



PROMOTION AND REGRADING PROCEDURE

1. Principles

This document sets out the process and procedure for promotion and regrading of jobs. It applies to all staff of the Institute whose jobs are covered under the national pay framework agreement (i.e. excluding the Professoriate and Senior Management where separate arrangements exist).

The process and procedure for promotion and regrading of posts should:

- promote transparency within the Institute by the use of a single job evaluation scheme to determine changes in role size
- underpin the need to demonstrate equal pay for work of equal value
- demonstrate equality of opportunity and consistency across the Institute
- be consistent with financial devolution to the faculties

2. Eligibility

To enable an efficient and effective response to changing circumstances requests for regrading of posts can be made and processed at any appropriate time in the year. Changes in duties and responsibilities described by the role holder must be “permanent” (i.e. likely to continue for the foreseeable future). (The Institute has other processes to cover temporary changes, e.g. acting-up allowances.) A role will normally be reviewed only once in any incremental year (August- July) unless exceptional circumstances apply.

Requests for promotion by academic staff may be made at any time in the year but will be considered bi-annually by the Academic Review Committee (nominal dates May and November).

3. Procedure

Stage One – the application

Any application for regrading/promotion must be made on the appropriate form which consists of three parts:

- a brief summary or overview of how and why the role has changed, including the specific dates at which increased responsibilities have become or will become effective
- a revised agreed job description and organisation chart (where there are changes to the line management arrangements)
- specific and typical examples of the requirement to work at a higher grade which should be detailed under the relevant sections of the HERA Written Record document

Individuals will need to secure the agreement of their line manager to each of these documents. The line manager is responsible for verifying the evidence in the Written Record document and ensuring that the evidence is agreed by both parties. The relevant Dean of Faculty/Deputy Secretary must support the request for re-evaluation and may add any comments for the role analysts to consider. (A copy of the application form is given in Appendix 1.)

Employees are reminded that role profiles for posts at different grades are available on the Human Resources web pages. The profiles provide a guide to how roles become bigger and more complex (in job evaluation terms) through the grading structure.

Further advice and guidance in completing the HERA Written Record document can be obtained from the HR Manager Reward, or Faculty HR Manager, as appropriate.

Stage Two – the evaluation process

Trained HERA role analysts will undertake the evaluation within the HR department. This will be based on the verified evidence of specific examples in the HERA Written Record document and revised job description. Following the evaluation a revised role score will be calculated and the outcome notified to the relevant Dean of Faculty/Deputy Secretary or Academic Review Committee for acceptance.

For staff on professional grades

For employees in professional roles where the recalculated score falls within the points range of the higher grade, then the job will be regraded.

If the re-calculated role score falls below the threshold of the higher grade, the employee and their line manager will be given detailed feedback using a tailored role profile generated from the HERA scoring software. The employee may appeal against this decision (see section 5 on appeals).

For staff on academic grades

The Institute wishes to be satisfied that the academic standing of the individual role holder is commensurate with the nature of the increased responsibilities that he or she is being asked to undertake. For that reason an Academic Review Committee will scrutinise all applications for regrading/ promotion.

The Committee will consider the outcome of the HERA job evaluation of the role in conjunction with the supporting evidence on the academic standing of the applicant in order to assess and decide on applications for promotion.

Any member of staff judged not to have met the standard for promotion shall be informed in writing of the reasons and given a clear statement of what needs to be achieved. They will also have the opportunity to discuss their case and their career development with the Chair of the Academic Review Committee or his/her nominee.

Further guidance on the appropriate format for the submission of this information can be found in the separate academic promotions procedure in **Appendix 2**.

To ensure consistency, applications for promotion to academic (teaching) and research roles will be considered at bi-annual meetings of the Committee (notional dates of meetings are May 1 and November 1), rather than in an ad hoc fashion.

For ease of reference **Appendix 3** provides a flow chart of the process.

4. Effective dates of regrading/promotion

4.1 Staff on professional grades

If the role score falls within the points range for a higher grade, the role holder will be promoted. The effective date of regrading for salary purposes will normally be the first of the month following acceptance of the evaluation.

4.2 Staff in academic (teaching and research) grades

Where the Academic Review Committee supports the regrading, the role holder will be promoted. The effective date of regrading for salary purposes will normally be the first of the month following approval by the Academic Review Committee.

5. Job evaluation appeals for professional staff

An employee has the right of appeal against the decision not to regrade a role. The criteria for appeal are as follows:

- i. the HERA process has not been followed
- ii. an aspect of the role has not been accurately assessed by the role analysts.

A Grading Appeals Panel consisting of management and trades union representatives will consider the appeal. All panel members will be fully trained. The decision of the Appeals Panel is final.

Further details of the appeals procedure is given in **Appendix 4**.

6. Monitoring

The HR Manager (Reward) is responsible for providing an annual equalities report to the Equal Opportunities Committee on the outcome of grading applications.

Approved by Finance & General Purposes Committee
30 October 2007

Appendix 1

Human Resources



Leading education
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APPLICATION FOR REGRADING/PROMOTION

Name	
Faculty/ Department	
Current grade	
Date of last application for regrading	

Part One – For completion by the applicant

Please write a brief summary of how and why your role has changed, including specific dates at which increased responsibilities became effective:
(If you need help in writing your application please speak to your line manager first, or contact the HR Department for advice.)

Please continue on separate sheets if required

Please complete the relevant sections of the HERA Written Record to provide specific examples to demonstrate the ways in which your role is required to operate at a higher level. Once you have completed the HERA Written Record, please pass a signed copy to your line manager for verification, together with this form.

Part Two – For Completion by Line Manager

I confirm that I agree the information contained in the brief summary is accurate and that I have also verified the examples provided in the HERA Written Record.

I attach a revised job description and an organisation chart for this post (where applicable) which have been discussed and agreed with the role holder.

Name.....

Faculty/Department.....

Signed

Date.....

This form and attachments (completed HERA Written Record, updated job description and organisation chart) should now be passed to the Dean of Faculty/Deputy Secretary as appropriate. For academic promotion this will include a recommendation from the Head of Academic Department.

Part Three – For Completion by the Dean of Faculty/Deputy Secretary

I confirm that I agree the verified HERA Written Record, revised job description and organisation chart. I request that the role is rescored accordingly.

I wish to add the following comments

Name

Faculty/Department.....

Signed

Date.....

Appendix 2

Academic Promotion Procedure

1. Introduction

All aspects of the procedures shall be fair and compatible with Institute policy and practice on equal opportunities. It shall be the responsibility of the HR Manager (Reward) to ensure that procedures laid out in the document are followed.

The Staff Development and Review system aims to keep all staff aware of the standards necessary to achieve promotion, the extent to which progress towards these standards has been achieved and the positive help which will be provided to assist that progress.

2. Academic Review Committee

There will be an Academic Review Committee with the following constitution and terms of reference:

2.1 Constitution

- (i) The Deputy Director (Chair)
- (ii) Assistant Director, Research and Consultancy
- (iii) Assistant Director, Learning and Teaching
- (iv) A professor nominated by the Meeting of Professors.
- (v) A Senior Researcher nominated by the Research and Consultancy Board.

2.2 Terms of Reference

- (i) The Academic Review Committee will consider applications for promotion from staff on academic grades 6 to 10.
- (ii) Applications will be considered bi-annually (normally in May and November).

2.3 Proceedings of the Committee

- (i) It will be the responsibility of the HR Manager (Reward) to establish the schedule of meetings for the Committee as soon as the membership is known.
- (ii) The Committee will have the right to call for clarification of individual submissions.
- (iii) Members of the Committee who have an interest in an application will declare that interest. The Chair will consider whether the member's interest will prejudice the decision and, if so, may rule that the member concerned will not participate in the discussion or decision of the Committee. Otherwise, she/he may contribute to the discussion of the Committee but will not participate in the decision.
- (iv) The proceedings of the Committee will be minuted by the HR Manager (Reward); the minutes will contain a brief record of the reasons for the decision on each candidate.

3. The Procedure

Applications will consist of the following:

An application form with supporting statement not exceeding two sides in length indicating the basis of the application under the appropriate criteria outlined below.

A curriculum vitae giving details of degrees (university, subject, class obtained,) professional training and qualifications and details of experience.

A list of publications arranged in chronological order (most recent first) under the headings of:

- Books (state whether the book is authored, jointly authored or edited)
- Chapters in books (including introductions and chapters in edited books) with page references
- Articles in journals
- Published conference papers
- Other

A list of most recent research and consultancy projects including value and impact

A citation report where applications are for promotion to grade 9 and above (details on the format are given in the Guidelines for Preparing a Citation Report)

A confidential report from the Head of Academic Department containing his/her recommendation

A completed HERA Written Record

The application (consisting of application form, HERA Written Record, full C.V, publications list, citation report (where appropriate), supporting statement and report from Head of Academic Department) will be sent to the Dean of Faculty for their comments.

The HR Manager (Reward) will be responsible for circulating all submissions (including the evaluation of role size) to members of the Committee normally 10 days in advance of the meeting).

4. Guidance on criteria

The criteria below offer an indication of the type of work and competences expected at each grade. The list is not meant to be exhaustive but shows how roles get bigger in job evaluation terms and how individuals develop their knowledge, skills and expertise within a role.

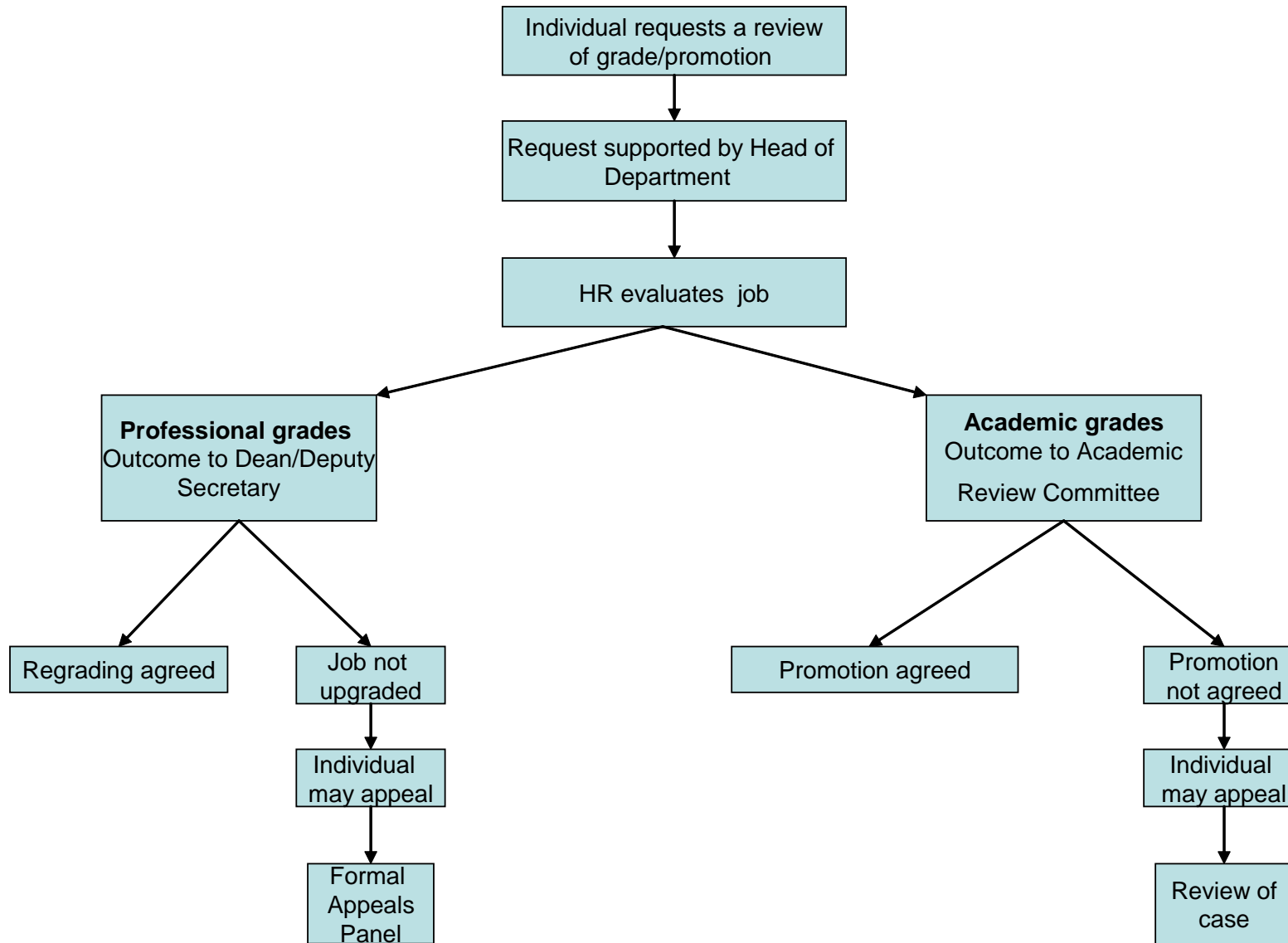
Promotion to	For Teaching & Research roles	For Research roles
Grade 7	Not applicable (minimum appointment level at grade 7 for teaching roles)	Development of skills in carrying out fieldwork, analysing data and writing up results to independent researcher level
Grade 8	Responsibility for designing and delivering a curriculum area and monitoring students progress Development of a publications profile Increasing responsibility for small research projects Contribution to the Institute's work in other areas	Increasing responsibility for planning and managing a number of small research projects Production of independent and original contribution to research areas Contribution to the Institute's work in other areas
Grade 9	Responsibility for long term development of a curriculum area and quality assurance Success in obtaining research and consultancy projects Quality of publications Quality of research and scholarship Contribution to the Institute's work in other areas	Responsibility for planning and managing a major research project Success in obtaining research grants Quality of publications External reputation as a researcher Contribution to the Institute's work in other areas

<p>Grade 10</p>	<p>Responsibility for shaping scholarly work on learning and teaching, generating original work. Recognised by peers as an expert at national/international level. Influential in shaping policy at a national level Contribution to the Institute's work in other areas.</p>	<p>Responsibility for shaping the broad research agenda, generating new concepts and methodologies Recognised by peers as an expert at national level Influential in shaping policy at a national level. Contribution to the Institute's work in other areas</p>
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5. Unsuccessful applications

(i) Any member of staff judged not to have met the standard for promotion shall be informed in writing of the reasons and given a clear statement of what needs to be achieved. They will also have the opportunity to discuss their case and their career development with the Chair of the Academic Review Committee or his/her nominee.

Promotion and Regrading process



Appendix 4

Job Evaluation Appeals Procedure for professional roles

1. Notification of appeal

An employee may appeal against the decision not to re-grade their post. Notification of the appeal must be made in writing to the HR Manager (Reward) within ten working days of notification of the outcome.

2. Grading Appeals Panel

A Grading Appeals Panel will be convened by the HR Manager (Reward) within one month of receipt of the letter of appeal. The Grading Appeals Panel will consist of three members: a management representative, a trade union representative and a Chair (the Chair will rotate and be from either the management or trade union side). All members of the panel must be trained in the HERA job evaluation scheme and appeals hearings. The employee may have a trade union representative or work colleague present to assist them. The line manager will be available to answer any factual queries that the Panel may have. A member of the Human Resources department will attend to act as secretary to the panel.

3. Process

The employee must provide a written statement ten days before the date of the meeting outlining which elements on the individual role profile have been inaccurately described. The role analyst will provide a written response. The Grading Appeals Panel will receive a copy of both statements, the HERA written record and score for the post in advance of the meeting.

The Grading Appeals Panel will consider the documentation and may ask the employee and role analyst to give further details from their written statements. The Panel may ask questions of both the employee, role analyst and line manager. On the basis of this information the Grading Appeals Panel will decide whether any of the factor levels should change. If so the Grading Appeals Panel will request the HR Manager (Reward) to re-score the role. If re-scoring the role should result in a change in grade, the effective date of implementation for salary purposes will normally be the first of the month following the date of the Appeals Panel meeting. If the Grading Appeals Panel concludes there should be no change to the factor levels the appeal will not be upheld. The employee and appropriate Dean of Faculty/Deputy Secretary will be advised of the outcome of the appeal within five working days of the meeting. The decision of the Grading Appeals is final.

13 November 2007