



PRIFYSGOL CYMRU
Y Drindod Dewi Sant
UNIVERSITY OF WALES
Trinity Saint David

GRADE PROGRESSION, RE-GRADING AND PROGRESSION BETWEEN GRADES

POLICY AND PROCEDURES

| | |
|--|----------|
| 1. INTRODUCTION..... | 3 |
| 2. SCOPE..... | 3 |
| 3. AIMS..... | 3 |
| 4. PRINCIPLES..... | 4 |
| 5. RE-GRADING PANEL..... | 5 |
| 6. PROGRESSION WITHIN ACADEMIC GRADES | |
| 6.1 Progression Criteria from Lecturer to Senior Lecturer..... | 5 |
| 6.2 Submission of Pay Progression Requests from Lecturer to Senior Lecturer..... | 6 |
| 7. PROGRESSION FROM SENIOR LECTURER TO PRINCIPAL LECTURER | |
| 7.1 Progression Criteria from Senior Lecturer to Principal Lecturer..... | 7 |
| 7.2 Submission of Pay Progression Requests from Senior Lecturer to Principal Lecturer..... | 7 |
| 8. PROGRESSION WITHIN SUPPORT POSTS | |
| 8.1 Progression Criteria within Support Posts..... | 8 |
| 8.2 Submission of Pay Progression Requests within Support Posts..... | 8 |
| 9. MONITORING FOR EQUAL OPPORTUNITIES..... | 9 |
| 10. REVISION OR TERMINATION OF THIS PROCEDURE..... | 9 |
| 11. OUTCOME OF PAY AND GRADING REQUESTS..... | 9 |
| 12. RIGHT OF APPEAL and APPEAL PROCESS..... | 9 |
| Pay and Grading Request Form – Academic Staff..... | 11 |
| Pay and Grading Request Form – Support Staff..... | 15 |

INTRODUCTION

- 1.1 The University of Wales Trinity Saint David recognises:
 - 1.1.1 the vital contribution which staff at all levels make to the continuing success of UK higher education, and the need for them to be rewarded properly;
 - 1.1.2 the importance of having in place pay and grading systems that improve the recruitment and retention of staff;
 - 1.1.3 a responsibility to ensure equal pay for work of equal value;
 - 1.1.4 the need to recognise and reward the contribution which individuals make,
and
 - 1.1.5 to establish a structure that will underpin opportunities for career and organisational development.
 - 1.1.6 The need to ensure that pay arrangements are operated in an equitable and transparent manner.

2. SCOPE

This Pay Progression Policy covers **all** employees in posts within the scope of the 51 point pay spine, except staff still within their probationary period of employment. Part time employees are covered by this policy regardless of the number of hours that they work for the University.

3. AIMS

3.1 Academic Staff

- 3.1.1 To ensure the operation of a pay progression procedure which permits all employees to move incrementally up their contractual pay grade.
- 3.1.2 To establish a grade progression policy that is open and transparent which will allow individuals, within the grading system, to make representation to the University when they feel that the knowledge, experience and contribution within their role has developed such that it now matches the criteria of a higher post, within a direct line of progression and as determined by the HERA process.
- 3.1.3 To ensure that all vacant posts are advertised internally so that all staff can have the opportunity to apply for promotional vacancies provided that they meet the criteria for the post.

3.2 Support Staff

- 3.2.1 To ensure the operation of a pay progression procedure which permits all employees to move incrementally up their contractual pay grade.
- 3.2.2 To establish within support grades a re-grading process that is open and transparent which will allow individuals, within the grading system, to make representation to the University when they feel that the knowledge, experience and contribution within their job role has developed such that it now matches the criteria of a higher graded role as determined by the HERA process.
- 3.3. To ensure that all vacant posts are advertised internally so that all staff can have the opportunity to apply for promotional vacancies provided that they meet the criteria for the post.

4. PRINCIPLES

4.1 Progression within grades

- 4.1.1 All staff will have the opportunity to move incrementally up their respective pay grade unless they will not have been in their current post for six months prior to the date of incremental progression (agreed with the trade unions as 1st August 2013). Natural progression within the grade permits the individual to move incrementally up to the top of their respective grade. This form of progression is designed to reflect the growing experience and skill of the job holder as they progress within their defined, contractual role.
- 4.1.2 The normal expectation of incremental progression would be suspended for staff who:
- have a formal written warning on file in accord with the agreed formal process for dealing with issues of poor performance or conduct;
 - whose probationary period has been extended at the time that an increment is due or are subject to monitoring following a review under the UWTSD Probationary Procedures. An increment will only be paid when, and from the date that satisfactory performance is achieved;
 - staff who have been on their current incremental point for less than six months at the time an increment is due.
- 4.1.3 There is no provision for accelerated progression within this policy.
- 4.1.4 Progression within grades is to recognise both acceptable/exceptional performance retrospectively, ability and knowledge currently, and to promote continued effort in all elements of the job role going forward. **The policy is not designed to reward excellence within a grade.** Care is taken during the recruitment policy to recruit individuals who can reach and sustain standards of excellence within their grade.

4.2 Re-grading Process

- 4.2.1 It is recognised that some individuals will be able to demonstrate that their growth and development may be classified as meeting the criteria stipulated in a higher graded role.
- 4.2.2 The Policy is designed to offer equal opportunities for all staff in each particular grade and to reward the acquisition of experience and contribution at a higher level but to do so operationally with demonstrable fairness, transparency and objectivity. Re-grading, within the scope of this policy will be as determined by the HERA process.
- 4.2.3 Whilst the University encourages staff development, no line manager should permit staff to extend duties beyond the job description for a continuous period of time without first discussing with the Human Resources Department.

5. RE-GRADING PANEL

Re-Grading requests will be considered by a Grading Panel which will include two senior managers and a representative of the recognised trade unions. All panel members will have been trained in the operation of the HERA (Higher Education Role Analysis).

6. ACADEMIC GRADES - PROGRESSION FROM LECTURER TO SENIOR LECTURER

There is no automatic progression from the post of Lecturer to Senior Lecturer, but the University accepts that lecturing staff have a normal expectation of progressing to the senior lecturer grade. Lecturer Progression will be linked to the individual being able to demonstrate that the duties that they are being asked to undertake in the workplace are commensurate with the duties stipulated in the nationally agreed framework for a Senior Lecturer. To demonstrate that their role has crossed the threshold of the post of Senior Lecturer they will have to demonstrate growth of knowledge, experience and contribution. They will also be required to demonstrate that they have the capability to operate, consistently and in a sustained manner at the higher level.

It will be important that progression from Lecturer to Senior Lecturer will have been identified at Appraisal for more than one year and there should be written confirmation within the appraisal document that the member of staff can satisfy the role profile of a Senior Lecturer and that achievement and performance of all the elements of the Lecturer grade have been consistently met and sustained. This is vital as each of the nationally agreed academic role profiles builds upon the level below.

(Note: Performance will not be judged to be satisfactory if the member of staff is subject to the formal elements of the University's capability or disciplinary procedures at the time of the re-grading submission).

6.1 Progression Criteria from Lecturer to Senior Lecturer

In considering the request the Grading Panel will be seeking evidence to demonstrate success, effectiveness and merit which can be evidenced in enhanced learning and teaching through:-

- engagement in continuous professional development;
- pro activity in membership of appropriate professional bodies which promotes professional development;
- teaching innovation and/or programme development within a subject area.

Contributions to the pedagogy of the subject area;

- effective research student supervision
- participation in income generation;
- representation of the department on external networks.
- pro activity linked to student activities;
- experience of coordinating specific activities.

6.2 Submission of Pay Progression Requests from Lecturer to Senior Lecturer

Submission will be by formal written request using the University's official 'Pay and Grading Progression Request Form'. Following completion of the form, the individual Lecturer should obtain the endorsement of the Head of School. This endorsement should include reference to identified criteria from the Senior Lecturer role profile which the individual and the Head of School deems is now being demonstrated by the Lecturer. This endorsement should also be supported by extracts from two annual appraisal forms which clearly indicate that the Lecturer has been working towards the generic role profile for a Senior Lecturer. Alternatively, that they are able to clearly evidence work to the higher role profile for at least twelve months.

Before final submission of the written request, the formal support of the Dean of Faculty should be sought and his/her signature appended in the appropriate section of the Request form. Requests, when completed must be submitted to the Director of Human Resources by 20th June each year for consideration at a special Re-grading Panel sitting at the end of the academic year. The actual date of the Re-grading Panel meeting will be included in the University calendar. The Head of School should ensure that they are available to attend the Re-grading Panel meeting should their attendance be required to substantiate their team member's re-grading request.

Submission will be delayed if an individual is, at the submission date, subject to the formal elements of the University's Capability or Disciplinary procedures).

7. PROGRESSION FROM SENIOR LECTURER TO PRINCIPAL LECTURER

There is no automatic progression from the post of Senior Lecturer to Principal Lecturer. Progression to the post of Principal Lecturer will be linked to the individual being able to demonstrate that the duties that they are being asked to undertake are commensurate with the duties stipulated in the nationally agreed framework for a Principal Lecturer. To demonstrate that their role has crossed the threshold of the post of Principal Lecturer they will have to prove growth of knowledge, experience, contribution, including additionality. They will also be required to demonstrate that they have the capability to operate, consistently and in a sustained manner at the higher level.

It will be important that progression from Senior Lecturer to Principal Lecturer will have been identified at Appraisal more than one year and there should be written confirmation within the appraisal document that the member of staff can demonstrate the exceptional commitment, income generation or research profile consistent with the role profile of a Principal Lecturer and that achievement and performance of all the elements of the Principal Lecturer grade have been consistently met. This is vital as each of the nationally agreed academic role profiles builds on the level below.

(Note: Performance will not be judged to be satisfactory if the member of staff is subject to the formal elements of the University's Capability or Disciplinary procedures at the time of the regrading submission).

7.1 Progression Criteria for Progression from Senior Lecturer to Principal Lecturer

In considering the request the Grading Panel will be seeking evidence of particular success, effectiveness and merit in **each** of the following:

- team leadership resulting in demonstrable benefits to the teaching and learning process and enhancement of the student experience
- a record of publication of research in appropriate journals or significant, demonstrable contribution to the pedagogy and development of the subject area
- identifying sources of and securing research/commercial funding
- quality management
- enhancing the department's role and reputation
- other substantial commitments
- developing effective links with industry / consultancies
- contribution to professional bodies or learned societies

7.2 Submission of Pay Progression Requests from Senior Lecturer to Principal Lecturer

Submission will be by formal written request using the University's official 'Pay and Grading Progression Request Form'. Following completion of the form, the individual Senior Lecturer should obtain the endorsement of the Head of School. This endorsement should include reference to identified criteria from the Principal Lecturer role profile which the individual and the Head of School deems is now being demonstrated by the Senior Lecturer. This endorsement should also be supported by extracts from two annual appraisal forms which clearly indicate that Senior Lecturer has been working towards the generic role profile for a Principal Lecturer. Alternatively, that they are able to clearly evidence work to the higher role profile (i.e. Principal Lecturer) for at least twelve months.

Before final submission of the written request the formal support of the Dean of Faculty should be sought and his/her signature appended in the appropriate section of the Request form. Requests, when completed must be submitted to the Director of Human Resources by 20th June each year for consideration at a special Regrading Panel at the end of the academic year. The actual date of the Regrading Panel meeting will be included in the University calendar. The Head of School should ensure that they are available to attend the Re-grading Panel meeting should their attendance be required to substantiate their team member's request.

Submission will be delayed if an individual is, at the submission date, subject to the formal elements of the University's Capability or Disciplinary procedures.

Submissions for progression from the post of Lecturer to Principal Lecturer will not be invited or processed.

8. PROGRESSION WITHIN SUPPORT POSTS

There is no automatic progression within any of the Support Grades in any of the Job Families including within Apprenticeships. Progression will be linked only to:

- the individual being able to demonstrate that the content of their role and their capability within that role has developed to the level stipulated in the role profile of a higher level. This would be evidenced by written confirmation at Appraisal for more than one year.
- the individual will be required to demonstrate that they have the capability to operate consistently and in a sustained manner at the higher level.
- the Line Manager identifying the need to review the role to clarify the grade through the HERA process. This would be evidenced by written confirmation at Appraisal for more than one year.

It is expected that before a request can be submitted for consideration there will have been identified at Appraisal for more than one year and there should be written confirmation within the appraisal document that the member of staff can satisfy the upgraded role profile and that achievement and performance of all the elements of the next grade have been consistently met.

8.1 Criteria for Progression within Support Posts

Evidence for progression will be in accordance with HERA criteria.

8.2 Submission of Pay Progression Requests within Support Posts

Submission will be by formal written request using the University's official 'Pay and Grading Progression Request Form'. Following completion of the form by the individual the Head of Unit will be expected to formally endorse the request. This endorsement should include reference to identified criteria from the next level role profile which the individual and the Head of Unit feels is now being realised. This endorsement should also be supported by extracts from annual appraisal forms which clearly indicate that the individual has been working towards the higher role profile.

Before submission of the written request to the Director of Human Resources the formal support of the respective Pro Vice Chancellor should be sought and his/her signature appended in the appropriate section of the Request form. He/she will be required to provide an explanatory statement in the event that he/she does not support the request. Requests, when completed must be submitted to the Director of Human Resources by 20th June each year for consideration at a special Re-grading Panel at the end of the academic year. The actual date of the Re-grading Panel meeting will be included in the University calendar. The Head of Unit should ensure that they are available to attend the Re-grading Panel meeting should their attendance be required to substantiate their team member's request.

Submission will be delayed if an individual is, at submission date, subject to the formal elements of the University's Capability, Disciplinary or Appeals procedures.

9. DATE OF IMPLEMENTATION

If the re-grading request is successful the date of implementation will be related to the date of commencement of the new duties. The Re-grading Panel would take into consideration any allowance or honorarium already graded within this context

10. MONITORING FOR EQUAL OPPORTUNITIES

The process and outcomes linked to this Grade Progression and Re-Grading Policy will be monitored to ensure that consistent decisions are being taken, avoiding discrimination or the enforced meeting of targets. The HR Officer with responsibility for Equality and Diversity matters will undertake an impact assessment of the pay progression process on an annual basis.

11. REVISION OR TERMINATION OF THIS PROCEDURE

The operation of this procedure will be periodically reviewed in conjunction with the trade unions.

12. OUTCOME OF PAY AND GRADING REQUESTS

Staff will be informed of the outcome in writing within two weeks of the Regrading Panel meeting to formally consider the submission. The outcome will be notified by the Director of Human Resources.

13. RIGHT OF APPEAL

The individual will have the right of appeal against a decision taken by the Regrading Panel.

Staff who wish to exercise their right of appeal should in the first instance, submit their appeal to the Director of Human Resources.

The Pay Progression appeal process will be separate from the University's Grievance Procedure.

An individual who feels that the outcome of the regrading request is not acceptable will have the opportunity to appeal to a Regrading **Appeals** panel. This Appeals panel will constitute senior members of staff and a union official not previously included in the regrading process. The Appeals panel may request that the appellant be subject to a HERA evaluation exercise and may also require the attendance of the respective line manager.

The University will seek to undertake the appeal within one month of the submission of the appeal. The appellant will be advised of the outcome of the appeal within two weeks of the appeal hearing.

14. POLICY REVIEW

The review of this Policy is stipulated in the version control document.

*End of document
Final Version 03.2013
Revision 27.03.2014*

PAY and GRADING PROGRESSION REQUEST FORM

ACADEMIC STAFF

| | |
|-----------------------|---|
| Name: | Length of Service in Current post: |
| Department: | Length of Continuous Service within TSD: |
| Current grade: | Promotion Request to grade of: |

1. SUPPORTING STATEMENTS

1a Supporting Statement from Applicant

Please state in no more than 500 words, your particular strengths in teaching, research and administration, your aims in each area and how you believe you are achieving them. Material in excess of 500 words will not be considered.

1b Supporting Statement from Head of School

This endorsement should clearly indicate that the individual clearly meets the generic role profile for the higher level post. Please include the extracts from two consecutive Appraisal forms which demonstrate that there has been previous discussion in relation to the individual's progression within their current post.

1. TEACHING AND LEARNING

Please indicate the level of teaching responsibilities within your current role and indicate the list of modules and degree schemes for which you have been delegated responsibility as co-ordinator. Please highlight any innovations or developments that you have been responsible for, and indicate how you have contributed to the pedagogy of your subject area.

2. SUPERVISION

Please indicate the level of primary supervision, joint supervision and secondary supervision within your current role and indicate the list of modules and degree schemes for which you have been delegated responsibility as co-ordinator.

3. RESEARCH

Please indicate the level of research that you have undertaken.

For the post of Reader please list any research grants / fellowships/contracts that you have obtained including the source, value and duration.

4. INCOME GENERATION ACTIVITIES

Please indicate your involvement in income generation activities within the last two years.

5. ADMINISTRATION RESPONSIBILITIES

Please indicate the level of administration that you have been involved in.

6. ADDITIONAL CONTRIBUTION TO THE WORK OF THE UNIVERSITY

Please indicate the level of administration that you have been involved in.

7. CONFIRMATION FROM INDIVIDUAL MEMBER OF STAFF

I confirm that the information that I have submitted in this request is a true and factual representation of my position within the university. Please sign to indicate your approval that the request be submitted to the Re-grading Panel for consideration. Please include any additional information that you feel might be relevant.

Signed:

Date:

8. SIGNATURE OF HEAD OF SCHOOL

I confirm that the information that I feel able to support this request.

Signed:

Date:

Post Held

9. SIGNATURE OF DEAN OF FACULTY

Please sign to indicate your approval that the request be submitted to the Re-grading Panel for consideration. Please include any additional information that you feel might be relevant, or any concerns or reservations.

Signed:

Date:

Head of Faculty of :

.....

FOR HR DEPARTMENT USE

| | | |
|---|---|----------|
| Date of Receipt by HR: | Date of submission to Re-grading Panel: | |
| Date of Special Re-grading Panel panel meeting: | Outcome of Special Panel meeting Please circle below | |
| | Accepted | Rejected |
| New Grade: | Effective from: | |

PAY and GRADING PROGRESSION REQUEST FORM SUPPORT STAFF

| | |
|----------------|--|
| Name: | Length of Service in Current post: |
| Department: | Length of Continuous Service within TSD: |
| Current grade: | Promotion Request to grade of: |

1. SUPPORTING STATEMENTS

1a Supporting Statement from Applicant

Please state in no more than 300 words why you feel that you should be considered for a higher grade for your current post. Material in excess of 300 words will not be considered.

1b Supporting Statement from Head of Unit

This endorsement should clearly indicate that the individual clearly meets the generic role profile for the higher level post. Please include the extracts from two consecutive Appraisal forms which demonstrate that there has been previous discussion in relation to the individual's progression within their current post.

2. TRAINING AND DEVELOPMENT ACTIVITIES

Please indicate Training and Development Activities undertaken whilst in your current role.

3. ADDITIONAL CONTRIBUTION TO THE WORK OF THE UNIVERSITY

Please indicate the additional contribution you have made to the work of the University;

4. CONFIRMATION FROM INDIVIDUAL MEMBER OF STAFF

I confirm that the information that I have submitted in this request is a true and factual representation of my position within the University. Please sign to indicate your approval that the request be submitted to the Re-grading Panel for consideration. Please include any additional information that you feel might be relevant.

Signed:

Date:

5. SIGNATURE OF HEAD OF UNIT

I confirm that the information that I feel able to support this request.

Signed:

Date:

Post Held:

6. SIGNATURE OF PRO VICE CHANCELLOR

Please sign to indicate your approval that the request be submitted to the Re-grading Panel for consideration. Please include any additional information that you feel might be relevant.

Signed:

Date:

PRO VICE CHANCELLOR

.....
FOR HR DEPARTMENT USE

| | | |
|--|--|-----------------|
| Date of Receipt by HR: | Date of submission to Re-grading Panel: | |
| Date of Special Re-grading Panel meeting: | Outcome of Special Panel meeting: Please circle below | |
| | Accepted | Rejected |
| New Grade: | Effective from: | |

Re-Grading Appeal Procedure

Where a member of staff is dissatisfied with the outcome of a re-grading decision, they have a right of appeal against that decision.

The University will follow the following procedure;

- provide all the information held about the evaluation of the individual's post.
- offer the individual an informal discussion to check the role matching process. The informal discussion and re-evaluation of the HERA questionnaire would, in the first instance, be undertaken by the Director of Human Resources or nominee. This would incorporate the completion of a full HERA questionnaire if this has not already been undertaken by the individual.

If not resolved at this stage then;

- a formal appeal can be made.
1. Staff who are still dissatisfied after the informal review will have the right to take the matter forward through the formal 'right of appeal' process. This appeal process is a specific appeal on pay and grading matters and is separate from other appeal processes e.g. those incorporated in the University's Grievance or Disciplinary procedures or Absence Management procedures and covered by Dispute Resolution legislation.
 2. Staff who wish to proceed formally with their appeal against their revised grade should submit this request, in writing, to the Pro Vice-Chancellor (Finance and Planning). The letter of request should indicate the grounds for the appeal. The Pro Vice-Chancellor (Finance and Planning) will acknowledge the request for an appeal within 10 working days and will attempt to schedule the appeal meetings as soon as reasonably practicable.
 3. The Appeal will be heard by University Governors, a member of the Human Resources team and the relevant Trade Union representative.
 4. Staff will have the right to be accompanied at all stages by a 'Companion' i.e. a recognised Trade Union representative or a work colleague.

Document Version Control

Document reference : HR Policy – General Policy section

Document title: Grade Progression, Re-Grading and Progression between Grades

| | |
|--------------------------|-----------------------------|
| | |
| Original Policy Document | |
| Policy Document Updated | 27 th March 2014 |
| JCC | 26 th March 2014 |
| Date of Implementation | 27 th March 2014 |
| Date of First Review | March 2015 |
| Ongoing Review | Every two years |

Related documents

Staff Development Policy

Disciplinary Policy

Capability Policy