



Broxtowe  
Borough  
COUNCIL

**POLICY AND PROCEDURES  
FOR EVALUATION AND  
RE-EVALUATION OF  
POSTS**

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## **POLICY AND PROCEDURES FOR EVALUATION AND RE-EVALUATION OF POSTS**

### 1. Introduction

The pay and grading of jobs must be fair and non-discriminatory, complying with equal pay legislation and associated codes of practice. In order to meet these objectives, Broxtowe Borough Council uses the Greater London Provincial Council (GLPC) Job Evaluation Scheme for all posts up-to Head of Service level and the Hay Scheme for Heads of Service and above.

In 2008, Cabinet approved the Hay Job Evaluation scheme for senior officers as the GLPC scheme was not sufficiently refined enough to differentiate between the responsibilities that existed within Heads of Service posts and thereby potentially leading to inequalities.

Both JE systems continue to be used in conjunction with the job description and person specification to provide a standardised and methodical process of measuring the relative value of posts in order to assign each post to the Council's Broxtowe Local Pay Scale (BLPS).

This document outlines the procedures to be adopted for both GLPC and Hay evaluated posts when amendments are required to job descriptions or person specifications; creating a new or temporary post and where a re-evaluation of posts is required. It also links to other associated procedures relating to pay (e.g. Honorarium/Acting Up Payments policy).

The Council's recognised trade unions have been consulted on this document and support the procedures contained within it.

### **SECTION A - GLPC EVALUATED POSTS – POSTS UP TO BUT NOT INCLUDING HEADS OF SERVICE**

#### 2. General Principles

Whilst a relatively consistent approach is used to evaluate all posts across the Council, there are some differences between GLPC evaluated posts and Hay evaluated posts. This section is focussed on GLPC posts with a later section dedicated to Hay posts.

##### 2.1 Job Descriptions and Person Specifications

The job description and person specification provide a clear outline of the main duties of a role and the requisite knowledge and skills required in order to carry out the duties effectively. Within the JE process, these documents are used to clarify employer expectations and measure job outcomes.

## 2.2 Maintenance of Job Documents

Job descriptions and person specifications should be reviewed annually as part of the formal personal development review process. The HR Division holds all of the Council's job descriptions and person specifications and these cannot be amended by senior managers/Heads of Service (HoS) without consultation with HR and the relevant Chief Officer first.

Any changes to a role should be identified and discussed at the earliest opportunity between the employee(s) and their manager. It is the manager's responsibility to confirm whether the changes are a temporary or permanent feature of the job and they should not allow employees to take on additional responsibilities over a period of time without taking into consideration the effect this may have on the grading of a post.

Managers should be clear with employees where additional temporary duties are provided as development opportunities (see 2.5). Where employees raise a concern in such circumstances, managers should re-iterate to the employee the nature of this type of agreement. Alternatively, managers may need to give consideration to reappportioning these additional duties or higher-level responsibilities to other more suitably graded employees.

Where permanent changes to the job role have been identified and agreed, the amendments will be classified as either a minor or major change.

## 2.3 Minor Job Changes

A minor change to job documents is very common and variations in duties will undoubtedly occur from time to time.

A minor change can be defined as the addition, deletion or amendment of a duty that requires the same level of knowledge, skills or experience as the other listed duties e.g. the amendments do not change the general character of the post, duties or the level of responsibilities entailed.

Examples of minor changes could include:

- additional knowledge requirements e.g. implementing a new piece of legislation where the post holder already implements legislation;
- developing plans or solutions with the same time scales;
- new contractual negotiations where this duty is undertaken already on other contracts;
- using a replacement IT system which requires the same use of dextrous skills;
- developing additional service policies;
- the requirement to carry a new piece of equipment of a similar value;

- similar additional administration processes;
- additional supervisor responsibilities that still fall within the range detailed in the JE conventions.

This list is not exhaustive.

A minor change will not require the post to go through the full re-evaluation process. The job description and person specification will be updated as identified, agreed by the post holder and Senior Manager through HR, and assessed to confirm that the JE score is un-affected. The final document will be issued to the post holder(s) and line manager to be authorised with an amended effective date.

## 2.4 Major Job Changes

Jobs within the Council could undergo a major change as a result of the requirement to provide additional services, an internal restructure, the transfer of services to/or from an external contractor or from operational changes.

Major job changes should normally arise from an action by the Council or a HoS /Chief Officer and should be addressed as part of the Service Delivery Plan process whereby all workforce implications including change management issues are considered. The financial implications of any major job changes would also then be reflected in reports to Policy and Performance Committee, which are Chief Officer driven.

Major changes can be defined as changes to the nature of the job which require an increased or decreased level of knowledge, experience, skills or physical effort in order to fully undertake the revised duties.

Examples of major changes could include:

- addition of supervisory/managerial responsibilities where there are currently none, or where the number exceeds the existing GLPC range, or the removal of supervisory/managerial responsibilities;
- additional or removal of equipment/ data systems/ stock/ plant handling responsibilities;
- requirement to develop new policies where not previously undertaken;
- deletion of training or advocacy duties;
- increased level of decisions/problem solving required;
- loss of posts due to voluntary or compulsory redundancy which then impacts on posts within the same area/section.

This list is not exhaustive.

Major changes to a post will follow the Management Review process (see section 4).

Note: Major changes to a post could affect other posts within the section or other sections of the Council, which will then require re-evaluations of those posts. This process would then be led by the relevant Head of Service.

## 2.5 Development Opportunities

It is often common practice for managers to offer employees some temporary additional duties and/or responsibilities to support their personal and career development. Where this happens managers must ensure that they make it clear from the beginning that it is not intended that these duties will be incorporated into the substantive duties of the post and that, unless it qualifies for an honoraria payment (refer to the Council's Honoraria and Acting Up Policy), these additional duties will not attract an additional financial payment (or be supported through a re-evaluation application) and would be undertaken on an entirely voluntary basis.

Development opportunities should only be offered for a specific time frame, be for a specific project or piece of work to be undertaken in addition to the employee's normal duties and should not last any longer normally than a period of 6 months, unless in exceptional circumstances. Managers must ensure that the requirements and expectations for employees undertaking development opportunities are provided at the outset, with a copy provided to HR for the employee's personal file.

Managers must undertake a review of the development opportunity no later than 3 months from its commencement to ensure that all parties are satisfied to continue with the opportunity and that the employee is receiving genuine development. Confirmation from this review discussion must be sent to HR.

These development opportunities will not be incorporated into job descriptions as they do not form the basis of a substantive post and do not represent a permanent change to the duties of the post.

## 3. Evaluation Procedures – GLPC

### 3.1 Employee Initiated Evaluation - General Principles

Where an employee believes that their post has developed over time and has resulted in significant changes to the duties and responsibilities of the post, he/she can initiate a request for a review of the post.

Employees requesting a re-evaluation of their post must have been in post for at least twelve months and their post must not have been evaluated within the previous twelve months. The post holder must be able to demonstrate that there have been changes to their duties and responsibilities since the post was last evaluated which are significant enough to potentially justify a higher factor level

(it may not increase the grade).

Forthcoming or anticipated changes to duties will not be considered when assessing an application for re-evaluation as these changes might not actually materialise.

An increase in duties/tasks, i.e. 'more of the same', is not grounds for a re-evaluation of a post unless the increase is of such a level that the post becomes significantly and materially different (see 2.4 Major Job Changes).

When a post is re-evaluated, all the factors and scores will be reviewed in order to maintain the integrity of the pay and grading structure. Applications for re-evaluation could then result in jobs being downgraded as well as upgraded.

Copies of all relevant correspondence relating to the re-evaluation application will be held on the JE section of the HR system in-line with corporate guidelines for data retention.

### 3.2 Employee Initiated Evaluation - Informal Stage

The request should be submitted in writing to the employee's senior manager using the "Application for Evaluation Form – GLPC Posts". This form requires the post holder to clarify the current duties and responsibilities in accordance with the GLPC factors. The form also requires the post holder to submit a proposed revised draft job description/person specification, or provide a list of additional duties or job changes for discussion. The senior manager/HoS must then hold a meeting with the employee at the earliest opportunity to discuss the application. The employee may be accompanied at the meeting by their union representative or a work colleague.

The purpose of the meeting is to review the information provided by the post holder, to clarify the full details of the submission and to verify the duties contained in the revised job description.

The outcomes of this discussion are to:

- try to reach agreement about the content of the job;
- establish whether any changes are intended to be permanent;
- identify whether any changes are temporary and/or were provided as development opportunities.

Where the manager confirms that any changes identified are permanent, the manager and employee should then seek to agree an appropriate revision to the job description.

The manager should also confirm whether they consider the changes to be minor changes or major changes.

Where the manager identifies that any changes that have occurred are not to

be a permanent responsibility of the post, the manager (in conjunction with the HoS/Chief Officer) may investigate the possibility of an honoraria payment for the period where the duties have been undertaken and reduce the overall balance of work of the post back to a level appropriate to the substantive grade. (Refer to the Council's Honoraria/Acting Up Payments Policy).

The employee must also be able to provide evidence that the new or changed duties are being undertaken and the date that the role/duties changed. An employee cannot use comparisons with other jobs inside or outside of the organisation as part of their evidence.

The HoS may supply any additional information to support the evaluation request. The form must be signed by the post holder(s), senior manager and Head of Service prior to submission to HR and the relevant Chief Officer must also be informed.

In the event that agreement cannot be reached over changes to the role and/or job description, the senior manager/HoS must seek guidance from HR with the aim of achieving an agreement. Where this still cannot be achieved, the HoS/Chief Officer should meet with all parties to seek an agreement wherever possible.

If agreement still cannot be reached, then the post holder will be advised in writing by the HoS that the post cannot be supported by management for re-evaluation and the reasons why. The HoS will also need to confirm this on the employee's 'Application for Re-evaluation Form'. These reasons could include:

- the manager believes that no permanent change has occurred to the job;
- the manager agrees that changes have occurred to the job but these changes represent only a minor job change (see section 2.3).

A copy of the letter and the Application Form should be sent to HR to be retained on the employee's personal file and the JE file for the job. The employee, however, may still seek to move to the formal stage of the process (see below).

### 3.3 Employee Initiated Application – Formal Stage

Following the informal stage, a post holder may pursue a re-evaluation by formally submitting their Application for Re-evaluation Form to HR, even where their initial submission has not been fully supported by their senior manager/HoS.

If there is more than one person in a post, only one re-evaluation form should be submitted but this must be signed by all the post holders who wish to pursue the re-evaluation.

Where an employee's post is one of several in a discrete job group, the senior manager/HoS will be required to confirm whether the changes described apply to all jobs in the group or just to an employee's individual post. Where it

applies only to an individual post, this post will become a new discrete job and will be subject to a new and separate evaluation.

Where a post holder has submitted a re-evaluation form, and the outcome of the application could affect other post holders who are not involved in the submission but fall within the same job group, HR will notify and advise them of the re-evaluation application and the potential outcomes that could arise.

Once a formal application for re-evaluation has been received by HR, the JE Analyst will review all of the paperwork within twenty working days (in exceptional circumstances this stage may take longer in which case the JE Analyst will advise all parties and confirm the reasons why and also a date when they will expect to have completed their review) of receipt and may arrange a meeting with the post holder(s) and manager/HoS to clarify the details within the application in accordance with the GLPC factors.

### 3.4 Attendance at the JE Panel

All required parties will be given a minimum of five working days' notice in advance of the time and date of the meeting. The JE panel will consist of two Heads of Service and a fully trained panel member or three Heads of Service. Fully trained panel members include HR Officers and senior Broxtowe Borough Council employees. Members of the panel cannot review applications from within their own service areas and must maintain their training on the GLPC scheme.

The relevant senior manager/HoS will be required to attend the meeting to provide any further information required by the panel or to clarify any points.

Post holders will be given the opportunity to attend. They will be advised of their right to be accompanied by a trade union representative or work colleague. The representative's role will be to support the employee but not to answer questions on their behalf.

Where there is a joint re-evaluation submission, a maximum of two of the post holders within the group, together with up to two union representatives (one from each recognised trade union, if applicable) may attend the meeting.

A trade union representative will be invited to attend the meeting of the panel as an observer, but will not be present when the panel deliberates its decision. (Note: The observer role is separate to the role of the trade union representative who supports the employee during the meeting).

### 3.5 The JE Panel Process

An evaluation panel will be required to review the information presented to them by the JE Analyst. Where there are one or two applications, the JE Analyst may arrange for the posts to be reviewed at the next regular JE panel meeting. Where there are several posts to be evaluated, the JE Analyst will organise a specific JE panel.

Further information or clarification may also be sought from the relevant senior manager/HoS regarding their reasons for supporting/not supporting the employee's re-evaluation submission at the informal stage. They will also be invited to the meeting and asked to provide any further information required by the panel or to clarify any points.

Where there are a number of posts to be evaluated, the panel will look at appropriately grouped posts and will evaluate them hierarchically, starting with the most senior post and cascading down the organisation structure.

The panel chair, after introduction, will set out the purpose and the process to be followed. The meeting will be recorded to enable accurate notes to be taken.

The employee will be given the opportunity to present their case in support of their re-evaluation submission. Members of the JE panel may ask questions in order to gain further clarity.

The panel chair will sum up before the panel deliberates the case in private. In order for a factor score to be amended, there must be unanimous agreement or a majority decision. Additional information or clarification of evidence can be requested by the panel until agreement can be achieved.

The employee (and representative) and manager may be re-called if there are any points that need to be clarified.

The outcome of the re-evaluation meeting will be confirmed in writing to the employee(s) and manager by HR within five working days of the date of the decision.

The outcome of the re-evaluation meeting will be one of the following:

- no changes are agreed to the existing evaluation
- individual factors within the evaluation change, but this does not result in a change to the grade of the post or the salary
- individual factors change to an extent where the grade of the post is affected. This could mean an increase or decrease in the factor scores and subsequent effect upon the salary. (See section 4)

### 3.6 Appeals

An employee will have the right to appeal against the decision of the panel following an Employee Initiated Evaluation and only where they believe that the scheme has been wrongly applied. They will not be able to appeal where they wish to rely on new or additional information.

The employee must write to the Payroll and Job Evaluation Manager or nominated deputy within five working days of receipt of the written outcome letter from the JE panel. The employee will be required to state the reasons

for the appeal and why they believe the JE panel did not make the correct decision.

An appeal will not be accepted if it is submitted without reasons. Comparisons with other posts will not be acceptable.

### 3.7 The JE Appeals Panel

Where the conditions of appeal from the first JE panel are met by an employee, a JE appeals panel will then be convened at the earliest opportunity.

The appeals panel should consist of a minimum of two Heads of Service/ Chief Officers that were not previously involved in the earlier panel. The panel cannot review applications from within their own service areas and must maintain their training in the GLPC scheme.

The same procedure for presenting and hearing the evaluation submission will be followed by the JE appeal panel as at the original panel. The employee and their representative (trade union or work colleague) will be entitled to attend and present their evidence. The relevant senior manager/HoS will also be required to attend. New or additional evidence of changes to a job will not be considered at the appeal stage.

For a decision to be reached there must be unanimous agreement or a majority decision. Additional information or clarification of evidence can be requested until an agreement is achieved. This decision may be different from the original JE panel. The decision of the JE appeals panel will be final.

The outcome of the appeal meeting will be confirmed in writing to the employee(s) within five working days of the date of the decision.

Once the evaluation process is completed, an employee will not be entitled to submit another re-evaluation application for a minimum period of twelve months from the date of the last panel decision. This does not however preclude a subsequent management instigated review of the post being undertaken.

## 4. Management Reviews

### 4.1 Management Review – General Principles

It is the on-going responsibility of management to identify the business case for any *significant* changes in job roles that may justify a re-evaluation of a post.

Where changes are being made to an existing post or posts, and where an existing employee or employees will be required to undertake the proposed revised duties in future, the HoS at the earliest opportunity must consult with HR and the employee(s) affected with the proposed amendments to the job description and person specification. The trade unions must also be fully consulted on any proposals.

All management reviews, including those where new posts are being created, must in the first instance, be presented in a report to the Council's General Management Team (GMT) (which may be a draft Policy and Performance Committee report) to outline their proposals and requirement, as there may be wider implications of the proposed changes on other areas across the council.

Following GMT approval, the HoS/Chief Officer must prepare revised job description(s), person specification(s) and organisational structure amendments and discuss the proposed changes with HR to enable an initial evaluation to be undertaken by a JE Analyst.

The HoS/Chief Officer will be required to attend a JE panel to answer specific questions relating to the GLPC factors. Where there are employees in post, they may also attend the panel meeting if they wish. The unions will also be notified and may attend to observe the process or to support the employee if they are a union member.

The evaluated job documents, JE score and grade will be confirmed either in a report to Policy and Performance Committee, or to the Chief Executive under delegated powers.

### 4.2 Temporary Posts

A post that is required for a fixed-term or temporary period of up to two years can be reviewed initially by a JE Analyst. The senior manager/HoS should produce the draft job description, person specification and job advert and discuss with the JE Analyst for evaluation. The temporary post will be moderated and signed off at the next available JE panel where the senior manager/HoS would be required to attend to answer any specific questions.

Where a post has been created and approved by Policy and Performance Committee, and then subsequently filled, it may require a further review after the post holder has been in place for several months to further substantiate some or all of the JE factor scores.

#### 4.3 Management Review Appeal

An employee will have the right to appeal against the decision of the panel following a Management Led Re-evaluation and only where they believe that the scheme has been wrongly applied. They will not be able to appeal where they wish to rely on new or additional information.

The employee must write to the Payroll and Job Evaluation Manager or nominated deputy within five working days of receipt of the written outcome letter from the JE panel. The employee will be required to state the reasons for the appeal and why they believe the JE panel did not make the correct decision.

An appeal will not be accepted if it is submitted without reasons. Comparisons with other posts will not be acceptable.

Senior Managers or Heads of Service are not eligible to appeal the outcome of a post that is currently vacant, although there is the option for review 6 months after somebody has in post.

#### 5. Effective Date of Score Change/ Re-Grade

##### 5.1 Score Change within the Same Grade

Following a full evaluation, factor levels may be changed as a better reflection of the job however the grade remains the same. The changes and any recommendations as applicable will be recorded on the JE systems and amended job documents will be confirmed, effective from the date of the JE panel meeting.

##### 5.2 New Grade and Pay Progression

The effective date for posts that have been re-graded will be as follows:

- the date HR received the completed Application for Re-evaluation Form at the Formal Stage for Employee Applications
- the date of the Policy and Performance Committee report, or an alternative date where specified within the report, or date of Chief Executive's signature under delegated powers will be the effective date of any increased grade for Management Reviews

Where a post has been re-graded to a higher grade, the post holder(s) will be assimilated into the new grade at the bottom spinal column point.

The normal pay progression rules will then apply, with further increments effective from 1 April (see note below) of the respective year subject to

satisfactory performance and the completion of the annual Personal Development Review (PDR). If no PDR is held, an employee will not be automatically entitled to receive an increment (if applicable).

\*Note: Where a post has been re-evaluated to a higher grade and the post holder has received an increment during October-March, they will then receive their next increment six months from the date of increment, and not on 1 April. All future increments (if available) will then be paid on 1 April each year thereafter.

Any grade changes that are not reported through Policy and Performance Committee will be confirmed by HR to the Chief Accountant so that employee budgets can be adjusted accordingly.

### 5.3 Pay Protection and Downgrading

Where a post is downgraded as a result of a re-evaluation, the post holder will be eligible for salary protection for a period of one year from the effective date of the change (the first or second JE panel meeting or Policy and Performance Committee report as applicable). During this period no annual pay awards will be payable and the salary will be frozen at the grade and spinal column point applicable at the time of the decision. If during the one year pay protection, the top spinal column point of the new grade is equal to or exceeds the protected salary grade, the protection will cease and the higher salary will be payable from that date.

## 6. Apprentice and Trainee Posts

In order to assist with recruitment and workforce succession planning within the Council, managers may wish to consider the development of an apprentice or trainee job.

Where an apprentice job is created, it should be shown as a new post on the establishment list on a fixed term basis and should be explicitly linked to the Council's formal apprenticeship programme. As with all new jobs, apprentice jobs will be considered as a new discrete role and will be paid according to the JE grade within the Broxtowe Local Pay Scale rather than any of the national Local Government apprenticeship rates. The new apprentice post will be evaluated by the JE Analyst and moderated at the next available JE panel meeting. Further advice on suitable apprenticeships can be obtained from HR.

A trainee job could be created on the basis of a temporary reduction in, for example, the level of responsibilities, decision-making and/or professional knowledge required of the postholder in a particular job. Therefore, a specific development programme should be prepared for the trainee in order to provide the employee with the necessary skills, knowledge and experience in order to undertake the duties of the substantive job at the end of the trainee period (if the substantive post is available). Trainees will only be able to transfer to the substantive job (if available), and requisite job description and grade, when these requirements have been satisfied. The substantive job will have a

separate job description and JE grade to the trainee post.

Assimilation into the apprentice or trainee position will normally be at the bottom of the grade.

The trainee period should not be any longer than two years from appointment unless exceptional circumstances exist and the specific requirements for progressing from the trainee post to the substantive post must be explicit at the time of appointment. For example, this could be linked to either the attainment of a professional qualification or relevant training or practical experience.

## **SECTION B – HAY EVALUATED POSTS (HEAD OF SERVICE AND ABOVE)**

### **7. General Principles**

The Hay Scheme is used to evaluate posts at Head of Service level and above.

#### **7.1 Job Descriptions and Person Specifications**

The job description and person specification provide a clear outline of the main duties of a role and the requisite knowledge and skills required in order to carry out the duties effectively. Within the JE process, these documents are used to clarify employer expectations and measure job outcomes.

#### **7.2 Maintenance of Job Documents**

Job descriptions and person specifications should be reviewed annually as part of the formal personal development review process. The HR Division holds all of the Council's job descriptions and person specifications and these cannot be amended without HR consultation first.

#### **7.3 Changes to Job Roles**

Any changes to a job role should be identified and discussed at the earliest opportunity. It is Chief Officer/Chief Executive's responsibility to confirm whether the changes are a temporary or permanent feature of the job and they should not allow employees to take on additional responsibilities over a period of time without taking into consideration the effect this may have on the grading of a post.

Where permanent changes to the job role have been identified and agreed, advice from HR should be sought as to whether the amendments will require a formal re-evaluation by a Hay Consultant.

### **8. Employee Initiated Evaluation - General Principles**

Where an employee believes that their post has changed and has resulted in significant changes to the duties and responsibilities of the post, he/she can initiate a request for a review of the post.

Employees requesting a re-evaluation of their post must have been in post for at least twelve months and their post must not have been evaluated within the previous twelve months. The post holder must be able to demonstrate that there have been changes to their duties and responsibilities since the post was last evaluated which are significant enough to potentially justify a higher factor level (it may not increase the grade).

Forthcoming or anticipated changes to duties will not be considered when assessing an application for re-evaluation as these changes might not actually materialise.

When a post is re-evaluated, all the factors and scores will be reviewed in order to maintain the integrity of the pay and grading structure. Applications for re-evaluation could then result in jobs being downgraded as well as upgraded.

Copies of all relevant correspondence relating to the re-evaluation application will be held on the JE section of the HR system in-line with corporate guidelines for data retention.

### 8.1 Employee Initiated Evaluation - Informal Stage

The request should be submitted in writing to the relevant Chief Officer/Chief Executive using the "Application for Evaluation Form – Heads of Service/Chief Officers Hay Scheme". This form requires the post holder to clarify the current duties and responsibilities in accordance with the Hay factors. The form also requires the post holder to submit a proposed revised draft job description/person specification, or provide a list of additional duties or job changes for discussion. The Chief Officer/Chief Executive must then hold a meeting with the post holder at the earliest opportunity to discuss the application where they may be accompanied by their union representative or work colleague.

The purpose of the meeting is to review the information provided by the post holder, to clarify the full details of the submission and to verify the duties contained in the revised job description.

The outcomes of this discussion are to:

- try to reach agreement about the content of the job;
- establish whether any changes are intended to be permanent;
- identify whether any changes are temporary and/or were provided as development opportunities.

Where the Chief Officer/Chief Executive confirms that any changes identified

are permanent, the Chief Officer/Chief Executive and employee should then seek to agree an appropriate revision to the job description.

Where the Chief Officer/Chief Executive identifies that any changes that have occurred are not to be a permanent responsibility of the post, the Chief Officer/Chief Executive may investigate the possibility of an honoraria payment for the period where the duties have been undertaken and reduce the overall balance of work of the post back to a level appropriate to the substantive grade. (Refer to the Council's Honoraria/Acting Up Payments Policy).

The post holder must also be able to provide evidence that the new or changed duties are being undertaken and the date that the role/duties changed. Comparisons with other jobs inside or outside of the organisation will not be considered as part of the evidence.

The form must be signed by the post holder(s) and Chief Officer/Chief Executive prior to submission to HR.

In the event that agreement cannot be reached over changes to the role and/or job description, the Chief Officer/Chief Executive must seek guidance from the Payroll and Job Evaluation Manager with the aim of achieving an agreement.

If agreement still cannot be reached, then the post holder will be advised in writing by the Chief Officer/Deputy Chief Executive that the post cannot be supported further for re-evaluation and the reasons why. These reasons could include:

- the Chief Officer/Chief Executive believes that no permanent change has occurred to the job;
- the Chief Officer/Chief Executive agrees that changes have occurred to the job but these changes represent only a minor job change

A copy of the letter and the Application Form should be sent to HR to be retained on the employee's personal file and the JE file for the job. The employee, however, may still seek to move to the formal stage of the process (see below).

## 8.2 Employee Initiated Application – Formal Stage

Following the informal stage, a post holder may pursue a re-evaluation by formally submitting their Application for Evaluation Form to HR, even where their initial submission has not been supported by their Chief Officer /Chief Executive.

Once a formal application for re-evaluation has been received by HR, the Payroll and Job Evaluation Manager will acknowledge receipt of the paperwork within five working days. The external Hay Consultant will then be contacted and the relevant paperwork sent, in order for an evaluation to take place.

A meeting between the post holder, the Chief Officer/Chief Executive, the Hay Consultant and Payroll and Job Evaluation Manager will then be convened at

the earliest opportunity. All required parties will be given a minimum of five working days' notice in advance of the time and date of the meeting.

The post holder will be advised of their right to be accompanied by a trade union representative or work colleague at the meeting. The representative's role will be to support the post holder but not to answer questions on their behalf.

After the meeting, the Hay Consultant will, as soon as possible thereafter, provide the Payroll and Job Evaluation Manager with the outcomes of the evaluation. The outcome of the re-evaluation will be one of the following:

- no changes to the existing evaluation;
- individual factors within the evaluation change, but this does not result in a change to the grade of the post or the salary;
- individual factors change to an extent where the grade of the post is affected. This could mean an increase or decrease in the factor scores and subsequent effect upon the salary.

Within five days of the receipt of the Hay consultant's report, the Payroll and Job Evaluation Manager will write to confirm the outcome of the JE review.

## 9. Appeals

The post holder will have the right to appeal against the decision of the panel following an Employee Initiated Evaluation and only where they believe that the scheme has been wrongly applied. They will not be able to appeal where they wish to rely on new or additional information. The appeal for Hay evaluated posts will then be re-evaluated by a second Hay Consultant who was not involved with the first evaluation review.

The post holder must write to the Payroll and Job Evaluation Manager **or nominated deputy** within five working days of receipt of the notification of the Hay evaluation outcome. The post holder will be required to state the reasons for the appeal and why they believe the Hay consultant did not make the correct decision.

An appeal will not be accepted if it is submitted without reasons. Comparisons with other posts will not be acceptable.

### 9.1 The Appeals Process

Where the conditions of appeal following the first Hay JE review are met by an employee, a further review by a different Hay Consultant will then be convened at the earliest opportunity by the Payroll and Job Evaluation Manager.

The post holder and their representative (trade union or work colleague) will be entitled to attend and present their evidence. The relevant Chief Officer/Chief Executive will also be required to attend. New or additional evidence of changes

to a job will not be considered at the appeal stage.

The outcome of the appeal meeting will be confirmed in writing by the Payroll and Job Evaluation Manager to the employee(s) within five working days of the receipt of the Hay Consultant's report.

Once the evaluation process is completed, the post holder will not be entitled to submit another re-evaluation application for a minimum period of twelve months from the date of the last Hay consultant review. This does not however preclude a subsequent management instigated review of the post being undertaken.

## 10. Formal Establishment Review – General Principles

It is the on-going responsibility of senior management to identify the business case for any *significant* changes in job roles that may justify a re-evaluation of a post.

### 10.1 Review of Hay Evaluated Posts

Where changes are being made to an existing post or posts, and where an existing employee or employees will be required to undertake the proposed revised duties in future, the Chief Officer/Chief Executive at the earliest opportunity must consult with the Payroll and Job Evaluation Manager and the employee(s) affected with the proposed amendments to the job description and person specification. The trade unions must also be fully consulted on any proposals.

All establishment reviews must in the first instance be presented in a report to the Council's General Management Team (GMT) (which may be a draft Policy and Performance Committee report) to outline the proposals and requirement, as there may be wider implications of the proposed changes on other areas across the council.

Where a Head of Service, Chief Officer or Deputy Chief Executive post becomes vacant, it is the responsibility of the Chief Officer and/or Chief Executive to review the existing job documents to identify any changes, prior to submitting any request to Policy and Performance Committee to fill the post. Where the Chief Executive post becomes vacant, the Deputy Chief Executive and Leader of the Council in consultation with the Payroll and Job Evaluation Manager will review the existing job documents to identify if any amendments are required.

Note: Where the amendments are agreed by the Chief Officer/Chief Executive/Leader of the Council and Payroll and Job Evaluation Manager to be minor changes, the job documents will be updated and there will not be any need for a full Hay JE evaluation to be undertaken.

Where major changes to roles have been identified, the Payroll and Job Evaluation Manager will contact and discuss the amendments with the Hay Consultant, and arrange a JE panel with the Hay Consultant, Chief Executive

and Deputy Chief Executive. The Leader of the Council would be required to attend the panel in place of the Chief Executive where it is the Chief Executive post that is vacant. The Payroll and Job Evaluation Manager will be required to attend the meeting but will not be a member of the JE panel. The JE Analyst will be present to record accurate notes of the meeting. Where there are employees in post, they may also attend the meeting if they wish. The unions will also be notified and may attend to observe the process or to support the post holder if required.

Following confirmation of the outcome of the evaluation(s) from the Hay Consultant, the evaluated job documents and pay grade should then be confirmed in a report to Policy and Performance Committee.

Whilst employees have the right to appeal against a decision made by the Hay Consultant following an employee initiated evaluation application, there is no right of appeal in relation to a grading where an employee has been appointed into a new post or assimilated into a redesigned post as part of an establishment review and there has been a Policy and Performance Committee report to support this.

## 10.2 Appeals

The post holder will have the right to appeal against the decision of the panel following a Formal Establishment Review and only where they believe that the scheme has been wrongly applied. They will not be able to appeal where they wish to rely on new or additional information. The appeal for Hay evaluated posts will then be re-evaluated by a second Hay Consultant who was not involved with the first evaluation review.

The post holder must write to the Payroll and Job Evaluation Manager or nominated deputy within five working days of receipt of the notification of the Hay evaluation outcome. The post holder will be required to state the reasons for the appeal and why they believe the Hay consultant did not make the correct decision.

An appeal will not be accepted if it is submitted without reasons. Comparisons with other posts will not be acceptable.

## 10.3 The Appeals Process

Where the conditions of appeal following the first Hay JE review are met by an employee, a further review by a different Hay Consultant will then be convened at the earliest opportunity by the Payroll and Job Evaluation Manager.

The post holder and their representative (trade union or work colleague) will be entitled to attend and present their evidence. The relevant Chief Officer/Chief Executive will also be required to attend. New or additional evidence of changes to a job will not be considered at the appeal stage.

The outcome of the appeal meeting will be confirmed in writing by the Payroll

and Job Evaluation Manager to the employee(s) within five working days of the receipt of the Hay Consultant's report.

Once the evaluation process is completed, the post holder will not be entitled to submit another re-evaluation application for a minimum period of twelve months from the date of the last Hay consultant review. This does not however preclude a subsequent management instigated review of the post being undertaken.

## 11. Effective Date of Score Change/ Re-Grade

### 11.1 Score Change within the Same Grade

Following a formal evaluation, factor levels may be changed as a better reflection of the job however the grade remains the same. The changes and any recommendations as applicable will be recorded on the JE systems and amended job documents will be confirmed, effective from the date of the JE panel meeting.

### 11.2 New Grade and Pay Progression

The effective date for posts that have been re-graded will be as follows:

- the date HR received the completed Application for Evaluation Form at the Formal Stage for Employee Applications
- the date of the Policy and Performance Committee report, or an alternative date where specified within the report, will be the effective date of any increased grade for Establishment Reviews

Where a post has been re-graded to a higher grade, the post holder(s) will be assimilated into the new grade at the bottom spinal column point.

The normal pay progression rules will then apply, with further increments effective from 1 January thereafter subject to satisfactory performance and the completion of the annual Personal Development Review (PDR). If no PDR is held, an employee will not be automatically entitled to receive an increment (if applicable).

\*Note: Where a post has been re-evaluated to a higher grade and the post holder has received an increment between July-December, they will then receive their next increment six months from the date of increment, and not on 1 January. All future increments (if available) will then be paid on 1 January each year thereafter.

### 11.3 Pay Protection and Downgrading

Where a post is downgraded as a result of a re-evaluation, the post holder will

be eligible for salary protection for a period of one year from the effective date of the change (the first or second Hay evaluation meeting or Policy and Performance Committee report as applicable). During this period no annual pay awards will be payable and the salary will be frozen at the grade and spinal column point applicable at the time of the decision. If during the one year pay protection, the top spinal column point of the new grade is equal to or exceeds the protected salary grade, the protection will cease and the higher salary will be payable from that date.

## **SECTION C – ALL POSTS**

### 12. Accountabilities

#### 12.1 Payroll and Job Evaluation Manager (or nominated deputy)

The Payroll and Job Evaluation Manager or nominated deputy is responsible for the implementation and long term management of the Council's job evaluation schemes. The Payroll and Job Evaluation Manager is also responsible for:

- undertaking an annual equal pay audit, in consultation with the trade unions, in order to reduce and remove any potentially discriminatory pay practices;
- undertaking a review of the GLPC scheme and its local conventions every three years to ensure it remains accurate and relevant to the organisation's needs;
- managing a rolling five year JE programme to ensure that all posts are regularly reviewed, relevant to service delivery needs and continue to meet single status requirements;
- ensuring that JE Analysts and JE panel members are fully trained in the GLPC scheme and local conventions.

#### 12.2 Human Resources Division

The HR Division is responsible for overseeing the implementation of the Policy and Procedures for Evaluation and Re-evaluation of Posts. All changes to grades and salaries will be processed by the HR Division and confirmed in writing to the employee(s).

Where employees are receiving pay protection, this will be reviewed annually by the HR Division. Additional advice and guidance on the application of this policy will be provided by the relevant officers.

#### 12.3 HR/JE Analyst Team

The JE Analysts will be specifically trained HR officers who are responsible for the independent evaluation of posts using the GLPC scheme and the local Broxtowe conventions. They will be involved in undertaking evaluations to

ensure consistency and fairness. The JE Analysts will also provide advice and guidance to managers, HoS, Chief Officers (and above) and employees about the JE scheme.

Where there are any proposed changes to job descriptions or person specifications following completion of an employee's Personal Development Review, these must be submitted to HR on the relevant forms (available on the intranet). The relevant senior manager or/and the HoS must also sign off the form together with the employee(s) confirming their agreement to the proposed changes. The JE analyst team will then review the proposed amendments to establish whether they are major or minor changes. Where they are agreed as minor changes, the revised job description and person specification can be adopted. Where it is believed that they could affect the existing JE score and subsequent grade of the post, the JE analyst team will then undertake a further investigation. This could then lead to the employee submitting an application for re-evaluation or a management review.

Whilst some HR officers and the JE Analyst team may have a working knowledge of the Hay scheme, where questions around re-evaluation of posts arise, then these will normally be referred to a Hay consultant for advice.

#### 12.4 Managers

For the purposes of this policy, managers have been defined as senior managers, Heads of Service, Chief Officers or above.

Line managers are specifically responsible for undertaking PDRs and achieving the timescales set each year. Senior Managers and Heads of Service are responsible for undertaking the informal and formal procedures for employee re-evaluation applications, for agreeing any minor changes to job descriptions with employees, for consulting with post holders affected by any changes to jobs and for discussing any revised job evaluations with the post holders where required.

Heads of Service are responsible for identifying and recommending honoraria or acting up payments and also for confirming each year that employees have achieved satisfactory levels of service in order to receive an annual increment (if applicable).

All managers are responsible for ensuring that work within their section is allocated appropriately to the grade of individuals and is consistent with the JE of each post. Where changes are made to roles, these should be deliberate and planned rather than evolutionary with managers ensuring that they are aware of, prepared for and understand the consequences of any changes made.

All HoS and Chief Officers are required to be a JE panel member at least once per year and maintain their JE knowledge by attending the JE training/refresher course every two years.

In the case of appeals, managers could be asked to provide more detailed information around the changes to the posts suggested by the post holder.

## 12.5 Trade Union Representatives

Trade union representatives can support employees in completing their re-evaluation and appeal letters and can also accompany employees to re-evaluation interviews. A trade union representative is entitled to observe at the first stage JE panel hearing and the second stage JE appeal panel hearing but will not be present when the panel is deliberating the decision.

## 12.6 Employees

Employees are responsible for making every effort to resolve issues about the grading or responsibilities of their post with their manager on an informal basis.

Employees will need to provide sufficient evidence and supporting information where they wish to apply for a re-evaluation application or appeal.

## 13. Pension Implications

Employees will be provided with relevant advice and guidance by HR regarding the pension implications of any change in their grade and salary as a result of a re-evaluation of their post. This will apply to posts which are evaluated using both the GLPC and Hay Scheme.

## 14. JE 'Sore-Thumb' Issues

The JE team will continue to monitor the impact of score and grade changes within the establishment and will run periodic reports and rank order reports to identify any anomalies, also known as 'sore-thumbs'. The team will also monitor existing factor scores for 'Supervision and Management of People' with the hierarchy shown in the departmental structure chart.

All sore-thumbs or anomalies for both GLPC and Hay evaluated posts will be reported to GMT on a bi-annual basis, with recommendations for GMT to consider appropriate courses of action to re-evaluate the post(s) identified.

## 15. Secondments

A secondment is a temporary transfer to an alternative job within the authority for a fixed period, after which time the post holder should return to their substantive post. Secondments provide employees with opportunities to develop additional experience and skills and are often offered by the authority to cover periods of absence, for example maternity leave cover.

Secondments can apply to both GLPC and Hay evaluated posts.

Where an employee is on a secondment, they are entitled to receive payment in accordance with the grading of the post temporarily occupied.

Where the secondment is to a post which is graded at the same level as the employee's substantive post, then no increment is payable at the commencement of the secondment and the normal incremental progression for the employee should continue.

Where the secondment is to a higher graded post, the employee will be treated as if they had been promoted to that post and therefore pay will normally be at the minimum point of the grade. All other terms and conditions of the seconded post will also normally apply including annual leave entitlements, unless specified differently in the secondment agreement.

The PDR process should still be undertaken for employees in secondment posts in order to confirm satisfactory performance and incremental progression within the grade. However, where the secondment has been in place for less than 6 months, a PDR should be undertaken for both the employee's substantive post and the seconded post in order to confirm satisfactory performance throughout the year. Regardless of the effective date of the secondment, the next pay progression increment within the substantive post will be unaffected.

When the post holder has received an increment during October-March, they will then receive their next increment six months from the date of increment and not on 1 April. All future increments (if available) will then be paid on 1 April thereafter.

Where satisfactory performance is confirmed, the employee will receive an increment in their seconded post within the grade and, in addition, their substantive post will receive an increment (if available) within the grade so that when the employee returns to their substantive post they will have been awarded the normal increment.

Should performance in the seconded post not be satisfactory, it may be necessary to delay or decline an increment on a temporary basis whilst additional support or training (if appropriate), is provided to the employee. Alternatively, it may be appropriate to terminate the secondment early in accordance with notice provisions and the employee will return to their substantive post.

## 16. Links to other Policies

The Policy and Procedures for Evaluation and Re-evaluation of Posts are linked to the following other policies:

- Formal and Informal Consultation Procedure between Broxtowe Borough Council and the Trade Unions
- Honoraria and Acting Up Payments Policy

17. Equality Impact Assessment

An Equality Impact Assessment of this policy will be undertaken to ensure that the implications of its introduction do not cause adverse impact or discrimination against different groups of employees within the organisation.