



Appeals Procedure – Role Evaluation

Introduction

Lancaster University and the recognised Trade Unions have worked together to implement Job Evaluation using the HERA scheme. The scheme measures the relative value of all roles across the University covered by the national agreed pay spine and underpins the new pay and grading structure. Job Evaluation is essential to ensuring Equal Pay for Work of Equal Value. This appeals procedure has been developed jointly by the University and the Trade Unions to apply to the implementation of Job Evaluation on 1 August 2006.

Staff whose roles are red-circled as a result of Job Evaluation will be given priority in scheduling appeal hearings.

The normal re-grading and promotions systems have continued to operate in this transitional year 2005-2006 in order to consider roles that have changed significantly during the course of the year and since submitting role evaluation information.

After Notification

Role-holders will receive notification of the Job Evaluation results after Easter 2006. There will be a moratorium of one month from this date during which time role-holders will be able to obtain information and gain a better understanding of the application of the HERA scheme and consider whether or not to appeal the decision. An appeal may not be lodged during this period. Role-holders may in this period seek a meeting with a role analyst for an explanation of the process and key issues in their evaluation. A role-holder may be accompanied to this meeting by a colleague or Trade Union representative. If additional evidence is submitted, the Role Analyst will seek verification from the Head of Department.

In order to ensure that role-holders understand the reasons for the grading of their post, anyone who intends to appeal must have a meeting, as described above, with a Role Analyst, before submitting in writing a formal appeal. An appeal must be lodged no later than 2 months after the date of notification (and no earlier than 1 month after). The appeal must state the grounds of their appeal (see below) and provide details of their case, e.g. the specific part(s) of the role reported to have been overlooked or the details of the procedural flaw.

A Role Analyst will provide a written report to the Appeals Panel explaining how the scores were arrived at. If the Role Analyst finds that there is evidence to justify placing the role on a higher grade and this is consistent with the wider application of the HERA scheme, the Role Analyst may submit to the panel for ratification a report signed by both the Role Analyst and the role-holder in support of the higher grade.

Grounds for Appeal

Staff may appeal against their new grade on the following grounds: -

1. The Role Analyst has not evaluated evidence of the role;
2. The role has been assigned to an incorrect Evaluation Profile through matching;
3. A substantial procedural flaw in the role evaluation process;
4. There has been a substantial change to the role since evaluation, this has been confirmed by the Head of Department and the changed post could not be considered through the existing promotions system.

Composition of the Appeals Panel

The panel will consist of 3 people who have had suitable training: -

- An independent Chair;
- A Trade Union local representative;
- A University management representative.

Panel members will: -

- Not have been involved in the evaluation of the role;
- Not have been involved in the case as a Trade Union representative;
- Not be a member of the same Department as the appellant;
- Members with a potential conflict of interest, for example close relationship with the role-holder, personal interest in the grading of the role, shall make this known and will be excluded from the relevant hearing(s).

A Role Analyst will be in attendance to provide information and answer questions. The role analyst has no part in the decision making process.

Role of the Appeals Panel

Panel members will set aside their normal institutional role and act primarily as equal and impartial assessors of the case, not pursuing the interests of one side over the other. Panel members should be able to see the impact of their decisions on the consistent application of the HERA scheme.

The panel may: -

- Direct that the role be submitted to a Role-Analyst for further clarification in light of the Panel's views, consider the information from this further evaluation at the same or a subsequent meeting of that panel and determine the grade outcome on balance of all the evidence;
- Confirm the original evaluation as correct;
- Determine the post has been incorrectly matched and should be either evaluated individually or matched to another grouping by a Role Analyst;
- Agree a procedural flaw has been identified and address the implications.

In the case of a difference of view among panel members, a majority decision will be sufficient.

A role cannot be allocated to a lower grade as a result of an appeal.

The Hearing

The panel will have received written information in advance on the appellant's case and the Role Analyst's report. The role-holder will receive in advance of the hearing a copy of the Role Analyst's report and be invited to attend the hearing with a colleague or Trade Union representative. They will

have the opportunity, if they wish, to make a short factual statement to the panel. Panel members may ask questions of the role-holder and Role Analyst. The meeting will be conducted in a non-adversarial manner designed to elicit and understand the evidence.

The Decision

The role-holder will be sent written notification of the outcome of the appeal within 7 working days of the decision. The period between the hearing and notification will normally be no longer than 4 weeks.

If a role is allocated to a higher grade under this appeal procedure the effective date of implementation will be 1 August 2006.

If the appeal results in confirmation of a red-circle, pay will be protected in accordance with the pay protection agreement.

The decision of the panel is final.

Timescale

The University will endeavour to schedule and complete red-circle appeals within a concentrated period of time however the timescale will be determined by the number of appeals lodged.

Review

This procedure will be jointly reviewed on completion of the red-circle appeals.

V C Walshe
Agreed May 2006