

Job Evaluation Procedure for

- Recruitment, Re-grades and Restructuring
- Pay Progression and Higher Responsibility Zones (including promotions and additional increments)
- Allowances

This process does not replace the Annual Academic Promotions Committee

Updated August 2017

1. Introduction to Policy

1.1 Policy Structure

This policy is split into 3 sections:

- Section 1: Evaluation for Recruitment, Re-grades and Restructuring
- Section 2: Pay Progression and Higher Responsibility Zones
- Section 3: Allowances

2. Evaluation for Recruitment, Re-grades and Restructuring

2.1 Introduction to Job Evaluation

2.1.1 The University of Surrey is committed to the principles of equal pay for work of equal value. This policy aims to reflect equality of opportunity with respect to pay, salary and career progression for all staff, in ensuring that the level of reward is appropriate to the relative size and content of the job.

To achieve this, it operates a Job Evaluation Scheme that measures the relative value of all jobs in its pay and grading structures within an overall framework that is consistent, transparent and fair.

The University recognises and reflects through this policy that roles do not always remain static and may change in relation to the range, complexity and level of duties, accountabilities and responsibilities. Such changes may require the grade of any post to be reviewed at the appropriate time.

- 2.1.2 To maintain the principles of the Hay methodology and the fair and equitable comparison of roles going forward, a process of job matching and evaluation has been established. This system has been established in order to:
 - Establish the relative size of all jobs.
 - Ensure all jobs to be allocated or matched to a level or grade within a common pay structure.
 - Ensure that pay and benefits are allocated on a fair and consistent basis and that the University fulfils its legal obligation to provide equal pay for work of equal value.
 - Comply with the requirements of the national framework agreement.
 - Strike a balance of the requirement for thorough and effective analysis and evaluation with efficiency and flexibility.

2.2 Overview of the Hay Method

- 2.2.1 In conjunction with the University's commitment to maintain a fair and equitable pay spine (as part of the National Framework Agreement), the University implemented the Hay methodology of Job Evaluation in 2006 and undertook an evaluation of each role within the University, assigning it to a Job Family and a Level.
- 2.2.2 The Hay Evaluation Method consists of three general categories;

Know-How

Know how is the sum total of every kind of knowledge and skill however acquired e.g. experience, education, etc. needed for acceptable job performance. Know-how includes three elements:

- 1. **Specialised, technical or practical know-how:** the basic job knowledge needed.
- 2. **Managerial know how:** The degree to which the job deals with planning and organising the employee's activities and coordinating with others.
- 3. **Human relation skills:** The persuasion and communication skills for motivating, training and developing others.

Problem Solving

Problem solving is the amount of original self-starting thinking required by the job for analysing, evaluating, creating, reasoning, arriving at and coming to conclusions. Problem solving has two elements;

- 1. Thinking environment defines the degree to which the incumbent is free to develop answers to problems, ranging from day-to-day decisions based on simple memory to those which require creative thinking or long-range strategies.
- 2. Thinking Challenge defines the complexity and uniqueness of problems and may range from repetitive to highly creative.

Accountability

Accountability is the answerability for action and for the consequences of that action. Accountability has three elements;

- 1. Freedom to act is the degree to which the position can take action without consulting a higher authority.
- 2. Impact on end results is the real effect of the position and the end results, i.e., direct, controlling or primary impact, or an interpretive, advisory, or facilitating role.
- 3. Magnitude is the size of the area in which the job functions, i.e. whole organisation, school, single department etc.

2.3 Scope of Evaluation Procedure

- 2.3.1 This policy and procedure covers all job families, excluding Research and Teaching. Pay and grading for posts above level 7 are determined under separate arrangements.
- 2.3.2 This policy applies to all appointments made with an intended duration of three months or more.

2.4 Process

2.4.1 Step 1: Complete Paperwork

The process for submitting a case for grading or re-grading is through writing/re-writing a Job Purpose and the completion of a 'Request for JE Pro-Forma'. These are both available under the 'HR Policies and Forms' section of the human resources web pages at:

https://surreynet.surrey.ac.uk/staff-services/human-resources/hr-policies-and-forms

Quick view process diagrams for the grading and regrading process can be found in Appendix A and B.

It is the responsibility of local HR to provide high quality training and professional support to line managers in the completion/writing of the Job Purpose.

2.4.2 For re-grades the 'Request for JE Pro-forma' must include a description of the changes since the current job family and level was established, highlighting the changes/additional responsibilities to the role. This should not be a statement on the candidate's abilities and performance.

Any re-evaluation request must be based on significant and permanent change(s) to the level of duties and responsibilities of an individual post or group of posts (10% up or down). This can be in terms of increased/reduced size, responsibility, complexity or some other significant way.

2.4.3 An individual may initiate the discussion about re-grading with their line manager, but a role will not be considered unless it is supported by both their Line Manager and the Faculty/Department. If the case for re-grading is not agreed, the Line Manager or Head of Faculty/Department should explain clearly to the individual the reasons for this.

If an individual feels that they have a reasonable case for re-grading but this is not supported by their line manager, the individual should discuss this with the next level of management.

If a line manager believes there is a reasonable case for re-grading, but this is not supported by the Head of Faculty/Department, the line manger should discuss this with their local HR department.

- 2.4.4 To ensure the continuance of consistency with other roles within the University, any Job Purpose that has not been approved in the previous 12 months should be sent to the local HR department for forwarding to the JE Chair for review outside of panel.
- 2.4.5 Once the two forms have been completed, they should be sent to local HR for review (Step 2).

2.5.1 Step 2: Local HR Review

Local HR should ensure that there is consistency and equity in the information and titles, by editing them for clarity and format.

It is the responsibility of local HR to ensure that the Job Purpose meets the standards outlined in the 'Request for JE Pro-forma' and that it meets policy requirements. Where Job Purposes are submitted and they do not meet these standards, the application will be returned to local HR clearly setting out in writing why the application cannot proceed. The application will then not be reviewed until the following JE Committee.

It is the responsibility of local HR to submit both the Job Purpose and the 'Request for JE Pro-forma' to the JE Chair (or nominated representative) by the advertised receipt deadline. Those received after the receipt deadline, but before the committee, will be reviewed on a best endeavour basis.

2.6 Step 3: Job Matching Panel

2.6.1 Posts are normally assigned to the appropriate job family and level using a job matching approach.

Jobs are evaluated by a Job Matching Panel drawn from the HR team who have been fully trained in the Hay Job Evaluation Methodology, job matching and equality issues in grading.

Each panel will comprise of:-

- Chair (JE Owner or nominated Representative)
- 2 x Members of HR

To ensure the effective use of the panel's time within the meetings, members are expected to read the papers and reach initial views on the range of grades/profiles within which each job is likely to match prior to the meeting.

The panel will carry out a job matching exercise using the details supplied within the Job Purpose.

The main steps in Job Matching are:

- Understanding the role
- Matching the role
- Recording the decision and reasons
- Checking results for consistency and fairness

When Job Matching the Panel will utilise a system of Generic Role Profiles, as well as reference to an existing database of previously matched Job Purposes. The profiles have been developed for each grade 1-7. Each profile describes broadly similar types of work, highlighting the key factors that differentiate one grade from another. The object of the process is not to find a complete match between the profile and the job itself as all grades and all types of job have a wide range of possible work activities, knowledge and skills, and few if any will match all the criteria. Rather, the panel will look to establish a 'best fit' match of any Job Purpose to the job family role profiles, in order to establish the correct grade for the job. Where a job straddles two levels, a 'best fit' will be applied using a 75-80% match based upon the duties and responsibilities of the role.

In those instances in which there is inadequate information to reach a decision and it is determined appropriate by the panel, the Chair may request the post holder, the post holder's Manager or another suitably informed Manager to attend the panel meeting for a short time. This will enable further information to be sought by the panel in relation to any post under consideration, which is not readily available from the documentation presented. Such individuals invited to attend in this capacity will be expected to respond where possible to direct questions raised by the panel, but will not be permitted to offer a view.

- 2.6.2 The Department/individual should be notified by their local HR department of the outcome within 2 working days of the panel.
- 2.6.3 For Re-grades, the panel may reach one of four decisions which are:
 - The role is re-graded to a higher level
 - The level of the role remains unchanged
 - The level of the role does not match the higher level, nor is the panel persuaded that it meets the current level, in which case it is referred back to the Faculty/Department for reconsideration.

If the role is graded at a lower level, notification should be made to the individual relating to protection of salary. Where a role is re-graded to the next level, the post holder should be placed on the bottom scale point of the new grade. The effective date of any re-grade should be the date of the JF Panel.

2.6.4 If the decision made by the Panel is deemed inappropriate by the Faculty/Department, the case should be returned to the JE Chair to be referred to a second panel. If the Faculty/Department remains unhappy with the decision following a second panel, the Appeals Process detailed in Section 5 should be followed.

Applications for re-evaluations will be considered on the following grounds:

- There has been a significant change in the level and/or nature of the role since it was originally matched/evaluated.
- Incorrect or incomplete information was submitted to the Evaluation Panel
- Other pertinent information e.g. comparator posts differently graded

Only 2 applications to Job Evaluation Committee for the same role can be made in any 6 month period.

2.7 The Responsibilities of the Panel

- 2.7.1 It is the responsibility of the Chair to ensure this process occurs fairly and consistently with each panel member having an equal right to speak. The Chair should make every effort to ensure this is achieved.
- 2.7.2 All Evaluators are required to keep their training up to date through practice. Evaluators who have not undertaken a panel over a course of a year will be required to undertake refresher training before sitting on a panel.
- 2.7.3 Panel members will not take part in any part of the process in terms of their own role, any roles for which they may have direct line management responsibility or any role to which they may report. Panel members are expected to declare any other potential conflicts of interest as appropriate.
- 2.7.4 Panel members must observe strict confidentiality regarding panel documentation, discussions and recommendations. All discussions within panels and records of these discussions will be strictly confidential to the HR department and the panels.

2.8 Data Protection/Records Management

- 2.8.1 There must be an appropriate audit trail of any decision reached in the event that feedback or information is sought in accordance with data protection legislative requests.
- 2.8.2 All relevant documentation associated with the policy will be retained by the JE Chair, in accordance with the Data Protection Act 1998. All relevant information associated with pay and grading of a particular post will be retained within the personnel file of the post holder with the local HR department.

2.9 Timing

2.9.1 Job Evaluation Panels are held every 4 weeks. Submission deadlines and Job Evaluation Panel dates can be obtained from your local HR Representative.

Where grade or salary point changes are confirmed, these will be established with effect from the date the Job Evaluation Panel convened to consider the submission. Backdating of pay increases to an earlier point in time than this will only be agreed where there are extenuating circumstances or there has been an error, up to a maximum period of 3 months.

3. Pay Progression and Higher Responsibility Zones

3.1 Pay Progression within the Core Zone

- 3.1.1 The University of Surrey pay and grading structure consists of eight levels all with two pay zones, the Core Zone and the Higher Responsibility Zone (HRZ). The pay spine originally provided within the National Framework Agreement consisted of 51 pay points; this has been extended further by the University to 55 points to enable a more flexible approach to pay.
- 3.1.2 The Core Zone is the main pay level for the job. Staff placed into the Core Zone will normally receive annual progression (April each year) through the increments to the maximum of the Core Zone (subject to satisfactory performance).

3.2 Awarding Accelerated Increments

3.2.1 Approval for awarding 1 accelerated increment within the Core Zone can be agreed in principal between the Faculty/Department with the local HR department. However, it must still go through SurreyRecruit.

In the first instance a 'Change to Existing Post' form must be completed through SurreyRecruit.

The electronic request should include the following

- Existing Job Purpose (where appropriate)
- Completed business case, highlighting the reason for awarding accelerated increment(s).
- 3.2.2 In cases where requests of 2 or more incremental steps are being made or where a second request is being made within 12 months of a previous request, a 'Change to Existing Post' form must be completed through SurreyRecruit.

The electronic request should include the following

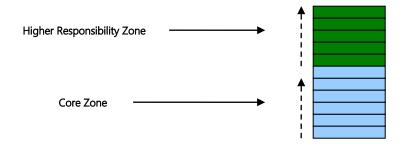
- Existing Job Purpose (where appropriate)
- Completed business case, highlighting the reason for awarding accelerated increment(s).

3.3 Entering the Higher Responsibility Zone (HRZ)

3.3.1 The HRZ is the range defined above the normal Core Zone. These HRZ points are applied to all Job Families and levels in the new pay structure.

The aim is to provide an appropriate mechanism for rewarding staff that have been matched to a particular job level, but who have assumed an additional permanent responsibility, or who contribute consistently to activities, outside the scope of their role.

Staff have no automatic right to progression into or through the HRZ. All cases are subject to the guidance laid out within the agreed HRZ criteria (see Appendix E)



To justify HRZ consideration a case needs to be made using the 'Change to Existing Post' form via Surrey Recruit. Responsibilities undertaken should be on a permanent basis, but deemed not to be significant enough to warrant an evaluation to a higher level (grade).

The electronic request should include the following

- Old and new Job Purposes uploaded, with additional responsibilities highlighted.
- Completed business case, clearly demonstrating that the post has more responsibilities than when the job was initially matched and is of a higher value to its current Level and pay point.
- 3.3.2 A copy of the post holder's new Job Purpose reflecting the additional responsibility must be forwarded to the Job Evaluation Chair for logging upon approval.
- 3.3.4 Note For additional responsibilities of a temporary nature, these should be rewarded through the allowance procedure and are as such not covered by this criterion.

3.3.5 Academic application cases should be put forward to the Annual Promotions Committee where the case will be considered. Please refer to the Academic Promotions Committee documentation.

4. Allowances

- 4.1.1 For an allowance to be considered it must be temporary with a defined end date and reviewed, normally on an annual basis (with the exception of contracted overtime, unsocial hours and night shift allowances).
- 4.1.2 The following principles govern the use of allowances;
 - Where an allowance is paid for a period of 3 years or more it should be superannuable (unless otherwise specified).
 - Allowances of less than 3 years in duration will not be superannuable.
 - Allowances (with the exception of acting up, wardens, contracted overtime, unsocial hours and night shift) will not receive cost of living increases.
 - Staff members receiving an allowance, who take a period of sabbatical or extended leave, will have their allowance entitlement reviewed if it is considered the duties cease.
 - Special Allowances cease to exist.
- 4.1.3 The following is an outline of circumstances when an allowance payment can be made;
 - Head of Department/Division, Associate Dean
 - Special Registry Validation and Chair
 - Warden and Assistant Warden
 - Responsibility or Additional Duties
 - Market Supplement
 - Acting Up
 - Marie Curie Research
 - Contracted Overtime
 - Unsocial hours (for LDA and Boiler Assistants)
 - Night Shift

4.1.4 Acting Up - Individuals who undertake a temporary full acting up role may be deemed eligible for a temporary Acting Up allowance. It is mandatory that this Allowance has an end date.

Acting up Allowances should equate to either the value between the individuals' current salary and the first point of the HRZ or equal to 2 increments, whichever is the greater. This allowance will attract increases in line with the cost of living rises.

In cases where an individual may be acting up substantially e.g. a level 4 acting up to a level 6, the same compensation rules apply. However, if extra compensation is sought this should be done via alternative methods such as PRP payments.

4.2 Allowance Process

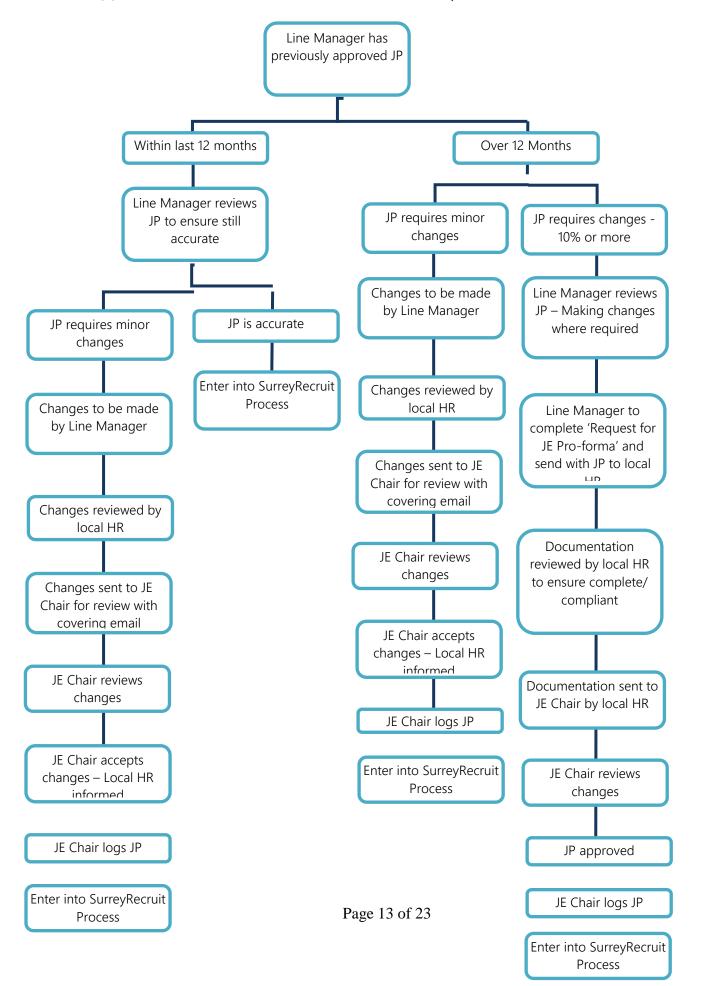
- 4.2.1 Allowances within the guidelines stated in the Allowance Matrix (see Appendix F) can be approved by the local HR Department.
- 4.2.2 Approval for allowance payments outside of the Allowance Matrix or quoting a variable figure (e.g. market supplement, acting up), should be sought from the Deputy Director of HR (Operations) and Payroll Manager to ensure consistency and compliance with the guidelines. This approval must be in place before the allowance is offered to an individual.
- 4.2.3 Where a new allowance is required (outside of the Allowance Matrix), the Deputy Director of HR and the Payroll Manager must be consulted before any action is taken.
- 4.2.4 Requests for allowances can only be generated using a 'Change to Existing Post' form via SurreyRecruit. This must include a written justification for the allowance, amount and duration. Forms must be correctly coded according to the Allowance Matrix before submitting the request. If there is any doubt, contact should be made with the Payroll Office.
- 4.2.5 Where allowances are approved, these will not be backdated to an earlier point in time than the SurreyRecruit request, unless there are extenuating circumstances or there has been an error, in which case this can only be done up to a maximum period of 3 months.

5. **Appeals**

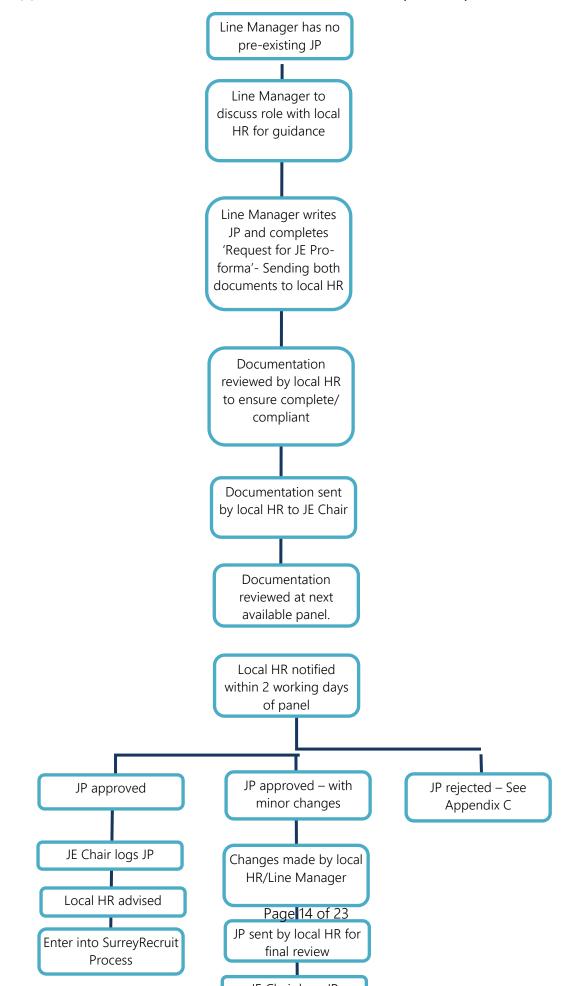
- 5.1.1 The Line Manager or Employee (supported by the Line Manager) can appeal the decision of the panel. This should be sent to the Deputy HR Director (Operations) within 10 working days of the outcome notification.
- 5.1.2 An appeal should include all documentation sent to the JE Committee, plus a covering note outlining the grounds for appeal.

- 5.1.3 Grounds for appeal may include:
 - Other pertinent information comes to light which is likely to affect the grading decision.
 - Incorrect or incomplete information was submitted to the evaluation panel
 - The evaluation panel failed to follow its stated procedure in a way that was potentially material to the grading decision
- 5.1.4 On receipt of the appeal, the Deputy Director of HR (Operations) will check that the appeal meets the appeal criteria. If it does not comply, the Deputy Director of HR (Operations) will inform the Line Manager, clearly setting out in writing why the appeal cannot proceed.
- 5.1.5 The Appeals Committee will comprise:
 - 2 x nominated representatives Level 6 or above from HR.
- 5.1.6 In those instances in which there is inadequate information to reach a decision and it is determined appropriate by the panel, the Chair may request the post holder, the post holder's manager or another suitably informed manager to attend the panel meeting for a short time. This will enable further information to be sought by the panel in relation to any post under consideration which is not readily available from the documentation presented. Such individuals invited to attend in this capacity will be expected to respond where possible to direct questions raised by the panel, but will not be permitted to offer a view.
- 5.1.7 The outcome of the appeal will be provided within 10 working days of the panel.
- 5.1.8 This is the final stage of the Appeals process and the decision of the Appeals Committee will be final.

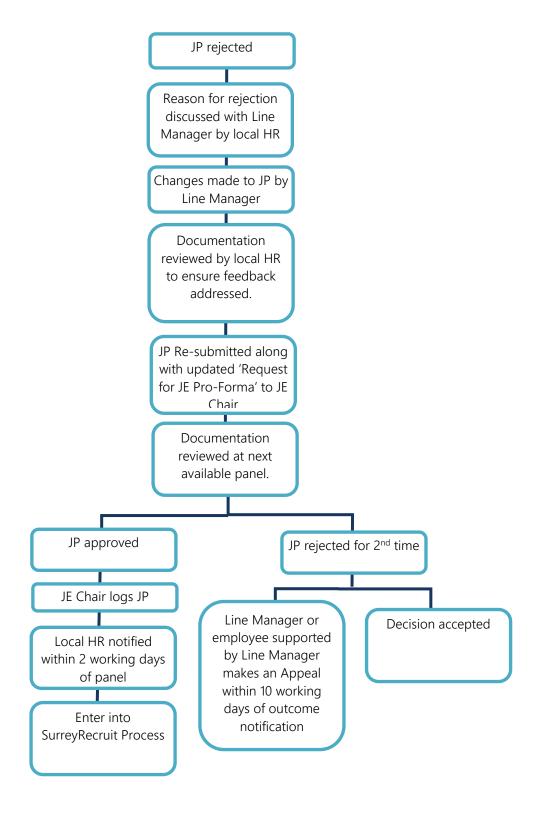
Appendix A: Job Evaluation Process Where Job Purpose Pre-exists



Appendix B: Job Evaluation Process Where New Job Purpose Required



Appendix C: Job Evaluation Process Where New Job Purpose is Rejected at Panel



Appendix D: Accelerated Increment or HRZ Application Process



Appendix E – HRZ Criterion Steps

The post holder undertakes some additional res expected of the core level of the post.	ponsibilities above those
In performing these additional responsibilities it in holder consistently demonstrates high levels of ada as well as an understanding of the wider issues limit the undertaking of additional responsibilities clearly and/or productivity.	ptability and commitment ked to this post such that
Examples of "best practice" include;	
Demonstrating a consistent level of competence is	n all duties
 Delivering excellent customer service internally a 	nd externally
Demonstrating excellent adaptability and versatili	ty
The post holder undertakes a range of additional reexpected of the core level of the post.	esponsibilities above those
In performing the range of additional responsibilities post holder continues to demonstrate a high commitment and individual ownership, together was abilities in the event of change and development with	level of responsibility, vith strong team working
Examples of "best practice" include;	
Demonstrating a consistent level of competence is	n all duties
Delivering excellent customer service internally a	nd externally
Displaying excellent motivation, reliability and a p	oositive attitude to work
 Consistent approach to analysing problems and d 	iagnosing solutions
The post holder undertakes significant additional reexpected of the core level of the post.	esponsibilities above those
It is expected that the post holder not only meet objectives of the core level of this post but often excomnership and responsibility beyond that expecte performing these significant additional responsibility post holder shows a clear understanding of all the with this post and the appropriate level of lead performance to achieve objectives.	ceeds them demonstrating d of the appointment. In ties it in expected hat the e wider issues associated
Examples of "best practice" include;	

Demonstrating a consistent level of competence in all duties Delivering excellent customer service internally and externally Demonstrating exceptional positive commitment to change Providing leadership to enable excellent team performance The post holder undertakes a range of significant additional responsibilities above those expected of the core level of the post. It is expected that exceptional standards are delivered from the post holder. In 4/5 performing this range of significant additional responsibilities, it is expected that the post holder consistently demonstrates exceptional performance, always exceeding the targets and objectives of the core post and demonstrating by example clear leadership and influencing skills at this level. Such additional responsibilities would be significant, but not quite significant to warrant regarding to a higher level. The range of significant additional responsibilities will determine the level of the HRZ. Examples of "best practice" include; Demonstrating a consistent level of competence in all duties Delivering excellent customer service internally and externally Ability to demonstrate exceptional imagination and enterprise on a project or piece of work Ability to demonstrate outstanding teamwork and responsibility for others Ability to notably enhance either internal or external partnerships 6/7 The post holder undertakes a wide range of significant additional responsibilities above those expected of the core level of the post. It is expected that the post holder will consistently demonstrate performance at an exceptional level. Targets are consistently exceeded and all core competencies at this grade are continually demonstrated at an exceptional level. Examples of "best practice" include; Demonstrating a consistent high level of competence in all duties Delivering exceptional consistent customer service internally and externally

Ability to demonstrate innovative thinking on a project

Ability to demonstrate exceptional teamwork and leadership

Appendix F - Allowance Matrix - updated August 2017

P/E	Description	Amount	End Date?	Pension	COL	Comments
1190	PRP	As agreed	Y	N	N	
1191	PRP - Senior	As agreed	Y	N	N	
1195	Bonus	As agreed	Y	N	N	
1196	Bonus - Project	As agreed	Y	N	N	
1197	SSPL Commission	As agreed	Y	N	N	
3260	Golden Hello	As agreed	Y	N	N	One off discretionary payment
1220	Head of Dept/Division	Up to £8k p.a.	Y	Y	N	
1221	Head of Dept / Division - L6	Variable (in addition to HoD allowance)	Y	Y	N	For HoD appointments where the individual is at Level 6. Amount should be the difference between current salary and L07.1
1222	Head of Dept / Division 2	Up to £8k p.a	Y	Y	N	For additional appointments where the individual already has an active '1220' allowance
1223	Associate Dean L6	Variable (within valid range)	Y	Y	N	
1225	Deputy Head of	Up to £3k p.a.	Y	Y	N	

	Dept/Div					
1226	Head of Dept / Division	Up to £8k p.a	Y	N	N	For appointments less than 3 years
1227	Head of Dept / Division L6	Variable (in addition to HoD allowance)	Y	N	N	For HoD appointments where the individual is at Level 6. Amount should be the difference between current salary and LO7.1. For appointments less than 3 years.
1228	Deputy Head of Dept / Division	Up to £3k p.a	Y	N	N	For appointments less than 3 years
1241	Research Theme Champion	£4,500 p.a	Υ	N	N	
1330	Warden	As agreed by Student Services	Y	N	Y	
1345	Deputy Warden	As agreed by Student Services	Y	N	Y	
1346	Senior Warden	As agreed by Student Services	Y	N	Y	
1347	Wardening Co- ordinator	As agreed by Student Services	Y	N	Y	
1348	Acting Warden	As agreed by Student Services	Y	N	Y	

1350	Contracted Overtime	As agreed by Deputy Director HR	N	Y	N	Security Only. Based on pay rate so automatically updated when COLI applied
1356	Contracted Overtime	As agreed by Deputy Director HR	N	Y	Y	SSP Only.
1360	Night Shift	Additional payment of 6% per hour	N	Y	Y	Central & Residential Services Only.
1378	Acting Up	Variable in line with policy	Y	N	Y	Values in line with allowance guidelines
1379	Acting Up – Senior Staff	Fixed amount	Y	N	N	Set amount agreed by HR/budget holder
1380	Clinical On-Call (NHS Allowance)	Variable	N	Y	N	In line with amounts awarded by NHS Trust
1381	Veterinary Market Allowance	10% of basic pay	N	Y	N	Based on pay rate so automatically updated when COLI applied
1388	On Call Marketing	£500 p.a	Y	N	N	
1390	Resp-Add Duties Level 1	£500 p.a.	Y	N	N	
1391	Resp-Add Duties Level 2	£1,000 p.a.	Y	N	N	
1392	Resp-Add	£1,500 p.a.	Y	N	N	

N N	
N	
N	Only to be used in FASS
N	If allowance continues after 3 years, it should be subsumed.
N	Only to be used in FHMS.
N	Only to be used in FASS
N	Award amounts vary in line with the NHS scale, but are generally granted for a 5 year period and are reclaimed by the NHS employer
N	
N	
N	Boiler Assistant only. Based on pay rate so automatically updated when COLI applied.
N	5 year period
N	
	N

1575	Associate Dean	Up to £8k p.a.	Y	N	N	This is ONLY TO BE USED FOR Deans with appt of less than 3 years as this is non pensionable
1576	Director of Studies 2	Up to £4k p.a.	Y	Y	N	For additional appointments when individual already has an active '1456' allowance
1577	Research Merit Awards	£15k p.a.	Y	Y	N	Royal Society Wolfson Award
1578	Director of Studies (non- pensionable)	Up to £4k p.a.	Y	N	N	For appointments of less than 3 years
1580	Deputy Associate Dean	£1k-£3k p.a.	Y	Y	N	Between £1,000 and £3,000 p.a.
1590	Distinguished Professor	£5,000 p.a.	N	Y	N	