenting findings in publications and conference proceedings.
- Teach and examine courses (to all levels of student), through lectures, seminars and personal supervision; collect/design and deliver course materials; coach and support tutorial groups, advise students on their progress, supervise practical work as appropriate and set/assess coursework and exams. May also undertake co-ordination roles for the department.

### ***Customer Service***

- Provide expert advice to a variety of customers, possibly on a University-wide/external basis.
- Identify additional service requirements or shortfalls (or review and improve existing service provision), co-ordinating and/or designing the delivery of innovative customer solutions.
- Apply expertise and use judgement to make decisions where solutions are not obvious, to meet customer requirements.

### ***Planning & Organising***

- Plan and organise individual or team activity over longer-scales ensuring plans complement and feed into the plans of the relevant work area/project, and that there is cohesion with other relevant areas of the department/ school/University.
- Set, or make recommendations (eg to Committees, senior colleagues, etc) on what priorities should be in the relevant work area, and allocate resources to meet planned objectives, requirements and timescales.
- Project manage activities to facilitate major service or operational changes, or high quality research, either within department/school/section or for University-wide/external projects.
- Contribute to, or take a lead in, the development of policies, procedures and plans in own work area/ department/school/section/service. In teaching, this may include developing courses or contributing to curriculum development and in research, planning/developing research programmes. Some jobs may contribute to the annual planning process.

### ***Finance/Resource Management***

- Monitor and take responsibility for managing allocated assets, resources and budgets in the relevant work area. Also contribute to resource and budget planning and contribute to business and income development.
- Manage the stock control/purchasing system in the relevant work area, ensuring that University financial procedures are adhered to and liaising and negotiating with internal and external suppliers.
- Building on the demand of Grade 7, oversee the general maintenance and security of buildings, plant, machinery and equipment in the project or work area.

### ***Internal and External Liaison***

- Liaise and communicate with large proportions of the University body, and occasionally with the entire institution.
- Liaise and mediate with external bodies and stakeholders promoting policy, practice, or research outputs etc; establishing good relations/improving standing in the community; and contributing to collaborative initiatives, projects, meetings and events. The most experienced job holders at this grade may be involved in the initiation and leadership of networks on behalf of the department or University. Negotiate and manage contracts with customers, key external contacts and service providers on behalf of the department and University.

### ***People Management***

- Provide specialist guidance and support and act as mentor/coach, which may involve training and/or identifying development needs for others, to support their occupational development. In research this may include undertaking supervision of PhD students. Also act as main point of contact and be responsible for the organisation and operation of an aspect of work, gained through a detailed understanding of the theory and principles underpinning the particular field of work.
- Manage/supervise a diverse group of staff to ensure the successful delivery of an administrative/professional/ technological/operational service; communicating requirements and monitoring and reviewing individual and team progress and performance.

### **Knowledge, Skills and Experience**

- EITHER Relevant academic, vocational or professional qualifications/relevant formal training; plus 3-6 years similar or related experience, OR extensive vocational experience of 10 years or more, with evidence of development through a series of progressively more demanding jobs.
- Accreditation to professional status is required for some jobs.
- Academics have a PhD or the equivalent in professional qualifications and experience. Those in teaching-led jobs may also have a teaching qualification plus considerable post-qualification teaching and/or research experience and achievement, reflected by a growing reputation and demonstrated success. Includes experience of designing, developing and delivering research programmes, course materials and learning methods/programmes and devising models, techniques and methods.
- Recognised and substantial expertise and developed understanding of theory in own field of work, which has been acquired over a number of years.
- Comprehensive knowledge of the systems and services and their varied applications, work practices, processes, policy and procedures for own area. Also, understanding of University issues, broader sector/commercial awareness and understanding of the regulations, legislation and national codes of practice and the implications of non-compliance. Understanding of relevant planning and budgeting processes and the ability to control budgets and contracts for goods and services also required.
- Interpersonal and communication (written and verbal) skills. Building on the demand of Grade 7, this includes the ability to: explain concepts and complex information to non-experts; present material to a range of audiences. Some roles also require a diplomatic manner and skills in counselling others.
- Extensive IT knowledge or an aptitude for IT, coupled with an appreciation of its relevance to the specialist area.
- Building on the demand of Grade 7, comprehensive understanding of Health and Safety regulations and procedures.
- Ability to analyse and solve problems of a complex nature and where relevant, to think strategically, eg when making decisions and formulating policy. Also requires the ability to take a lead in the development and improvement of services.
- Ability and experience of complex and long-term planning and organising, and experience of managing the activities of self and others. May include project management experience.

## GRADE 9

Individuals have a substantial reputation in their field, and make a significant impact on the institution and on their discipline to a greater degree than at lower grades. Professional roles commonly reflect extensive experience with high-level expertise, exercising substantial independent responsibility and discretion and working to broad parameters and policy guidance. Academic roles often include substantial contributions in research, teaching, leadership and management.

Typical Work Activities:

***The following describes the type of work that is typically required of staff at this grade. It is not expected that anyone carries out all the activities mentioned below and some carry out additional duties. However, staff are normally involved in some of the following:***

### ***Specialist Activities***

- Contribute significantly to the development and running of the department, for example through chairing/contributing to departmental/faculty and University meetings and Committees to facilitate the decision making process, or by leading specific departmental processes. Also create and anticipate opportunities that will benefit the department/section/University.
- Make decisions on the use of specialist equipment and IT systems for work area, based on advice of others and own experience.
- Take overall management responsibility and leadership for the service provided by a significant section, including effective maintenance of existing systems and the innovation and implementation of new developments.
- Direct analysis and advise on presentation of results provided by others.
- Provide expert advice and guidance according to own specialist area and solve any problems that arise, either personally or through delegation to appropriate team member. Includes providing expert advice and information on relevant issues to senior management and Committees and dealing with major issues that could have a negative impact on the University if not handled appropriately.
- Contribute indirectly to the development of policy for the University, and to the development of the University's Corporate Plan, through the contribution of own specialist expertise and assistance in planning and implementation. Also develop and implement revised or new policies and processes in own area, liaising with senior management to ensure coherence with policies and practices across the University.
- Undertake project management at a University-wide level, employing formal techniques to carry out work and ensuring that each project is delivered on time and within budget.
- Demonstrate/maintain research activity of a substantial external reputation by: generating research direction for self and others within research objectives; identifying funding sources, generating funding and preparing proposals; carrying out research; disseminating findings to the wider community through a high output of publications or contributions of exceptional quality; editing and refereeing manuscripts for peer-reviewed journals; supervising research staff/students; and participating actively in the development of the department /school/section's research strategy.
- Act in senior roles within the department/school/faculty to advance student academic development at all levels by: designing, preparing, co-ordinating and delivering courses and teaching programmes, including preparing and supervising different modes of assessment; supervising and advising students; acting as internal and external examiner for postgraduate students; coaching and supporting tutorial groups; developing new approaches to learning and teaching methods and coaching/advising others; and by contributing to the development of teaching and learning policy locally, and debate nationally through publications, conference activity and roles that advance quality in the discipline. This may be underpinned by research and evaluation of teaching methods and systems.

### ***Customer Service***

- Apply broad and/or deep knowledge and experience of work area/field of expertise to provide advice and guidance to others (internal/external) or to address significant issues, some of which are multi-disciplinary in nature.
- Take responsibility for service delivery in own area regarding compliance with current and future objectives, service level agreements, internal/external regulations, and national codes of practice.
- Evaluate existing service provision, taking account of feedback and broader developments in the external market place, to ensure appropriate developments/innovative solutions are proposed that enhance service quality and efficiency.

### ***Planning & Organising***

- Plan operations, activities and programmes of work in own area over many months, considering current and longer term implications, to support school/department/work unit objectives.
- Determine priorities and allocate resources, contributing to senior management staffing/resource level planning to meet long-term objectives.
- Manage key projects, often with University-wide impact and oversee a number of projects, ensuring each project is managed and delivered on time and within budget.
- Develop and implement operational plans, participate in the annual planning process and contribute to longer-term plans for the area to fit with broader functional and University strategy and support the school/ department/work unit's strategic direction.

### ***Finance/Resource Management***

- Manage budgets for the section and utilise allocated budget and resources effectively and flexibly, controlling all related expenditure to ensure delivery of targets/objectives within budget. Contribute to planning and budgetary statements and delivery of service within budgetary constraints. Also contribute to business and income development.
- Advise on future physical resource requirements within own area, eg equipment, apparatus, space, furniture and fittings, etc.
- Building on the demand of Grade 8, oversee the general maintenance and security of buildings, plant, machinery and equipment in the project or work area.

### ***Internal and External Liaison***

- Interact at senior levels and promote own work area and activity within the University.
- Develop and maintain standing and network (including initiating and leading networks) with fellow professionals in the wider community, representing and promoting own work area and activity on external platforms. Liaise with service users to establish service requirements and priorities.

### ***People Management***

- Manage staff, ensuring they have the skills and motivation to carry out their work whilst contributing to the overall aims of the department/division. Also act as coach and mentor to other, less experienced staff.

### ***Knowledge, Skills and Experience***

- EITHER Relevant academic, professional qualifications/relevant formal training; plus 7 years or more of similar or related experience, OR extensive vocational experience of 10 years or more. Experience required includes significant managerial or in-depth experience in a specialist area, demonstrating professional development in a series of progressively more demanding and influential jobs.
- Accreditation to professional status is required for some roles.
- Academics have a PhD or the equivalent in professional qualifications and experience, and possibly a teaching qualification, plus substantial teaching and/or research experience and

achievement reflected in substantial external reputation. Includes wide experience of planning and leading research and teaching programmes and of developing methods, techniques and sources of funding. Also requires experience of academic supervision of students, preferably at postgraduate or doctoral level.

- Highly developed knowledge of principle, theory and practice in own field of work as well as an awareness of broader developments relevant to area.
- Authoritative knowledge of the systems, services, regulations and procedures for own area, as well as a good understanding of how the core business areas of the institution relate to each other, and how the wider HE and broader sector/commercial issues impact on work in own area. Also experience of managing and controlling budgets/resources/funding and an understanding of financial management procedures.
- Interpersonal and communication (written and verbal) skills. Building on the demand of Grade 8, this includes the ability to: negotiate, influence and persuade; communicate complex concepts/policy decisions, etc to others; understand, conceptualise and interpret the requirements of others, and lead, manage, motivate, and develop others. Experience of working with and influencing senior management may also be required.
- An aptitude for the use of IT, coupled with an understanding of its relevance to the specialist area.
- Building on the demand of Grade 8, comprehensive understanding of Health and Safety regulations and procedures.
- Analytical skills, along with the ability to resolve issues and problems using own creative solutions.
- Ability and experience of complex and long-term planning and organising, and experience of managing the activities of others. Includes experience of/ability to manage high-profile change and large-scale projects.



## Appendix 2

### Red Circling: Guidance Notes and Examples

As you will be aware from the enclosed letter, it has been established that your job matches to a grade which is lower than indicated by your old grade and salary. This means that you have been red circled. As a result your pay has been frozen and will be protected for a period of four years, or until annual cost of living rises make the top point of the normal range in your new matched grade (known as your target point) greater than or equal to your frozen salary, whichever occurs first (please see the examples overleaf).

You will be invited to a meeting with your Head of Department and Supervisor in the near future in order to consider how red circling will be addressed for you. If it seems appropriate, an HR Adviser will also attend the meeting.

Prior to the meeting, you should consider how you would prefer red circling to be addressed for you, taking into account the three options listed below. You will be asked for your views on these options during the meeting with your Head of Department and Supervisor.

Red circling can be handled in one of three ways:

1. **Developing your job** to a stage where it can be re-graded
2. **Developing yourself** to allow you to be a strong candidate for a higher graded vacancy either within the Department or elsewhere in the University
3. By recognising that in certain circumstances you may wish to **maintain your current levels of responsibility** and accept the new position with your salary protected for four years.

To assist with options 1 and 2 above, you will be offered a Personal Development Plan to help you to reach the full potential of the post and/or to maximise your own personal potential. A nominated individual (usually your Supervisor) will help you to develop this plan. You will be allowed access to development activities and training, which are agreed to be of benefit, during the four years of the Personal Development Plan. There will be a formal review after six months and then annually once the Personal Development Plan has been set.

#### **Developing your job (Option 1)**

If your job is to be developed, your Head of Department will identify new duties and responsibilities to add to your job from elsewhere in the Department. During the four year period a job re-grading may be requested, following any review, by either your supervisor or yourself in line with the new/revised promotion procedures to assess whether the higher grade has been reached. If the job is assessed as being at a higher grade, you will move to the next salary point on the new grade above your salary at that time.

#### **Developing yourself (Option 2)**

Where it is not possible to develop your job further, a set of personal objectives and targets should be drawn up which will be aimed at developing you to your full potential. The intention of this is to allow you to apply for alternative jobs elsewhere in the University, should an opportunity arise at a date in the future.

#### **Maintaining your current levels of responsibility (Option 3)**

If you wish to maintain your current levels of responsibility no action will be taken to develop your job. Your salary will move to your target salary either when cost of living rises make your target salary greater than or equal to your frozen salary or after four years, whichever occurs first.

If you have any queries regarding the above please contact your Head of Department, Supervisor or customary HR Adviser within the Department of Human Resources.

### **Examples of how salary freezing and protection work in practice**

Salary protection means that the salary is frozen for 4 years or until cost of living rises make the target salary catch up with or exceed the current salary. Once the salary is unfrozen, cost of living rises apply.

The following examples show how salary freezing and protection over four years work, using three different scenarios. These examples should be understood as illustrations only, not as the only three outcomes of salary protection.

The examples assume cost of living rises of 2.8% over the four year period.

#### **Example 1: Target Salary applies after less than 1 year**

In this example the person's salary is £13,953 and the job is red circled to Grade 3.

The target point is Grade 3 point 5 i.e. the top point on the normal range in Grade 3.

	Frozen Salary £	Grade 3 point 5 target salary £	Salary status	Salary for next year £
Oct 05 assimilation	13,953	13,778	frozen	13,953
backdated Aug 05 cost of living		14,164	salary unfrozen	14,164
Aug 06 cost of living		14,561	cost of living applied	14,561

**Example 2: Salary is reduced to equal Target Salary after the 4 years of protection are complete**

In this example the salary is £34,227 and the job red circled to Grade 7.

The target point is Grade 7 point 9 i.e. the top point on the normal range in Grade 7.

	Frozen Salary £	Grade 7 point 9 target salary £	Salary status	Salary for next year £
Oct 05 assimilation	34,227	28,850	frozen	34,227
backdated Aug 05 cost of living		29,658	frozen	34,227
Aug 06 cost of living		30,448	frozen	34,227
Aug 07 cost of living		31,342	frozen	34,227
Aug 08 cost of living		32,219	frozen	34,227
Aug 09 cost of living		33,122	target salary applies. Salary is no longer frozen	33,122
Aug 10 cost of living		34,049	cost of living applied	34,049

**Example 3 : Target Salary applies after 3 years**

In this example the salary is £40,091 and the job red circled to Grade 8.

The target point is Grade 8 point 7 i.e. the top point on the normal range in Grade 8.

	Frozen Salary £	Grade 8 point 7 target salary £	Salary status	Salary for next year £
Oct 05 assimilation	40,091	36,546	frozen	40,091
backdated Aug 05 cost of living		37,569	frozen	40,091
Aug 06 cost of living		38,621	frozen	40,091
Aug 07 cost of living		39,703	frozen	40,091
Aug 08 cost of living		40,814	target salary applies - salary is unfrozen	40,814
Aug 09 cost of living		41,957	cost of living applied	41,957

## The effect of Exceptional Contribution awards on red circling

Staff who are red circled are eligible, along with all other staff, to receive Exceptional Contribution awards. Exceptional Contribution awards apply to red circled staff in the following way:

### First Exceptional Contribution Award:

A one off payment equal to an increment is made.

### Second consecutive Exceptional Contribution Award:

The target point is raised to the next increment and a one off payment equal to an increment is made. Depending on individual circumstances this will either reduce the gap between frozen salary and target salary (so the salary may be unfrozen more quickly) or unfreeze the salary altogether.

For more information about Exceptional Contribution awards, please refer to the Implementation of Framework Agreement document, which was sent to all staff.

The example below shows the impact of two consecutive Exceptional Contribution awards on Example 3 above. Again the target point is Grade 8 point 7. Here you can see that the salary is unfrozen more quickly than previously.

	Frozen Salary £	Target Point Salary £	Salary status	Salary for next year £
Oct 05 assimilation	40,091	36,546	frozen	40,091
backdated Aug 05 cost of living		37,569	frozen	40,091
1st E.C. award	One off payment equal to an increment is made			
Aug 06 cost of living		38,621	frozen	40,091
2 <sup>nd</sup> E.C. award	39,780 Target point moves to grade 8 point 9 which reduces the gap between frozen salary and target point salary. A second one off payment equal to an increment is made			
Aug 07 cost of living		40,894	unfrozen	40,894
Aug 08 cost of living		42,039	cost of living applied	42,039



## Appendix 3

### Red Circling Management Guidance Notes

#### **1. Introduction**

The following guidance notes have been compiled to assist Heads of Departments and Line Managers in dealing with staff who have been identified as red circled during the implementation of the University of Sheffield Grading Scheme.

Red circling occurs when an individual member of staff is matched into a grade lower in salary terms than that indicated by their old grade. In these circumstances individuals will have their pay frozen and protected at its current level for a period of four years, after which time their pay will revert to the top point of the normal range of their allocated grade (their target salary). In many cases, annual cost of living rises will make their target salary greater than or equal to their frozen salary before the end of the four years. At this time, the individual will move to their target salary.

These guidance notes apply to all staff covered by the University of Sheffield Grading Scheme. They are designed to promote good practice and to provide a framework for the effective management of staff who have been red circled following assimilation onto the new pay spine. The aim behind the procedure is to grow the job, but it must be recognised that this is not always appropriate and practicable.

Throughout these notes the title of 'supervisor' is to be taken as the first line manager to whom the member of staff concerned reports formally on a day to day basis.

#### **2. Consideration of how to address the red-circling decision**

Following communication of the red-circling decision to the member of staff, the Head of Department and Supervisor should arrange a meeting with the individual. If required, the Department's customary HR Adviser from the Department of Human Resources will also be present at this first meeting.

Prior to the meeting with the member of staff, the Head of Department and Supervisor should consider how the red circling issue will be addressed. This can be done in one of three ways:

- The individual growing their job to a stage where it can be re-graded (section 2.2)
- Personal development to allow them to be strong candidates for higher graded vacancies both within the Department and elsewhere in the University (section 2.3)
- By recognising that in certain circumstances the individual may wish to maintain their current levels of responsibility and accept the new salary position at the end of the four year period of protection (section 2.4).

During the meeting notes should be taken of the discussion and a summary recorded on Appendix 1.

## **2.1 Personal Development Plan**

To assist with the first two options above, the individual will be offered a Personal Development Plan to assist them to reach the full potential of the job and/or to maximise their own personal potential.

It is recommended that a number of short, medium and long term objectives are set in line with departmental aims (Appendix (ii)). During the four years of the personal development period all reasonable efforts will be made to assist the individual to develop. This will include allowing the individual access to any developmental activities e.g. working alongside a more senior colleague, a staff development interview or assessment and any training which may be of benefit.

The Head of Department will identify an appropriate person (usually the Supervisor) to work with the member of staff in developing an appropriate and realistic Personal Development Plan. Support and advice can be sought from the Customary HR Adviser and/or a Staff Development HR Adviser.

An additional individual meeting may be necessary to agree the Personal Development Plan. This will be followed by a formal review after six months and then annually once the Personal Development Plan has been set.

Work on the Personal Development Plan should continue even if an individual's salary becomes unfrozen through cost of living rises.

## **2.2 Developing the job**

The post of a member of staff on a protection arrangement will be assessed by the Head of Department to determine whether it is appropriate, and in the management interest, to develop the job. This may include identifying new duties and responsibilities to add to the job from elsewhere in the Department. If further opportunities for the job are identified, the Personal Development Plan for the individual will be developed around these at an appropriate time.

During the meeting with the member of staff, the Head of Department and Supervisor should discuss with the individual their ideas for developing the job beyond the current responsibilities. The member of staff may also have ideas regarding how the job can be developed and should be given every opportunity to contribute to this discussion.

A set of personal objectives and targets should then be drawn up aimed at developing the job to the benefit, and in the interests, of the Department and the University.

A job grading may be requested by the job holder or the line manager, in line with the new/revised annual promotion procedures, following any review to assess whether the higher grade has been attained.

If still applicable, a job grading will be undertaken towards the end of the protection period to assess whether the higher grade has been attained. If there is not adequate growth, and salaries have not caught up, the salary will move to the target salary at the end of the four year period.

If at any time during the four year period the job is assessed as being at a higher grade than previously, the individual member of staff will move to the next salary point on the new grade above their salary at that time, and the protection agreement will end.

There is no guarantee that a member of staff will move to a higher grade, but the Personal Development Plan will allow individuals opportunities which might otherwise not have been available or considered.

The Head of Department and Supervisor may also wish to consider other opportunities arising within the department, for example, the departure or retirement of a member of staff whose duties are currently at a higher level. However when considering these options it is important to bear in mind other staff who may be eligible, due to the expiry of a fixed term contract for example. It is recognised that it may not always be possible to develop the job beyond its current boundaries, and guidance on this matter can be found below.

### **2.3 Developing the individual**

In those cases where it is not possible to grow the job further a set of personal objectives and targets should be developed, using the Personal Development Plan template. The plan should be aimed at developing the individual member of staff to their full potential. The intention of this is to allow the individual the opportunity to apply for alternative jobs elsewhere in the University, should an appropriate opportunity arise at a future date, and should focus on the realistic career aspirations of the individual. A summary of the reasons for the decision not to develop the job further should be noted on Appendix (i).

It is important that prior to embarking on this route this option should be discussed with the Department's Customary HR Adviser.

### **2.4 Maintaining current levels of responsibility**

If the individual wishes to maintain their current levels of responsibility their salary will be reduced to the target salary after a period of four years and no action taken to develop the job. It is important that the individual is aware of the implications of making this decision and Appendix 1 should be completed and signed by the member of staff to confirm that they do not wish to grow their job.

Any development opportunities will then be agreed through the annual Staff Review and Development Scheme, in the same way as for staff who have not been red-circled.



Appendix (ii)



**PERSONAL DEVELOPMENT PLAN FOLLOWING  
JOB MATCHING OUTCOME**

<b>Timescale</b>	<b>Development area</b> What knowledge or skills do I need to develop?	<b>Development Activity</b> How am I going to acquire the necessary skills and knowledge?	<b>Target Date</b> When will I do it? Do I need milestones along the way?	<b>Expected outcomes</b> How will I know I have achieved this? What will I do differently as a result?
<b>Short term objectives</b>				
<b>Medium term objectives</b>				
<b>Long term objectives</b>				

Signed: .....  
Manager

Date: .....

Signed:.....  
Staff member

Date: .....



## Appendix 4

### Appeal Process: Guidance Notes

This is the process for a job holder to follow if s/he wishes to make an appeal.

#### Submission of Appeal Form:

- A job holder who wishes to appeal against his/her grade should submit an Appeal Form, stating the grounds for appeal (Ground A or Ground B) within **4 weeks** of receiving his/her personal assimilation statement and letter. The Appeal Form can be found at [www.shef.ac.uk/payandreward/appeals](http://www.shef.ac.uk/payandreward/appeals) or requested by ringing the Department of Human Resources, Pay & Reward on 21495.
- If there is a valid reason why the job holder is unable to submit an Appeal Form within the specified time limit, s/he should contact Human Resources, Pay & Reward on 21495 to discuss this further.
- The job holder will be contacted within **2 weeks** of submitting the appeal to acknowledge its receipt and outline any required actions.
- The job holder's records are initially checked for administrative errors, and, if this is the case, the errors will be rectified and the job holder informed by letter (copied to Head of Department).

**Ground A:** Applies to job holders who claim information was omitted from the job summary form *at the time the job summary was submitted*. This does not include new activities and responsibilities that have been undertaken since the job matching process was carried out in the job holder's department.

- Receipt of the appeal under Ground A is acknowledged by letter, and the job holder asked to submit a new job summary form to provide information about the job that was missed from the original job summary form. The form must be signed by both the Line Manager and the Head of Department (or delegates), and submitted to Human Resources, Pay & Reward, within **3 weeks**.
- Receipt of the job summary form is acknowledged via email or letter.
- The job is then re-matched at a job matching meeting involving the Head of Department, another senior manager, and staff from Human Resources: normally the customary HR Adviser and a representative from Pay & Reward.
- The job holder is informed of the outcome by letter (copied to the Head of Department), with a short summary of reasons for the outcome.
- The appeal is assumed to be closed unless Human Resources, Pay & Reward are informed otherwise by the job holder, in writing, within **2 weeks** of the receipt of the letter. If the job holder wishes to continue the appeal, this will now be submitted under Ground B (see below), or if the job holder chooses, the appeal can go straight to Final Appeal (see overleaf).

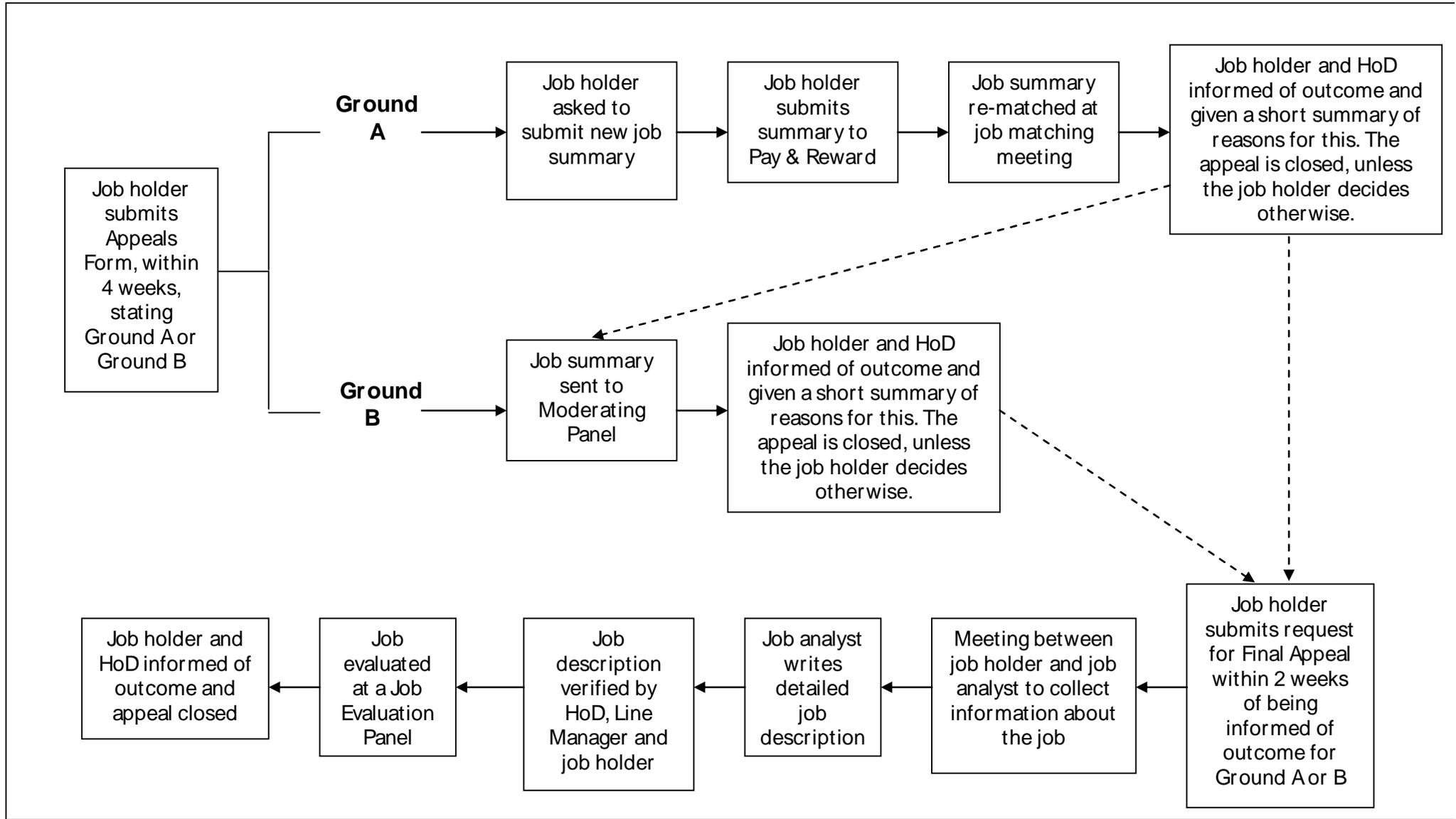
**Ground B:** Applies to job holders who claim that there was an incorrect application of grading criteria during job matching and assimilation.

- The receipt of the appeal under Ground B is acknowledged and the job holder informed of the process involved.
- The existing job summary form is sent to the Moderating Panel to be re-matched. All documents will be anonymous.
- The Moderating Panel normally consists of a senior University representative, a senior member of Human Resources and a Trade Union representative.
- The job holder is informed of the outcome by letter (copied to the Head of Department), with a short summary of reasons for the outcome.

- The appeal is assumed to be closed unless Human Resources, Pay & Reward are informed otherwise by the job holder, in writing, within **2 weeks** of the receipt of the letter. If the job holder wishes to continue with the appeal, this will now go to Final Appeal (see below).

**Final Appeal:** Applies to job holders who wish to continue their appeal after being informed of the outcome of the initial appeal (under Ground A or B).

- A letter is sent to the job holder acknowledging his/her request for the job to go to Final Appeal. The Head of Department and Line Manager are also informed.
- A job analyst arranges a meeting with the job holder to collect information about the job. The job analyst writes a detailed job description for the job, which is sent to the job holder, the Line Manager and the Head of Department for verification.
- The job is then evaluated at a Job Evaluation Panel. The job holder has the opportunity to present a case before the evaluation, either in writing, in person and alone, or in person and accompanied (by a colleague or Trade Union representative). The Head of Department (or nominee) also has the opportunity to present on behalf of the department.
- The job holder and Head of Department are informed of the outcome by letter.
- The appeal is then closed.





## Appendix 5

# Staff Review and Development Scheme

## Information and Guidelines – 2005/06

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### 1. Principles of the Scheme

The University of Sheffield's Staff Review and Development Scheme applies to all members of staff.<sup>2</sup> It is based on the following principles, with the intention of bringing benefits to individual staff, to departments and to the University as a whole:

- a. That the University should have a process to ensure that every individual member of staff's objectives and contribution is in line with their department's aim of continued improvement of institutional performance;
- b. That all staff should have the opportunity, at least annually, to receive feedback from their manager<sup>3</sup> on how they have met the requirements of their job summary, how well they have met their own objectives and how they have contributed to meeting departmental and, where appropriate, University objectives;

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<sup>2</sup> Except those on clinical consultant contracts for whom a separate scheme is in place.

<sup>3</sup> Or appropriate reviewer

- c. That all staff should have the opportunity, at least annually, to discuss and agree individual objectives with their manager;
- d. That all staff should have the opportunity, at least annually, to reflect on development undertaken and to discuss and agree future development needs to help meet their objectives;
- e. That all staff should have an equal opportunity to progress within grades. This incorporates both an expectation of normal progression up to the contribution threshold and the opportunity to be considered for additional reward based on the outcome of their review;
- f. That the University should have a consistent and evidence-based mechanism for recognising and assessing the contribution of all staff towards meeting departmental and University objectives;
- g. That there should be a process both at departmental and University level for monitoring and moderating the outcomes of the scheme;
- h. That there should be transparent procedures for implementing the outcomes of staff review and development meetings;
- i. That SRDS is not the mechanism for withholding increments;
- j. That it provides a route for the instigation of performance improvement measures;
- k. That the University retains the right to withhold increments as part of performance improvement measures;
- l. That the scheme should be reviewed on a regular basis.

The annual SRDS meeting is set against an expectation of ongoing performance management, i.e. regular communication between managers and their staff about departmental and individual priorities, about progress towards meeting objectives, to ensure these are kept under review and remain relevant, and about ongoing support and development needs.

The basis for the SRDS discussion will be:

- The individual's main duties and responsibilities (as set out in the Job Summary)
- Specific objectives agreed at the previous meeting (taking account of any interim review)

The reviewer must have an informed and detailed discussion with the reviewee about his/her job and objectives in order to provide feedback on contribution. It is therefore expected that the reviewer will normally be the immediate manager of the reviewee.

## **2. The SRDS Process**

The key activities of the SRDS process, and the main responsibilities at each stage, are indicated below. See Sections 3, 5 and 6 for more detail.

The process should be completed within departments by the end of July to allow for recommendations to be confirmed and decisions regarding Exceptional Contribution Awards (ECAs) to be implemented. **Note: SRDS will not be the mechanism for recommending ECAs to be paid in February 2006.**

Heads of Department will be notified by the Department of Human Resources of the specific date for completion of the process each year.

Activity	Responsibility	Outline timetable
Departmental arrangements for the implementation of SRDS should be confirmed and communicated to all staff; this information should include the pairings of reviewers/reviewees and the internal timetable for the process	Head of Department; senior member of staff with lead responsibility for SRDS	Start from January
All staff are briefed on University, departmental and team priorities	Head of Department and other managers	
Reviewers and reviewees to undertake appropriate training	Department of Human Resources (Staff Development)	
SRDS meetings arranged and held	Reviewer to take the lead	
Outcomes of SRDS meetings considered by the Departmental Review Panel (DRP)	Head of Department; other senior colleagues as appropriate	
Recommendations from DRP are communicated to the Department of Human Resources	Head of Department; senior member of staff with lead responsibility for SRDS	By end of July
Decisions confirmed	Senior Management Group	By end of October
Decisions communicated to staff	Head of Department; Department of HR	By end of November
Decisions relating to Exceptional Contribution Awards implemented	Departments of Human Resources and Finance	December (in future - for inclusion January salary)

### 3. Roles and Responsibilities

#### 3.1 Heads of Department

As Head of Department, you are responsible for:

- a) ensuring that the SRDS is implemented for all staff in your department on an annual basis. Responsibility for managing the process within the department may be delegated to a Deputy Head or other senior colleague as appropriate.
- b) ensuring that reviewers and reviewees are appropriately paired. In the majority of cases the reviewer will be the immediate manager of the reviewee. Reasonable requests for a different reviewer should be considered but the appropriateness of the pairing must take into account the intended outcomes of the SRDS process. Reviewers should normally have responsibility for a maximum of six reviewees.

- c) ensuring that all staff are briefed on departmental and relevant University objectives and priorities so that discussions between reviewers and reviewees are set in that context.
- d) ensuring that all staff acting as reviewers undertake appropriate briefing/training prior to undertaking any SRDS meetings.
- e) ensuring that a Departmental Review Panel is set up to consider the outcomes of SRDS meetings. It is expected that the DRP will be chaired by the Head of Department and will normally consist of senior staff reflecting the composition of the department, e.g. the departmental management/executive team.
- f) ensuring that DRP recommendations are communicated in line with University requirements (see Sections 5 and 6).
- g) ensuring that issues and concerns raised by reviewees during SRDS meetings are considered and addressed as appropriate, either directly or via the reviewer.
- h) ensuring that the process is kept under review at departmental level in order to meet University requirements and to be both efficient and effective in order to provide maximum benefit to the department and to individual staff.

### **3.2 Reviewers**

As Reviewer, you are responsible for:

- a) undertaking the appropriate SRDS training prior to holding any review meetings.
- b) ensuring you are fully briefed on departmental and relevant University objectives and priorities so that any discussions with reviewees are set in that context.
- c) making arrangements for the review meeting (giving at least two weeks notice). You should take care to ensure that the location for the meeting is appropriate and free from interruptions. You should allow at least one hour for the meeting.
- d) considering the reviewee's self-review (which should be submitted to you at least one week prior to the meeting).
- e) ensuring the meeting is open, supportive and constructive, and that all issues raised by the reviewee prior to and during the meeting are discussed. You should ensure that any individual objectives agreed with the reviewee, and that any identified development needs, are in line with departmental priorities and objectives. When conducting the meeting you should also seek to be open-minded, encouraging and positive; ask open-ended questions in order to allow the reviewee to express themselves fully; recognise achievements and offer feedback on the reviewee's contribution; seek to address concerns or problems in a constructive way.
- f) ensuring that all the forms are completed, signed and submitted to the Head of Department, within two weeks of the meeting.
- g) ensuring feedback is provided to the reviewee as appropriate, i.e. on decisions relating to development needs (see Section C.2) and/or on recommendations from the Departmental Review Panel (see Section 5).

- h) ensuring that you follow up any agreed action points within the agreed timescale; if this cannot be done, you should inform the reviewee and/or the Head of Department as appropriate.

### **3.3 Reviewees**

As Reviewee, you are responsible for:

- a) preparing for the meeting by reading the SRDS Guidelines, attending relevant team/departmental briefings and undertaking training as appropriate.
- b) completing the Self-Review (Form A, Sections A1-A3) and submitting this to your reviewer at least one week prior to the meeting. See Section 4 of these guidelines for notes on completion of the forms.
- c) having an open and honest discussion with your reviewer about all aspects of your work, your contribution to achieving team/departmental objectives and forward planning in terms of your individual work objectives and any development needs you may have.
- d) signing the completed forms within five working days of receiving them from your reviewer.
- e) taking any follow up action as agreed at the meeting.
- f) keeping your reviewer informed of progress towards achieving individual objectives and undertaking agreed development activity. You should alert your reviewer to any issues or circumstances that might affect your ability to make progress in line with agreed outcomes of the SRDS meeting.

### **3.4 Departmental Review Panel**

It is expected that the Departmental Review Panel (DRP) will be chaired by the Head of Department and normally consist of senior members of staff (e.g. the senior management team/executive group); other managers may be invited to contribute to the DRP discussions in order to provide supporting information on a particular case.

The DRP is responsible for:

- a) considering a summary report of all outcomes of SRDS meetings in order to monitor and moderate the process at departmental level.
- b) giving particular consideration to cases where a recommendation relating to an Exceptional Contribution Award has been made by the reviewer; the DRP is required to recommend whether or not the reviewer's recommendation should be endorsed.
- c) giving particular consideration to cases where the reviewee has indicated particular concerns or issues regarding the outcome of the SRDS meeting; the DRP is required to make a recommendation based on information provided by the reviewer and the reviewee.
- d) communicating its recommendations to the Department of Human Resources in line with agreed timescale.

### **3.5 Department of Human Resources**

The Department of Human Resources is responsible for:

- a) providing information, guidance and training on the SRDS process for all staff.
- b) setting and communicating the annual timetable for implementation of the SRDS process.
- c) collating the outcomes of SRDS meetings (based on information provided by departments) and presenting a summary report to the University's Senior Management Group.
- d) undertaking monitoring and moderation at University level and producing management information on the process.
- e) providing information relating to pay progression decisions to the Department of Finance (Salaries).
- f) communicating final decisions relating to pay progression to Heads of Departments and to individual staff in line with agreed procedures.
- g) undertaking regular reviews of the SRDS process to ensure it continues to meet its objectives and is implemented both effectively and consistently

#### 4. Guidance on completion of the SRDS Forms

##### Form A - Self-Review and Forward Planning

The reviewee should complete Form A (Sections 1-3) and submit this to the reviewer with a copy of his/her current job summary and the objectives agreed at the previous meeting. Form A should be in the format of brief notes/bullet points and should be submitted at least five working days before the meeting.

##### *Section A.1*

The reviewee should provide a self-review in five areas covered by sub-sections a) to e). This should include specific reflections on all aspects of the job taking into account work that went well and areas where improvements or changes might be made, providing examples in both cases.

- a) **A review of general contribution during the previous year:** this should focus on the current key responsibilities with specific reference to the extent to which agreed objectives have been achieved.
- b) **A review of any personal/professional development activity undertaken during the year:** this should focus on how any training and development has had an impact on meeting individual/departmental/University objectives; it should also address any agreed development needs not undertaken.
- c) **Achievements:** this is an opportunity to highlight any particular achievements and successes throughout the year.
- d) **Support from manager and others:** this is an opportunity to comment on the support received from the manager and other colleagues and to consider any issues or concerns.
- e) **Other issues for discussion:** this is an opportunity to raise anything not covered by a-d above; it might include highlighting changes to the current job summary.

##### *Section A.2*

In order to facilitate the completion of Section A.2, departmental priorities and objectives should be communicated to all staff prior to undertaking SRDS. As part of the self-review process, the reviewee should complete this section based on an understanding of his/her own future priorities and work objectives within the departmental context; this will form the basis for discussion and agreement with the reviewer.

It is expected that there would normally be between 3-6 objectives to reflect the scope and level of role. There should be a clear and feasible timescale for achievement and clear outcomes in order to provide a sound basis for assessment and feedback at the next review. Objectives should be both realistic and challenging.

*Reviewers and reviewees are encouraged to refer to the **Brief Guide to Setting and Agreeing Objectives** for further information and guidance. See <http://www.shef.ac.uk/stdu/policy/unipolicies/srds.html>*

### **Section A.3**

The reviewee should indicate any additional support (e.g. from his/her manager or colleagues) and/or development that they feel might be required to facilitate the achievement of agreed objectives and to fulfil the role and responsibilities set out in his/her job summary.

## **Form B – Agreed Objectives**

### **Section B.1**

Agreed individual objectives should reflect team/departmental/University objectives and should be kept under review in light of changing circumstances. They should be agreed and understood by both reviewer and reviewee. They should meet the SMART principles (i.e. Specific, Measurable, Achievable, Relevant, Time-framed).

This section should be completed in light of the reviewee's forward planning in Sections A.2 and A.3 and subsequent discussion and agreement with the reviewer.

### **Section B.2**

This section should be completed by the reviewer to indicate any agreed specific support (i.e. over and above the normal levels of support provided by the manager and/or other colleagues) identified in order to facilitate the achievement of agreed objectives and the Job Summary.

Specific training and development should be indicated on Form C.

## **Form C – Individual Development Plan**

This form should be completed in light of needs identified by the reviewee in Section A.3 and subsequent discussion and agreement with the reviewer in the context of departmental priorities. In some cases, only provisional agreement on development needs may be possible by the reviewer; final decisions should normally be made (and communicated to reviewees as appropriate) within two months of the SRDS meeting (see Section C.2).

Development should be considered in the broadest sense, e.g. self-study, on-the-job training/support, courses, conferences, learning from colleagues, taking on new responsibilities, exposure to new

experiences and opportunities, use of e-learning, use of other learning resources. All aspects of development activity should be reflected in this plan, not only internal/University provision.

### *Section C.1*

- a) Each identified need should relate to the reviewee's ability to perform his/her job and should normally have a direct link to an agreed individual, team, departmental or University objective.
- b) The benefits of undertaking this development and the expected impact should be stated.
- c) Indicate how the development need might be met having explored different options. Normally there will be a joint responsibility between the reviewer and the reviewee to ensure the development need is taken forward; the specific action to be taken by each party should be stated here.
- d) A realistic timescale should be given for the completion of the development activity.
- e) Any known direct costs of the development activity should be indicated here (e.g. course or conference fees).

### *Section C.2*

The reviewer should ensure that the reviewee is informed, normally within two months of the meeting, of decisions relating to the support of identified development needs. Where an identified development need is considered relevant but cannot be supported in the way requested, alternative development or support should be considered.

## **Form D – Overall Assessment and Summary Statement**

### *Section D.1*

The reviewer should make an overall assessment of contribution using one of the five headings. This assessment should be based on the extent to which the reviewee has contributed to the achievement of University and departmental objectives against his/her job summary (i.e. key activities and responsibilities) and the agreed objectives for the year under review.

There is an expectation of normal incremental progression within each grade for all staff except where a specific recommendation is made for the reviewee to receive an Exceptional Contribution Award.

It is anticipated that any member of staff receiving an Exceptional Contribution assessment would be recommended to receive an exceptional contribution award (see Form E); however, it may also be appropriate to reward a sustained period of Excellent Contribution by recommending an Exceptional Contribution Award.

It is anticipated that the vast majority of staff will be awarded an Excellent or Good Contribution assessment.

Any member of staff receiving a Limited or Unsatisfactory Contribution assessment should currently or subsequently be subject to performance improvement measures (information is available from your customary HR Adviser).

It is not normally expected that a member of staff would receive the Limited Contribution assessment in two consecutive years. Whilst the expectation would be that by the next year they would have moved to at least the Good Contribution assessment, a failure to do so would normally be regarded as grounds for an Unsatisfactory Contribution assessment.

### *Section D2*

The reviewer should provide a brief summary statement covering the key points of the review discussion with particular reference to reasons for the assessment made. Examples of particular achievements or any extenuating circumstances should be highlighted in support of the decision. Any specific recommendation relating to an exceptional contribution award should be indicated on Form E.

This section should be completed and signed by the reviewer after the meeting and returned to the reviewee within 5 working days of the SRDS meeting.

The reviewee should sign Form D as being an accurate record of the discussions that took place during the meeting. If appropriate, the reviewee may complete Section D.3 (see below). The forms should be returned to the reviewer within 10 working days of the SRDS meeting.

### *Section D.3*

This section allows the reviewee to make any final comments following the completion of all forms by the reviewer. It should only be completed in circumstances where the reviewee has comments about the assessment/recommendation, the summary statement or the objectives set. See Section 5 for further information.

## **Form E – Recommendation for an Exceptional Contribution Award**

### *Section E.1*

The reviewer should use this form to confirm the recommendation that the reviewee should receive an exceptional contribution award.

### *Section E.2*

The reviewer should provide information to support the recommendation made (with reference to Section D.2) for consideration by the Departmental Review Panel (DRP).

### *Section E.3*

Following consideration by the DRP the final departmental recommendation should be indicated here; if the recommendation of the reviewer is not supported a short summary of the reason should be provided. The recommendation is then communicated to the Department of Human Resources.

## **5. Monitoring and moderation**

Each department should set up a Departmental Review Panel consisting of a representative group of senior management. The DRP will meet once all the review meetings have been completed. The role of the DRP is to monitor the outcomes of review meetings and moderate decisions as necessary to ensure consistency across the department.

The DRP is expected to pay particular attention to, and make recommendations on, those cases where a specific recommendation regarding pay progression (i.e. for an Exceptional Contribution Award) has been made or where the reviewee has completed Section D.3 expressing concern about the outcome of the SRDS meeting.

The DRP will make recommendations based on the original assessment and any additional information provided. In cases where the recommendation of the DRP differs from the reviewer's original assessment/recommendation, this will be communicated to the reviewee by a member of the DRP. If a reviewee wishes to question the assessment and/or recommendation relating to pay progression as agreed by the DRP, he/she will have the right to ask the DRP to reconsider.

Final recommendations of the DRP will be communicated to the Department of Human Resources. Monitoring and moderation of all SRDS recommendations will be carried out by the Department of HR on a University-wide basis. This process will take into consideration trends across staff grades and across departments and will address issues of equality and diversity.

A summary report will be prepared for presentation to the Pro-Vice-Chancellor for Staffing and the rest of the Senior Management Group (SMG) for information and approval.

## **6. Confirmation and communication of decisions**

It is expected that reviewees will have been made aware of the **recommendation** being made by the reviewer and Departmental Review Panel on the understanding that a final **decision** will be made at University level and communicated as described below.

Final decisions resulting in an **Exceptional Contribution Award** will be communicated to the Head of Department by the Department of Human Resources; the Head will then inform the member of staff, directly or via the line manager/reviewer as appropriate. The decision will be confirmed in writing to the staff member by the Department of Human Resources.

## **7. Confidentiality of forms**

Note: The reviewer is responsible for ensuring all forms are submitted to the Head of Department.

All forms will normally be confidential to the reviewer (and the manager in cases where that person is not the reviewer), the reviewee and the Head of Department.

In addition, members of the DRP and the member(s) of staff responsible for the administration of the process shall have access to the forms for monitoring and moderating purposes; the member(s) of staff responsible for producing the departmental staff development plan shall have access to Form C (Individual Development Plan).

All forms should be retained for a period of 5 years and stored confidentially within departments and by the individuals concerned.

## **8. Further Information and Advice**

Further information and supporting documentation, including downloadable guidelines and forms, can be found on the SRDS web page:

<http://www.shef.ac.uk/stdu/policy/unipolicies/srds.html>

Details of information and skills sessions for staff will be made available from mid-November. See:

<http://www.shef.ac.uk/stdu/lms> or <http://www.shef.ac.uk/stdu/calendar>

Any questions relating to SRDS should be addressed to Jan Beesley, Senior HR Adviser (Staff Development), ext. 22471 or [j.beesley@sheffield.ac.uk](mailto:j.beesley@sheffield.ac.uk)

## **IMPORTANT NOTE FOR ALL STAFF:**

### **1. SRDS Documents**

#### **a) *Guidelines***

These guidelines provide information and guidance for all staff on the implementation of the revised Staff Review and Development Scheme, introduced in October 2005. They apply for the year 2005/06.

**It is very important that you read this document prior to participating in an SRDS meeting.**

You are being sent the guidelines via departmental offices from late November which should reach you at around the same time as the SRDS Information Session is being run for your department.

They can also be downloaded from the web:

<http://www.shef.ac.uk/stdu/policy/unipolicies/srds.html>

#### **b) *Forms***

The SRDS forms can be downloaded for completion on line from the address above.

Forms will be available in hard copy for use by staff who have no or limited access to a computer.

#### **c) *Brief Guide to Setting and Agreeing Objectives***

This guide offers information and advice useful to both reviewers and reviewees on the process of identifying and agreeing objectives. It can be downloaded from the address above. Hard copies will be made available on request (see below).

### **2. Information and Skills Sessions**

The following types of sessions are being provided to support the implementation of SRDS:

- a. Departmental Information Sessions (staff will be contacted direct with details)
- b. Practical Information Sessions for Reviewers (from December 2005)
- c. Skills Sessions for Reviewers (from January 2006)

For details of b) and c) please refer to:

<http://www.shef.ac.uk/stdu/lms> or <http://www.shef.ac.uk/stdu/calendar>

For more information or to request copies of documentation please contact [sdu@shef](mailto:sdu@shef) or call ext. 22461 or 22468

**University of Sheffield**

**Staff Review and Development Scheme**

**Self-Review and Forward Planning**

*To be completed by the reviewee*

**Reviewee:**

**Reviewer:**

**Department:**

**Date of Review:**

You should submit this form to your reviewer at least five working days prior to your SRDS meeting. Attach both your Job Summary/Description and details of your agreed objectives.

**A.1 Review of the previous year**

a) Describe your contribution in line with your key duties and responsibilities (as set out in your Job Summary/Description) and with your objectives (as agreed at your previous SRDS meeting – or as revised, if appropriate):

b) Describe any development activity undertaken (in line with identified needs agreed at your previous SRDS meeting – or subsequently) and describe the impact this had on your contribution:

c) Are there any other achievements you wish to highlight?

d) Do you wish to comment on the support you have received from your manager and other colleagues?

e) Do you have any other issues for discussion? This may include any significant changes in job content.

## **A.2 Proposed objectives for coming year**

Identify any specific tasks, activities or projects you expect /would like to undertake in the coming year, for discussion and agreement with your reviewer. These should be in line with departmental priorities and objectives, and take into account your personal development.

## **A.3 Identification of support and development needs**

Indicate any additional support or development you feel you may need to help you carry out your existing key responsibilities and achieve your proposed objectives.

**University of Sheffield**

**Staff Review and Development Scheme**

**Agreed Objectives – (year)**

**Reviewee:**

**Reviewer:**

**Department:**

**Date of Review:**

*To be completed by the reviewer:*

**B.1 Objectives agreed for (year)**

All agreed objectives should be recorded here. Please refer to Guide to Setting and Agreeing Objectives.

**B.2 Identification of support**

Please indicate any agreed specific support identified to facilitate the achievement of the Job Summary and of agreed objectives. (Note: specific training or development should be recorded on Form C – Individual Development Plan)

**University of Sheffield**  
**Staff Review and Development Scheme**  
**Individual Development Plan – (year)**

*To be completed by the reviewer*

**Reviewer:**

**Reviewee:**

**Date of Review:**

**C.1 Development needs jointly identified by the reviewer and reviewee**

a) Development need	b) Expected impact	c) Action required/by whom	d) Timescale	e) Direct cost (if known)

Section C.2 must be completed and signed by the reviewer within 2 months of the review meeting in order to confirm (following discussion with the Head of Dept as appropriate) whether identified development needs can be supported in line with departmental priorities and objectives.

**C.2 Confirmation of development needs**

*To be completed by the reviewer, normally within two months of the initial review meeting:*

The following development needs as identified in Section C.1 are supported and are in line with departmental priorities and objectives:

*(Either list as appropriate or indicate ALL)*

The following development needs identified in Section C.1 cannot be supported for the following reason(s); indicate any alternative development activity to be supported, as appropriate:

Signed: \_\_\_\_\_ (Reviewer) \_\_\_\_\_ Date:

(Signed copy to be returned to the reviewee)

**CONFIDENTIAL**  
**SRDS Form D**

**University of Sheffield**

**Staff Review and Development Scheme**

**Overall assessment and summary statement**

**Reviewer:**

**Reviewee:**

**Date of review:**

*To be completed by the reviewer*

**D.1 Overall Assessment**

The reviewer should make an overall assessment of contribution using one of the five headings below. This assessment should be based on the extent to which the reviewee has contributed to the achievement of University and departmental objectives against his/her job summary (i.e. key activities and responsibilities) and the agreed objectives for the year under review.

**Exceptional contribution:**   

Overall performance has been of an exceptional standard. The reviewee has demonstrated an exceptional contribution to University and departmental objectives. This assessment is awarded where the reviewee has contributed exceptionally against his/her agreed job summary and agreed objectives.

**Excellent contribution:**   

Overall performance has been of an excellent standard. The reviewee has made an excellent contribution to University and departmental objectives against his/her agreed job summary and agreed objectives.

**Good contribution:**   

Overall performance has been of a good standard. The reviewee has made a good contribution towards meeting university and departmental objectives against his/her agreed job summary and agreed objectives.

**Limited contribution:**   

Overall contribution has been limited and there is a need for improvement. If this assessment is made there should be clear proposals set out for the specific improvements needed.

**Unsatisfactory contribution:**   

Overall contribution has been unsatisfactory against the reviewee's agreed job summary and agreed objectives and there is a need for significant improvement. If this assessment is awarded there should be clear proposals set out for the specific improvements needed.

**Notes:**

**There is an expectation of normal incremental progression within each grade for all staff except where a recommendation is made for the reviewee to receive an Exceptional Contribution Award (see Form E).**

**It is anticipated that the vast majority of staff will be awarded an Excellent or Good Contribution assessment.**

**D.2 Summary statement by reviewer**

The reviewer should provide a brief summary statement covering the key points of the review discussion with particular reference to reasons for the assessment made. Examples of particular achievements or any extenuating circumstances should be highlighted in support of the decision.

**D.3 Comments from the reviewee**

This section may be completed by the reviewee if he/she has comments on any aspects of the review.

We confirm that we have both seen the completed SRDS Forms A-D and that they represent an accurate record of the review (NB. Section C.2 to be completed following approval of development needs).

**Reviewee:**

**Date:**

**Reviewer:**

**Date:**

**University of Sheffield**

**Staff Review and Development Scheme**

**Recommendation for an Exceptional Contribution Award**

**Reviewer:**

**Reviewee:**

**Date of review:**

**E.1 Recommendation by the Reviewer**

It is recommended that the reviewee should receive an Exceptional Contribution Award

**Note:** The reviewee will have received an Exceptional Contribution assessment OR have demonstrated sustained Excellent Contribution.

**E.2 Supporting case for the recommendation of an Exceptional Contribution Award**

The reviewer should provide information to support the recommendation (using extracts from the Summary Statement on Form D as appropriate) for consideration by the Departmental Review Panel.

### **E.3 Recommendation of the Departmental Review Panel**

The DRP supports the reviewer's recommendation for an Exceptional Contribution Award

The DRP does not support the reviewer's recommendation for an Exceptional Contribution Award

**Reason for not supporting the reviewer's recommendation:**

Signed:

(Chair of DRP)

Date:



## Appendix 7

### Assimilation of grades and points on the 92 point spine to grades and points on the 51 point spine

#### Contents

1. Manual and Ancillary Grades
2. Technical Grades
3. Clerical Grades
4. Non-Clinical Lecturers and Senior Lecturers
5. Research Grades IB to III
6. Administrative / Library / Computing / Other Related Grades
7. EU Nursing Grades
8. EN Nursing Grades
9. ER Radiographer Grades

Appendix A: Notes on Mapping Tables