

## **Role and Grading Framework Element 2: Grading Procedure**

### **1 Introduction**

This Policy is part of the Role and Grading Framework which is made up of a number of elements which together encompass all formal policy, procedure and statement documents, including associated forms, relating to role and grading in Abertay University.

If you would like this document in a different format (e.g. large print, braille) or need any assistance to access or understand the policy/procedure please contact your School/Service designated HR Partner.

### **2 Purpose and Scope**

This policy applies to all employees. The purpose of this procedure is to ensure a fair, equitable, transparent and consistent process, underpinned by the principle of 'equal pay for work of equal value', that effectively integrates into and maintains the existing University grading structure. The University's grading structure shall remain aligned to the strategic plan and effectively contribute to the development of the University's business.

This procedure, through the use of the HERA (Higher Education Role Analysis) system, is the sole process by which all roles within the University are analysed and graded.

#### **2.1 Grading Procedure**

The Grading Procedure is divided into three sections, as follows:

**Section A: Procedure for a new role**

This procedure shall not apply to short term arrangements or fixed term project work (i.e. a period of less than 12 months).

**Section B: Procedure for making an amendment to a role**

For example:

- Following the resignation of the role holder
- Following a review in a School/Service, e.g. structure; services; efficiency; logistics, to meet a business need(s), etc.

**Section C: Procedure for an Individual Employee who believes that their role has significantly changed.**

Such changes must have been in place for a minimum period of six months and be expected to continue for the long term, before a submission for grading under this procedure can be made.

This procedure shall not apply to short term arrangements, fixed term project work or where an additional role(s) and/or responsibilities have been formally allocated as an opportunity for developmental purposes.

Newly appointed staff cannot make a personal submission for grading under this procedure within the first 18 months of taking up post. The only exception

would be if substantial changes were made to a role by the University (In such circumstances the grading would be addressed under 'Section B').

*\* Note: No significant change in a role should occur without the endorsement of the Head of School/Service.*

## **2.2 Section A – New Roles**

### **A1. Procedure for a New Role**

This section of the procedure will be followed for all new roles within the University. However, please note that the procedure shall not apply to short term arrangements, fixed term project work (i.e. a period of less than 12 months), or where an additional role(s) and/or responsibilities have been formally allocated as an opportunity for developmental purposes.

A Head of School/Service must have informal discussion(s) with the Deputy Vice Chancellor and gain agreement in principle to progress with proposing a new role prior to any full information and documentation being collated.

### **A2. Step One: Collation of Information and Documentation**

Where a submission for grading relates to a new role the necessary information will be collated by the Head of School/Service (or his/her designate):

- A Written Record
- The related Role Profile

or instead (of the Written Record and Role Profile), where such approved documents exist, a 'Generic Written Record' and 'Role Descriptor' allied to the required role.

- An overview report, detailing:
  - The business case for the change
  - Impact/possible impact on other roles within the School/Service and/or University
  - All financial implications
- A completed and signed Authority to Recruit Form
- A completed and signed Grading Submission Form - New Role (RGF03)

Heads of School/Service are requested to make sure all information is clear and contains sufficient detail. Where subject-specific terminology is used, sufficient explanation needs to accompany it.

### **A3. Step Two: Authorisation**

Before submitting a new role for grading the Head of School/Service, and/or his/her designate, is advised to firstly meet with the HR Partner designated to their School/Service. This is to provide an opportunity, prior to formal submission, to receive any necessary guidance and support on the Grading Procedure and enable an initial check that the correct documentation (not its content) is being collated.

After the meeting with the HR Partner the Head of School/Service shall consult with the Vice Principal & Deputy Vice-Chancellor to discuss the matter in detail. The meeting(s) should clarify all related issues to the proposed role and ensure accuracy and content of the submission.

A Grading Submission Form - New Role (RGF03) should then be signed and dated by the Head of School/Service and the Vice Principal & Deputy Vice-Chancellor, to confirm agreement and authorisation to submit the role for grading.

#### **A4. Step Three: Submission for Scoring and Grade Outcome**

The collated documentation should be submitted to the Head of Human Resources:

- electronically (for administrative and record purposes) and
- in hard copy, dated and signed by all required persons (for audit purposes)

A copy should be retained by the Head of School/Service making the submission.

The Head of Human Resources will then appoint two University Role Analysts to progress the submission.

The appointed Role Analysts will ensure that all necessary documentation and information is contained in the submission, as far as is possible and reasonably practicable. At this point the Role Analysts may request further information, documentation and/or clarification from the Head of School/Service (and/or his/her designate), and the documentation will form part of the formal submission.

Once the Role Analysts consider that the documentation is satisfactory, the Written Record will be scored through the HERA process. This is undertaken by the Role Analysts firstly independently scoring and then, through discussion, agreeing a 'double-score', from which the corresponding grade is allocated.

The outcome of the submission will be provided, in writing, to the Head of School/Service, normally within 6 weeks of the submission being analysed.

#### **A5. Outcome**

If the outcome of the submission does not correspond with the proposals and/or estimations of the role, the Head of School/Service should consult with the Head of Human Resources and Vice Principal & Deputy Vice-Chancellor. Any solution should conform to the Grading Procedure and its principles.

##### Role Title Allocation

The role title for a new role should normally conform to the general role titles in existence within the University. Where an alternative is to be considered the Head of School/Service should consult with the Head of Human Resources to agree the role title for the finalised Written Record.

Please note that academic role titles are strictly associated with specific grades, as follows:

Senior Lecturer	- Grade 9	Lecturer	- Grade 7 and 8
Reader	- Grade 9	Teaching Fellow	- Grade 6

### **2.3 Section B – Amendment to a Role**

#### **B1. Procedure for Amendment to a Role**

This section of the procedure should be followed where an amendment to a role is proposed, for example:

- Following the resignation of the role holder;
- Following a review in a School/Service, e.g. structure, services, efficiency, logistics, meet a business need(s), etc.

A Head of School/Service must have informal discussion(s) with the Deputy Vice Chancellor and gain agreement in principle to progress with proposing a new role prior to any full information and documentation being collated.

## **B2. Step One: Collation of Information and Documentation**

Where a submission for grading relates to an amendment to a role the necessary information must be collated by the Head of School/Service (or his/her designate):

- The existing Written Record with highlighted changes, i.e. all additions, deletions and/or amendments;  
Clarification of any previous changes to the role, including financial/grade impact, should be sought from Human Resources.
- The related Role Profile;

or instead (of the Written Record and Role Profile), where such approved documents exist, a 'Generic Written Record' and 'Role Descriptor' allied to the required role.

- An overview report, detailing:
  - The business case for the change
  - Impact/possible impact on other roles within the School/Service and/or University
  - All financial implications
- A written note from the Deputy Vice Chancellor indicating agreement to the proposed amendments to role;
- A completed and signed Staff Change Authorisation Form, or Authority to Recruit Form as applicable.
- A completed and signed Grading Submission Form – Amendment to a Role (RGF04)

Heads of School/Service are requested to make sure all information is clear and contains sufficient detail. Where subject-specific terminology is used, sufficient explanation needs to accompany it.

Where an amendment to a role is proposed and a member of staff is within post, the timescale of collating the necessary information and making a submission for grading will normally be completed within a reasonable period (i.e. 3 to 6 months).

## **B3. Step Two: Authorisation**

Before submitting an amended role for grading the Head of School/Service, and/or his/her designate, is advised to firstly meet with the HR Partner designated to their School/Service. This is to provide an opportunity, prior to formal submission, to receive any necessary guidance and support on the Grading Procedure and enable an initial check that the correct documentation has been collated. After the meeting with the HR Partner the Head of School/Service should consult with the Vice Principal & Deputy Vice-Chancellor to discuss the matter in detail. The meeting(s) should clarify all related issues to the proposed role and ensure accuracy and content of the submission.

A Grading Submission Form – Amendment to a Role (RGF04) should then be signed and dated by the Head of School/Service and the Vice Principal & Deputy Vice-Chancellor, to confirm agreement and authorisation to submit the role for grading.

## **B4. Step Three: Submission for Scoring and Grade Outcome**

The collated documentation should be submitted to the Head of Human Resources:

- electronically (for administrative and record purposes) and
- in hard copy, dated and signed by all required persons (for audit purposes)

A copy should be retained by the Head of School/Service making the submission.

The Head of Human Resources will then appoint two University Role Analysts to progress the submission.

The appointed Role Analysts will ensure that all necessary documentation and information is contained in the submission, as far as is possible and reasonably practicable. At this point the Role Analysts may request further information, documentation and/or clarification from the Head of School/Service (and/or his/her designate) and the documentation will form part of the formal submission.

Once the Role Analysts consider that the documentation is satisfactory, the Written Record will be scored through the HERA process. This is undertaken by the Role Analysts firstly independently scoring and then, through discussion, agreeing a 'double-score', from which the corresponding grade is allocated.

The outcome of the submission will then be provided, in writing, to the Head of School/Service, normally within 6 weeks of the submission being analysed.

## **B5. Outcome**

If the outcome of the submission does not correspond with the proposals and/or estimations of the role, the Head of School/Service should consult with the Head of Human Resources and Vice Principal & Deputy Vice-Chancellor. Any solution must conform to the Grading Procedure and its principles.

### Role Title Allocation

The role title for an amended role should normally conform to the general role titles in existence within the University. Where an alternative is to be considered the Head of School/Service should consult with the Head of Human Resources to agree the role title for the finalised Written Record.

Please note academic role titles are strictly associated with specified grades, as follows:

Senior Lecturer	- Grade 9	Lecturer	- Grade 7 and 8
Reader	- Grade 9	Teaching Fellow	- Grade 6

### Special Note

*Where an amendment to a role is proposed within the Human Resources function, resources external to the department will be utilised in undertaking key elements of the Grading Procedure to ensure no conflict of interest occurs.*

## **2.4 Section C – Individual Employee**

### **C1. Procedure for an Individual Employee**

This section of the procedure should be followed where an individual employee believes that their role has significantly changed, noting that:

- Such changes must have been in place for a minimum period of six months and be expected to continue for the long term, before a submission for grading under this procedure can be made;
- This procedure shall not apply to short term arrangements, fixed term project work (i.e. a period of less than 12 months), or where an additional role(s) and/or responsibilities have been formally allocated as an opportunity for developmental purposes;
- Newly appointed staff cannot make a personal submission for grading under this procedure within the first 18 months of taking up post.

*\* Note: No significant change in a role should occur without the endorsement of the Head of School/Service.*

## **C2. Step One: Collation of Information and Documentation**

Where a submission for grading is being made by an individual employee the necessary information must be collated by the individual:

- An amended Written Record with highlighted changes, i.e. all additions, deletions and/or amendments (including dates of such changes);
- The related Role Profile.

or instead (of the Written Record and Role Profile), where such approved documents exist, a 'Generic Written Record' and 'Role Descriptor' allied to the perceived level of role.

- A completed and signed Grading Submission Form – Individual Role (RGF05)

Employees are requested to make sure all information is clear and contains sufficient detail. Where subject-specific terminology is used, sufficient explanation needs to accompany it. Any additional responsibilities to the Written Record must have been in place for a minimum period of six months, be expected to continue for the foreseeable future, and have been agreed by the Line Manager.

## **C3. Step Two: Authorisation**

Before submitting their role for grading the employee is advised to firstly meet with the HR Partner designated to their School/Service. This is to provide an opportunity, prior to formal submission, to receive any necessary guidance and support on the Grading Procedure and enable an initial check that the correct documentation has been collated.

After the meeting with the HR Partner the employee is required to meet with their Line Manager and their Head of School/Service to discuss the matter in detail. Such a meeting(s) should clarify all related issues to the role and ensure accuracy and content of the submission.

At the final meeting, just prior to formally submitting the role for grading, a Grading Submission Form – Individual Role (RGF05) should be completed, signed and dated by both the employee and their Head of School/Service.

It should be noted that no significant change in a role should occur without the endorsement of the Head of School/Service. However, a grading submission may be made without the support of the individual employee's Head of School/Service, but must still include all required documentation.

In such cases where the Head of School/Service does not agree with the content or accuracy of the submission being made by the individual employee he/she must provide a report to accompany the submission that outlines the areas of disagreement and reasons why. The report shall be made available to the individual employee.

#### **C4. Step Three: Submission for Scoring and Grade Outcome**

The collated documentation should be submitted to the Head of Human Resources:

- electronically (for administrative and record purposes) and
- in hard copy, dated and signed by all required persons (for audit purposes)

A hard copy should also be sent to the Head of School/Service and a copy retained by the individual employee making the submission. A written acknowledgement of receipt of the submission will be sent to the employee, normally within 10 working days.

The Head of Human Resources will then appoint two University Role Analysts to progress the submission.

The appointed Role Analysts will ensure that all necessary documentation and information is contained in the submission, as far as is possible and reasonably practicable. At this point the Role Analysts may request further information, documentation and/or clarification from the individual employee, their Line Manager and/or Head of School/Service that will form part of the formal submission.

Once the Role Analysts consider that the documentation is satisfactory, the Written Record will be scored through the HERA process. This is undertaken by the Role Analysts firstly independently scoring and then, through discussion, agreeing a 'double-score', from which the corresponding grade is allocated.

The outcome of the submission will then be provided, in writing, to the employee, normally within 6 weeks of the analysis being completed. A copy will be sent to the Head of School/Service.

There is an opportunity for the employee to meet with the Head of School/Service and their designated HR Partner to provide an overview on their submission.

#### **Submission Dates**

Submissions should be made to the Head of Human Resources by no later than 30 April in the respective academic year. No further submission for grading may be made within 12 months of the date of a previous submission being concluded. (Please note: This means that an individual employee cannot submit an application for grading more than once in any two year period).

#### **Outcome**

Provided that the submission was received by the Head of Human Resources on or before 30 April of the respective academic year, where there is a change in grade to a role the effective date of the change shall be from the earlier of 30 April or the date for which the submission was made in that academic year.

#### **Role Title Allocation**

The role title should normally conform to the general role titles in existence within the University. Where an alternative is to be considered the Head of School/Service should consult with the Head of Human Resources to agree the role title for the finalised Written Record.

Please note academic role titles are strictly associated with specified grades, as follows:

Reader	- Grade 9	Lecturer	- Grade 7 and 8
Senior Lecturer	- Grade 9	Teaching Fellow/Research Fellow	- Grade 6

### *Special Note*

*Where an individual HR employee makes a submission under Section C of the Grading Procedure, resources external to the department will be utilised in undertaking key elements of the procedure, and any subsequent appeal, to ensure no conflict of interest occurs.*

## **C5. Appeals**

An individual employee has the right to appeal. Advice and guidance on making an appeal is available from the HR Partner designated to the School/Service concerned.

### **C5.1 Appeal Procedure**

An appeal must be made, in writing and within 10 working days of the outcome being issued, to the Secretary of the Grading Appeal Panel (whom will be detailed in correspondence informing the individual employee of the outcome of their submission). Additional time may be permitted within reason (e.g. over University closure periods, sickness absence), and where this is the case the adjusted timescale will be confirmed in writing by the Head of Human Resources. An acknowledgement of receipt of the appeal will be sent to the appellant, normally within 10 working days.

An appeal should be submitted using the provided Grading Appeal Form (RGF06). It should be noted that an appeal can not simply be based on an individual's disagreement to the grade allocated, but only if the employee believes due process has not been adhered to. In submitting an appeal no changes can be made to the Written Record that was originally submitted for grading.

The Grading Appeal Form (RGF06) and any documentation submitted with it should be clear and precise and contain all relevant information for the Grading Appeal Panel to comprehend the case being made. The panel will consider the submitted appeal on the information provided. There is no provision for an individual employee to personally attend the appeal meeting.

The Head of Human Resources will appoint a University Role Analyst to review the submitted documentation. The appeal will be dealt with by a different Role Analyst, who was not involved with the initial submission and scoring.

The Role Analyst will review the submission and ensure all necessary information is enclosed. At this point the Role Analyst may request clarification on specific issues from the Head of School/Service, Line Manager, individual employee and/or the original Role Analysts.

Once the Role Analyst considers that the documentation is satisfactory he/she will submit the appeal papers to the Grading Appeal Panel, through its Secretary. The appeal will then be given due consideration.

The decision of the Grading Appeal Panel will be communicated to the employee, in writing, normally within 10 working days of the date of the appeal meeting. A copy of the letter will be sent to their Head of School/Service.

### **C5.2 Grading Appeal Panel**

#### Membership

Appeals against the grading of a role will be considered by a Grading Appeal Panel, which has the following membership:



For academic staff appeals

- Pro Vice-Chancellor
- Academic Manager
- Support Services Manager
- Academic Staff Trades Union Representative
- Support Services Staff Trades Union Representative

Chair  
Member  
Member  
Member  
Member

- HR Partner
- Secretary to the Grading Appeal Panel

In attendance  
In attendance

For support staff appeals

- Pro Vice-Chancellor
- Academic Manager
- Support Services Manager
- Academic Staff Trades Union Representative
- Support Services Staff Trades Union Representative

Chair  
Member  
Member  
Member  
Member

- HR Partner
- Secretary to the Grading Appeal Panel

In attendance  
In attendance

Members of an Appeal Panel will be appropriately trained and briefed with regards to the Grading Procedure by a senior member of Human Resources prior to his/her participation in the formal process.

#### Remit of the Panel

The panel will consider all grading appeals based on the documentation submitted to it. In undertaking its responsibilities, the panel must ensure thoroughness and consistency of practice in the decision making process. Therefore, the panel may defer a decision pending clarification on a specific issue(s) and/or further information relating to specific points of the submission. Such details may be requested either in writing or in person from relevant role holder(s), for example:

- The Role Analyst who reviewed the Written Record and Appeal documentation;
- Head of School/Service;
- The individual employee making the submission.

The Grading Appeal Panel will make every effort to reach an outcome by consensus. Where this is not achievable then the outcome will be decided by majority. Each case will be considered on its individual merits and the decision of the Grading Appeal Panel will be final, subject to the individual employee's right to submit a further submission for grading in subsequent academic years.

### **C5.3 Appeal Outcomes**

Where an appeal is upheld, any change from the original grading or grading from the submitted new Written Record will be effective from the deadline date for which the original submission was made.

Where an appeal has not been upheld the Head of School/Service will discuss any potential development needs and/or opportunities with the employee.

**Document Information**

<b>Author</b>	Human Resources
<b>Equality Impact Assessment</b>	Human Resources
<b>Approved by</b>	University Court
<b>Approval date(s)</b>	22 October 2011
<b>Review by</b>	22 October 2015
<b>Version</b>	V20110920
<b>Document Type</b>	Framework, Procedure
<b>Activity/Task</b>	Policies & Procedures: Role and Grading
<b>Keywords</b>	Grading, Role
<b>Document Location</b>	This document is available via the HR Web/Intranet pages. It should be noted that any printed copies are uncontrolled and cannot be guaranteed to constitute the current version of the policy.
<b>Confidentiality</b>	Available via the HR Web/Intranet
<b>Source</b>	V:\HR\H2-Policy-Procedures

**Version Control Table**

<b>Version No.</b>	<b>Purpose / Changes</b>	<b>Author</b>	<b>Date</b>
	I	HR	