

ACADEMIC-RELATED STAFF

**RULES AND PROCEDURES FOR
CONFIRMATION, PROMOTION AND
SALARY REVIEW**

ACADEMIC-RELATED STAFF REVIEW COMMITTEE RULES AND PROCEDURES

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SECTION ONE

GENERAL PROCEDURES

1. The Council is the ultimate authority in all matters relating to the employment and conditions of service of members of Administrative, Library and Computer staff (Academic-Related Staff) and acts upon the advice of the Human Resources Division (HRD) in these matters. The Council has established an Academic-Related Staff Review Committee, whose composition and terms of reference are given in Appendix A. This Committee is responsible for the consideration of matters relating to the confirmation of appointment adjustment of salary, and re-grading/promotion of Academic-Related staff and shall seek to ensure consistency of judgment from year to year.
2. Recommendations for confirmation of appointment, re-grading/promotion, and salary review shall be made by the Heads of Division (HoDs) or Directors of University Services (DUSs) following the process set out in Sections Two and Three.
3. Awards are made annually by the Academic-Related Staff Review Committee. Where approved, the awards are effective from 1 August of the year in question.
4. Where it is intended to withhold an increment on the grounds of unsatisfactory performance, evidence must be provided to support the decision. Evidence may include, but is not restricted to, attendance records, appraisal outcomes or informal or formal disciplinary warnings. The appropriate manager must communicate clearly to the staff member the reason for the withholding of the increment and staff members will have the right of appeal via the Grievance Procedure.
5. The number of Special and Discretionary Increments of salary awarded shall be reviewed annually by the Equality and Diversity Committee. The grading or salary of an individual member of staff should not be less favourable than that of others on grounds of sex, marital status, gender identity or reassignment, race, colour, nationality, ethnic origin, disability, religion or belief, political belief, sexual orientation, pregnancy or childbirth, membership of a trade union, part-time or fixed term working, or age.
6. Not less than ten weeks before the meeting of the Academic-Related Staff Review Committee, the Director of Human Resources shall notify the HoDs and DUSs and of the Committee meeting. This notification will ask the HoDs and DUSs to ensure that all members of Academic-Related staff are informed within two weeks of receipt of the arrangements and timetable for this Review and are given the opportunity to submit their own cases for consideration by the Committee. The Timetable and Process for the Review is set out in Appendix C.

7. Following consideration of cases by the HoDs and DUSs, members of staff are entitled to know whether or not they are being recommended to the Academic-Related Staff Review Committee for re-grading/promotion or advancement of salary. When asked for this information, the HoDs or DUSs shall ensure that the member of staff is so informed not less than five weeks before the date of the relevant Committee meeting.
8. A member of staff for whom no recommendation is being made may make a personal submission for consideration by the Committee (see Section 2). For any personal submission, the Committee will accord parity of treatment to both recommendations from HoDs or DUSs and personal submissions, and neither category of case will be treated less favourably than the other. In reaching its decision the Committee will apply the same criteria and procedure in all cases as set out in the relevant parts of this document.
9. Reports and recommendations from HoDs and DUSs for consideration by the Committee shall be submitted to the Director of Human Resources not less than four weeks before the Committee meeting. Any personal submission shall be submitted to the Director of Human Resources by the individual concerned not less than three weeks before the meeting.
10. It is important that the Annual Review process forms part of a wider performance review process, so that an individual receives clear guidance on the expectations of their role, identification of their training and development needs and feedback on their performance, as identified through the annual appraisal process. Opportunity should be taken during the appraisal process to discuss career progression with individuals and encourage suitable applications to be made to the Committee.
11. Guidance on the format of submissions will be available from the relevant Human Resources Manager. Supporting statements should refer to assessment against the criteria relevant to the case.
12. Feedback will be given by the relevant manager where a management submission is not successful. This will usually be given verbally but may be requested in writing. For personal submissions, the secretary to the Committee will provide a written summary of the Committee's discussion and decision to the staff member with a copy to their line manager.
13. Each Division and University Service will be required to show that the Annual Review recommendations being proposed have provision within the approved 5-year income and expenditure plan. In order to achieve this, each case will be discussed with the Registrar & Secretary prior to submission to Human Resources.

SECTION TWO

ANNUAL REVIEW

1. Introduction

The University's pay and grading structure allows for normal incremental progression within a grade to reflect the acquisition of skill, knowledge and expertise that comes with experience.

This Section outlines the University's arrangements for recognising and rewarding Academic-Related staff in grades 6 to 10 for exceptional performance within their current grade, and for re-grading, resulting in promotion to a higher grade within the academic-related staff structure.

2. Rewarding exceptional performance

The arrangements for rewarding contribution by exceptional performance comprise three elements:

- (a) A Special Increment is awarded in recognition of outstanding and sustained performance, where an individual is showing significant potential and growth in their role at a faster rate than would normally be expected over a period of at least 12 months. Recommendations are based on the criteria outlined below. Normally, a maximum of one Special Increment may be recommended. Academic-related staff who have not yet reached the non-discretionary maximum of their salary scale are eligible for consideration for a Special Increment.
- (b) A Discretionary Increment (i.e. advancement to or within the Discretionary salary range above the scale maximum) reflects excellent performance over and above the normal requirements of the role, sustained over a longer period of time and where there is a reasonable expectation to believe that it will continue to be so. Recommendations are based on the criteria outlined below. Normally, a maximum of one Discretionary Increment may be recommended. Academic-related staff who have reached the top or the penultimate point of the non-discretionary maximum of their salary scale are eligible for consideration of this award. There is normally a requirement for evidence of sustained and outstanding performance within the post (or a previous post at the same grade) over at least 18-24 months.
- (c) An Ex-Gratia payment is designed to reward a specific contribution, project or other similar finite piece of work which has normally lasted for a period of 3 months or more and which will invariably be outside the usual parameters and expectations of the role. Ex-gratia payments allow staff to receive financial recognition in circumstances where a Special or Discretionary Increment would not be appropriate.

A detailed guidance note on the award of ex-gratia payments is available at:

https://intranet.uea.ac.uk/hr/intranet/promotions/exgratia_guidelines

3. Criteria for the award of Special and Discretionary Increments

Recommendations will normally be judged in the following areas:

- Management of a specific area of activity resulting in significant improvement against appropriate metrics;
- Greater than expected achievement of income, cost or performance-related targets;
- Significant improvements in operational or service standards or operational efficiency which may include generation of new income and controlling costs and improving cost effectiveness;
- Individual or team contribution to a long-term project with a significant impact upon a Faculty, Division or the University;
- Unusual longer-term work demands created e.g. by organisational change, where the performance of the member of staff has been key in continuing to fulfill the objectives of the department or University.

In addition to the above, an award may be used on retention grounds. In these circumstances, the case put forward must include relevant factual information to support the view that there is a significant risk that services might otherwise be lost to the University.

Furthermore, a Special Increment (but not a Discretionary Increment) can be made to redress anomalies i.e. where an individual's salary is no longer considered to represent a satisfactory relationship with the other members of staff, typically not caused by length of service or the award of performance increments.

4. Re-grading and Promotion

A case for re-grading, resulting in promotion within the academic-related staff structure, will be approved by the Academic-Related Staff Review Committee if:

- (i) suitable provision exists on the appropriate establishment; and the manager has identified the additional duties that the member of staff is carrying out; and provided a satisfactory explanation as to why these duties need to be part of that person's role; and

- (ii) the recommendation is supported by a formal HERA evaluation¹.

Where re-grading is appropriate as a consequence of restructuring or in relation to the legitimate development of the business, it is expected to happen at the appropriate time, following the established post release and HR processes, not via the Annual Review process.²

¹ Further information on HERA, including the appeals process can be accessed by following this link <https://intranet.uea.ac.uk/hr/intranet/hera>. The Grievance procedure is also available for staff members who feel that a case for promotion has been turned down unfairly. The procedure can be accessed by following this link https://intranet.uea.ac.uk/hr/intranet/policies/grievance_academic

² Grade 6 (ALC)

The 23rd Report governing the progression of ALC1 staff through to ALC2 was formally superseded by the Framework Agreement on 1st August 2006. As part of the introduction of the Framework Agreement the University committed to use Grade 6 (ALC) as a training grade only. This means that appointments to this grade are made only where there is a clear requirement and funding in place to facilitate progression to Grade 7 (ALC). Progression to Grade 7 will be expected to happen at the appropriate time, with guidance from Human Resources, not via the Annual Review process.

SECTION THREE

CONFIRMATION OF APPOINTMENT

1. Introduction

The Confirmation of Appointment procedures will normally apply to all newly appointed staff on Academic and Related Terms and Conditions of Appointment on grades 6 and 7.

The University recognises that a supportive and developmental probation process is essential to provide the appropriate level of support and training for new members of staff. A formal probation procedure helps to ensure that the University is provided with an opportunity to assess the performance, conduct and attendance of each new staff member in a fair and consistent manner, that staff members are given the support, encouragement, training and guidance they need, and both managers and staff members understand the purpose of probation and what is expected of them.

The Staff Appraisal and Development Scheme is an important vehicle for personal review and self-assessment on the part of any probationer and for guidance and advice from a senior member of staff acting as appraiser. The annual appraisal round should be seen as complementing and providing formal reinforcement for the probation process.

2. Length of Probation

The length of probation period for Academic-Related Staff will normally be a maximum of two years with the possibility of confirmation at twelve months. The length and nature of a probation period served in a previous Higher Education role may be taken into account when determining the length of probation upon appointment to a post in this University. Where this situation arises, advice should be sought from the Human Resources Manager.

3. Procedure

Setting Standards

The line manager should ensure that an induction programme is in place for a new member of staff. The line manager should arrange to meet formally with the new staff member during their first week of employment to clarify standards and objectives, and to ensure that expectations regarding work performance, conduct and attendance are clear and that the appropriate support, training and guidance is in place.

Conduct of probation period

Formal probation review meetings should be carried out. The purpose of these meetings is to assess and document the standards of work performance, conduct and attendance against the objectives and standards set at the initial meeting and to identify any further support, training or guidance required. Formal meetings should be held every FOUR months within the probation period. These should be organised by the line manager in advance so that both parties have time to prepare for the meeting. A written summary of the key points should be provided to the probationer after every meeting.

After the second meeting, at the eight-month point of the probation period, the line manager should submit a brief progress report to the Human Resources Manager. This will summarise the probation review meeting and a copy will be given to the probationer. If an area of dissatisfaction is discovered at any stage during probation, the probationer should be informed immediately and be given advice and assistance to rectify it. Following discussion with the Human Resources Manager, the line manager will give the probationer full details in writing of the specific areas which need to be improved, with an indication of how this improvement is to be achieved and appropriate timescales for review. Subsequent progress meetings should record improvements made or failure to achieve set goals.

4. Confirmation of Appointment

Should progress be sufficient to allow confirmation at the twelve-month point this can be confirmed verbally by the line manager at the review meeting. The manager should inform the Human Resources Manager who will write formally to confirm confirmation of appointment.

If progress is not sufficient to allow confirmation at the twelve-month point, the line manager will make this clear during the review meeting. Probation will then continue and a final review meeting will be held at twenty months where, if performance is deemed to be satisfactory, confirmation of appointment can be confirmed verbally at the review meeting. The manager should inform the HR Manager who will write formally to confirm.

Where a staff member has not reached the required standards despite efforts to address issues, the procedure described in Section 5 below should be followed.

5. Non-Confirmation of Appointment

In exceptional circumstances, performance or behaviour may seriously harm the capability, good order or morale of a Department or School. Such performance or behaviour may lead to the probationary period being brought to a premature end following the process below.

Unless there are exceptional circumstances, non-confirmation should only be considered following the final twenty-month review meeting of the probationary period where the staff member has failed to attain the required standards. In this case, the Human Resources Manager will invite the staff member to a follow up meeting to discuss the issues prior to a decision being made. The meeting will be chaired by the HoD, DUS or appropriate nominated representatives.

The meeting will normally be held no later than two months before the end of the probationary period. The letter should state the reasons why the probationer has fallen short of the required standards and should advise that a possible outcome of the meeting could be a decision not to confirm their appointment. The staff member will have a right to be accompanied at the meeting by a work colleague or trade union representative. The Human Resources Manager will also attend the meeting.

At the meeting the line manager should re-iterate the reasons previously stated in the letter for considering non-confirmation of appointment and provide evidence/examples of the problems or issues, and the steps taken to address them. The staff member should be allowed to respond to the concerns and ensure that due consideration has been given to issues of equality and diversity and any other issues pertinent to the individual case.

Following the meeting a recommendation not to confirm may be made by the Chair of the meeting to the Human Resources Manager who will notify the Secretary to the Academic-Related Staff Review Committee of the circumstances of the case and the recommendation. The Secretary will arrange for the Committee to consider the case and the recommendation. The Secretary will confirm to the Human Resources Manager whether the recommendation is approved or otherwise. The Human Resources Manager will arrange a further meeting with the staff member and HoD, DUS or nominated representatives to confirm the Committee's decision. Following notification, the Human Resources Manager will write to the staff member to confirm the outcome, stating clearly the reasons, and setting out the right to appeal.

6. Appeals

Where a recommendation for non-confirmation of appointment has been approved by the Academic-Related Staff Review Committee, the staff member has a right to appeal against the decision to dismiss them from the University. The Appeals process set out in Appendix B will be followed. In order to appeal the staff member should write to the Director of Human Resources stating the reason for their appeal within 10 days of receipt of the confirmation of the decision in writing. The decision taken at the appeal hearing will be final.

APPENDIX A:

MEMBERSHIP, TERMS OF REFERENCE AND PROGRAMME OF MEETINGS OF THE ACADEMIC-RELATED STAFF REVIEW COMMITTEE

Membership

Ex officio

The Vice-Chancellor
The Pro-Vice-Chancellors
The Registrar and Secretary
The Director of Information Services

One of the Directors of University Services
One of the Heads of Division

A Human Resources Manager will act as Secretary to the Committee.

Members of the Committee shall absent themselves during discussion where the case of an individual with whom they have a direct household relationship is being considered.

Terms of Reference

1. To consider recommendations and submissions made in accordance with the approved Rules and Procedures of the Committee, concerning the confirmation of appointment, re-grading/promotion or amendment of salaries of members of the Administrative, Library and Computer Staff.
2. To take the steps necessary to see that all eligible members of staff have been considered on the same basis in accordance with the foregoing Rules and Procedures.

Programme of Meetings

The Academic-Related Staff Review Committee normally meets on one occasion in the year – the summer meeting.

On an exceptional basis the Committee may be called upon to re-convene to consider cases for non-confirmation of appointment if these occur outside of the timeframe for consideration at the summer meeting or if it is not possible or appropriate to consider recommendations by correspondence.

APPENDIX B

APPEALS AGAINST NON-CONFIRMATION OF APPOINTMENT

1. The following procedure is available to staff for appeals against non-confirmation of appointment.
2. Notice of appeal in such circumstances shall be lodged with the Director of Human Resources, in writing, not more than 10 days after the date of the written notification to the member of staff of the decision of the Academic-Related Staff Review Committee which is being appealed.
3. An appeal shall be heard by an Appeals Committee comprising three senior members of staff, appointed by the Vice-Chancellor. No member of the Committee may be a member of the Academic-Related Staff Review Committee, nor a member of staff of the same School or Division as the appellant. The Secretary to the Appeals Committee shall not be either the Secretary to, or a member of, the Academic-Related Staff Review Committee. While every effort will be made by the Director of Human Resources to ensure that the composition of the Committee would provide no grounds for objection, an objection by the appellant to the membership of any person on the Committee may nevertheless be raised formally with the Director of Human Resources who will refer the matter to the Vice-Chancellor for alternative nominations where appropriate.
4. The Appeals Committee's decisions are final and shall not be the subject of further discussion or appeal. The Committee's task is to determine whether or not appeals lodged by members of staff are to succeed. It communicates its findings directly to the Vice-Chancellor.
5. The Appeals Committee will review the case previously dealt with by the Academic-Related Staff Review Committee. The documentation presented to that Committee will be made available to the appellant immediately after the appeal is lodged, and will be the documentation presented by the University to the Appeals Committee. The appellant and/or his or her representative (who can be a Trade Union representative or work colleague) may present additional relevant information, which must be lodged with the Secretary so as to be circulated to all parties to the appeal hearing not later than one week before the date fixed for the hearing.
6. Witnesses may be invited to attend the hearing to give evidence. The University may call persons to speak to matters of fact leading up to the decision of the Committee or such matters as have been raised by the appellant. The appellant may call persons to speak to such matters of fact or to present additional relevant information. The names of any persons to be called by either side should be notified, in advance of the hearing, to the Secretary, who will notify all parties to the appeal hearing.

7. Conduct of the Hearing

- (a) The University officers presenting the case, the appellant and/or the appellant's representatives will be invited to attend the hearing.
- (b) The Chair will call upon the University officers to restate the case as presented to the Promotions Committee. The Chair will then call upon the appellant and/or the appellant's representatives to present their case.
- (c) Elucidation may follow by question and answer of any points arising.
- (d) Witnesses may be called by either side, in which case they will be invited to enter the room, make their statement and/or be examined by either side and by the Committee, then withdraw. Witnesses will not otherwise be present at any part of the proceedings.
- (e) At any time during the hearing either side may request a brief adjournment and agreement to such a request shall not unreasonably be withheld.
- (f) There being no further questions the appellant, any representatives and the University officers presenting the case will withdraw.
- (g) The Committee will consider its decision alone except for the presence of the Secretary.
- (h) The Committee shall endeavour to reach a decision as quickly as possible but may, if it so wishes, adjourn for one working day before reconvening to reach a decision.

8. The Committee's decision will be communicated to the appellant as quickly as possible by the Secretary of the Appeals Committee

APPENDIX C

TIMETABLE AND PROCEDURES

- (a) Recommendations and submissions for re-grading/promotion and for performance awards will be considered by the Committee when it meets in the summer.
- (b) The Human Resources Division will initiate the process. When notified that the Review is to be initiated, HoDs and DUSs are expected to consult appropriate members of staff in their Division and University Service in respect of potential awards. Every member of Academic-Related staff should be considered.
- (c) At the same time, staff will be provided with information about the relevant timetables and procedures. The staff within each Division and University Service will be given an opportunity to draw the relevant manager's attention to any factors which they would wish to see considered during the course of the Review.
- (d) The cost of awards and re-grading/promotions arising from the Review process has to be met by the spending unit concerned. Heads of spending units must ensure that appropriate provision is made in the area's 5-year plan. HoDs and DUSs must gain approval from the Registrar & Secretary before submitting cases to the Human Resources Division.
- (e) Members of staff will be notified of the process and timescale for making an individual submission to the Committee for consideration. The Human Resources Manager will forward a copy of the submission to the line manager (copied to the HoD or DUS) and request from them a formal statement on the content. The formal statement from the line manager will be copied to the staff member for information. The Human Resources Manager will provide both statements to the Committee for consideration.
- (f) The recommending manager, or staff member making a personal submission, will be informed of the outcome not more than 10 days after the Committee has met.
- (g) All recommendations to the Committee must comprise:
 - an up-to-date *Curriculum Vitae* in the standardised format available from:
https://intranet.uea.ac.uk/polopoly_fs/1.74770!model-cv-acad-rel-04.doc

- and a signed supporting statement from the HoD or DUS in the standardised format available from:

https://intranet.uea.ac.uk/hr/intranet/promotions/alc_recommendation_form

Supporting statements should refer to assessment against the criteria relevant to the case.

Personal submissions should follow this format, and should also refer to assessment against the criteria relevant to the case, but are not expected to be signed by the HoD or DUS.

Managers are encouraged to seek guidance in drafting cases from the relevant Human Resources Manager to promote quality and consistency.