

Additional Increments & Contribution Points

Human Resources Department

Lead Director: Director of Human Resources
Date ratified by Council:
Policy updates: March 2018
Policy to be reviewed every 4 years. Date of next review: 2022/23

**PROCEDURES FOR THE AWARD OF ADDITIONAL INCREMENTS
AND CONTRIBUTION POINTS**

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PROCEDURE FOR APPLICATIONS FOR THE AWARD OF ADDITIONAL INCREMENTS AND CONTRIBUTION POINTS

LINE MANAGERS ARE REQUESTED TO READ THE GUIDANCE BELOW BEFORE MAKING A SUBMISSION.

1 PURPOSE AND SCOPE

- 1.1 This procedure is designed to enable Line Managers to recognise and reward a member of staff whose continued performance is exceptional within his/her current role and current grade.
- 1.2 Applications may be submitted for any member of staff within the Keele University Grading Structure (KUGS).
- 1.3 This procedure refers to Support Staff and Academic Staff. The term 'Support Staff' refers to all Administrative, Operational, Technical and Managerial and Specialist Staff (grades 1 to 9) and the term 'Academic Staff' refers to Lecturers, Senior Lecturers and Readers (grades 7a to 9), Teaching Fellows and Senior Teaching Fellows (grades 6b to 9) and Research Assistants, Associates, Fellows and Senior Research Fellows (grades 6a to 9).
- 1.4 Applications put forward for non-professorial Heads of Schools or Research Institute Directors which are based on their performance in these leadership roles will be considered by the Senior Remuneration Committee.

2 GENERAL PRINCIPLES

- 2.1 There are two processes, one specific to Support Staff and the other specific to Academic Staff.
- 2.2 Details of how Line Managers should submit applications for Support Staff are set out on page 9 and for Academic Staff on pages 6 to 8.
- 2.3 All awards are made on a permanent basis and are consolidated into annual salary. Line Managers must, therefore, be entirely confident that the exceptional performance is sustainable and will continue for the foreseeable future.
- 2.4 Applications should be very clear as to what the member of staff has done that is exceptional based on their role and grade. Line Managers need to clearly evidence:
 - a) the normal expectations of the job and grade and
 - b) how the member of staff's performance is exceptional in comparison.

If in doubt, Line Managers should contact their Link Human Resources Advisors/Managers for advice.

- 2.5 The above (point 2.4) is especially important to bear in mind when considering a case for more senior grades of staff where there are greater expectations of performance.
- 2.6 The annual Staff Performance Review and Enhancement (SPRE) process should inform Line Managers when considering making an application. However, to avoid disappointment, Line Managers are asked not to inform a member of staff that he/she is being put forward for an award.
- 2.7 Where the member of staff is at the top of the incremental scale (or will be at the next incremental date) then the reward will be a contribution point. Where the member of staff has not yet reached the point below the top of the relevant incremental scale, an award will take the form of an additional increment.
- 2.8 As budget holder, the relevant Dean/Director must sign the application form MA to indicate that they are aware of the case going forward. It is also expected that anyone else in the management line who needs to be informed of/or consulted about the application is informed/consulted before submission.

3 FUNDING AND MODERATION

- 3.1 All awards will be funded by the employing Faculty/Directorate.
- 3.2 In the interests of fairness and equity, the Dean/Director should make arrangements for the moderation of submissions across their areas. The make-up of Faculty/Directorate moderation groups will be determined locally but should be led by the Dean/Director.
- 3.3 The moderation groups will be responsible for monitoring applications and investigating any apparent unfairness in the number and/or spread of applications across Faculties/Directorates.
- 3.4 In addition to deciding which cases justify receiving an award, the main panel will be responsible for moderation of cases across the University.
- 3.5 Human Resources will be responsible for equal opportunities monitoring of cases and will also monitor the distribution of applications and awards across the various areas. Any anomalies highlighted by this monitoring will be flagged up with the relevant Deans/Directors.

Note – see paragraph 8.5 regarding funding for research staff.

4 SUBMISSION DEADLINES

- 4.1 The Human Resources Department will ensure that the submission date for cases is published each year.

5 CONSIDERATION OF CASES

Panels for the consideration of cases will be convened as follows:

ACADEMIC STAFF

- Deputy Vice-Chancellor - Chair
- Director of Human Resources
- 3 x Deans of Faculty

SUPPORT STAFF

- Deputy Vice-Chancellor - Chair
- Director of Finance
- Director of Human Resources
- 1 Dean of Faculty/Faculty Business Manager
- 1 Head of School/Research Institute Director
- 1 Deputy Director or equivalent

6 FEEDBACK

- 6.1 Successful Applications - Members of staff and their Line Managers will be notified of the award by letter from the Human Resources Department.
- 6.2 Unsuccessful Applications - Line Managers who have submitted applications which are unsuccessful will be given summary feedback from the panel by either the Dean of Faculty or their nominee (for Academic Staff) or a panel member nominated by the Chair (for Support Staff).

7 PAYMENT

- 7.1 Payment of awards of additional increments/contribution points will be effective from either 1 August or 1 October (as appropriate to the grade of staff) following the submission of the case.

In all cases, the Link Human Resources teams will be happy to provide guidance and/or advice to Line Managers considering or preparing a case.

8 PROCEDURE FOR ACADEMIC STAFF

For criteria/evidence examples please refer to the appropriate promotions procedures: <http://www.keele.ac.uk/hr/policiesproceduresandguidance/>

8.1 GENERAL PRINCIPLES

- 8.1.1 It is appreciated that to prepare an application for a member of academic staff, the Line Manager will need to liaise with that member of staff to obtain the necessary evidence. Line Managers are, however, asked not to involve the member of staff in any other part of the process.
- 8.1.2 Line Managers may wish to comment why it would not be more appropriate to use this evidence as a basis for a promotions submission.
- 8.1.3 An application for an additional increment/contribution point may not be made in the same academic year as a submission for promotion. Individuals may, however, use the evidence presented in an additional increment/contribution point case as a part of the evidence for a future promotions submission.
- 8.1.4 Details of additional increment/contribution point awards will be available to promotions committees and other reward mechanism panels.
- 8.1.5 Cases should be put forward by either the Head of School or the Research Institute Director. Where applicable, the Faculty Research Director should input to a case where exceptionality in Research and Enterprise is claimed.

8.2 LECTURERS AND SENIOR LECTURERS (GRADES 7A – 9)

- 8.2.1 Applications must demonstrate exceptionality for the grade in at least **one** category (e.g. Research and Enterprise) and satisfactory performance in the other two categories (e.g. Learning & Teaching and Professional, Organisation & Managerial Activities (POMA)).
- 8.2.2 Submissions may also be based on exceptionality in two or even all three areas. In such cases, an award would be taken to indicate an individual who should be on track for substantive promotion in the near future.
- 8.2.3 It should be noted that a case that demonstrates exceptionality in more than one category might well be valued higher if cases are ranked by the main panel.

8.3 READERS

- 8.3.1 Applications for a Reader would demonstrate exceptional performance (for a Reader) in either Research and Enterprise or Learning and Teaching (depending on the basis for promotion) and satisfactory performance in the other category and POMA.
- 8.3.2 Submissions may also be based on exceptionality in two or even all three areas. In such cases, an award would be taken to indicate an individual who should be on track for substantive promotion in the near future.

8.3.3 It should be noted that a case that demonstrates exceptionality in more than one category might well be valued higher if cases are ranked by the main panel.

8.4 TEACHING FELLOWS/SENIOR TEACHING-FELLOWS - (GRADES 6B TO 9)

8.4.1 Applications should demonstrate exceptionality for the grade in either Learning and Teaching or POMA with satisfactory performance in the other category.

8.4.2 Submissions may also be based on exceptionality in both areas. In such cases, an award would be taken to indicate an individual who should be on track for substantive promotion in the near future.

8.4.3 It should be noted that a case that demonstrates exceptionality in more than one category might well be valued higher if cases are ranked by the main panel.

8.5 RESEARCH STAFF (GRADES 6A TO 9)

Note – Funding

Awards for research staff funded from external grant income must be wholly funded by the School/Research Institute. In such cases, the supporting statement from the Head of School or Research Institute Director must include written confirmation that sufficient funds exist within the grant (or elsewhere) to meet the initial and on-going cost.

8.5.1 Applications should demonstrate exceptionality for the grade in either Research and Enterprise or POMA with satisfactory performance in the other category.

8.5.2 Submissions may also be based on exceptionality in both areas. In such cases, an award would be taken to indicate an individual who should be on track for substantive promotion in the near future.

8.5.3 It should be noted that a case that demonstrates exceptionality in more than one category might well be valued higher if cases are ranked by the main panel.

8.6 DOCUMENTATION

The following documents must be completed for all cases

8.6.1 Form MA (A)

The Head of School/Research Institute Director should complete the pro-forma **MA (A)** which includes his/her supporting statement.

This statement should clearly state all of the following:-

- What is expected of a member of staff of the candidate's grade in his/her School/Research Institute
- With reference to the relevant criterion/criteria, how the member of staff's performance is exceptional (ie beyond that of a member of staff in his/her grade)
- Confirmation that the member of staff is performing satisfactorily in the areas where exceptionality is not claimed

- An assurance that the exceptionality is not only sustainable but that there is the opportunity and full expectation that it will continue for the foreseeable future.

Where the case is being put forward under exceptionality in **Research & Enterprise**, the Head of School or Research Institute Director should also state:

- How much time the individual has been allocated to do research.
It would normally be assumed that the more time a candidate has allocated to research, the greater the output relative to his/her field of discipline. However, it is appreciated that this may not always be the case and candidates are invited to include details of any circumstances that have impacted on their research.
- What targets have been set and how the individual has performed against them.
- What development-type support has been given to the candidate (eg development programme; additional funding for conferences etc.).
- An evaluation of the individual's future input into the School/Research Institute.

8.6.2 Candidate's Curriculum Vitae

In the standard format (see **CV** on website: <http://www.keele.ac.uk/hr/forms/#tabs-6>)

8.6.3 Grant information List (where applicable)

In the standard format (see **Grant List** on website: <http://www.keele.ac.uk/hr/forms/#tabs-6>).

8.6.4 Publications List (where applicable)

In the standard format (see **PUBLIST** on website: <http://www.keele.ac.uk/hr/forms/#tabs-6>)

9 SUPPORT STAFF

- 9.1 Consideration for an additional increment/contribution point should be made by the Line Manager. The annual Staff Performance Review and Enhancement (SPRE) process should inform these considerations.
- 9.2 To avoid disappointment, Line Managers are asked not to inform a member of staff that he/she is being put forward for an award.
- 9.3 Applications should be very clear as to what the member of staff has done that is exceptional based on their role and grade. Line Managers need to clearly evidence:
- a) the normal expectations of the job and grade and
 - b) how the member of staff's performance is exceptional in comparison.

This is especially important to bear in mind when considering a case for more senior grades of staff where there are greater expectations of performance.

- 9.3 All awards are made on a permanent basis and are consolidated into the annual salary. Line Managers must, therefore, be entirely confident that the exceptional performance is sustainable and will continue for the foreseeable future.

10 PROCEDURE FOR APPLICATIONS FOR SUPPORT STAFF

Applications should comprise the following -

10.1 MA (S)

The Line Manager should complete the pro-forma **MA (S)** which includes his/her supporting statement

The statement should clearly state all of the following:-

- What is expected of a member of staff at this level and grade in the School/Department/Research Institute
- In what ways the nominee's performance is exceptional and exceeds that expectation
- An assurance that the exceptionality is not only sustainable but that there is the opportunity and full expectation that it will continue for the foreseeable future.

10.2 Job Description and Organisation Chart

- A job description in standard format (see Job Description on Human Resources website at Forms/Recruitment and Selection).
- An organisation chart which clearly illustrates where the individual's role 'fits' within his/her work area and lines of reporting (**including the job titles and grades of the other posts**).

ANNEX A

CHECKLIST FOR SUBMISSION - ALL GRADES OF STAFF

Please note that cases will only be considered where ALL the following documentation has been submitted to Human Resources, in the format specified in the procedure and below, by the given deadline.

Guidance as to the required format for CVs, publication lists and grant information is available from the HR website. Cases which are not submitted using these formats will not be considered.

ACADEMIC STAFF

Please supply 1 hard copy of the following documents:

- completed **MA (A)** form
- **CV** (see guidance) in the required format
- **Grant Information List** (where applicable) in required format
- **Publications List** (where applicable) in required format

In addition, this documentation must also be submitted in electronic format, i.e., memory stick. If you have any problems with this please contact Human Resources.

SUPPORT STAFF

Please supply 1 hard copy of the following documents:

- completed **MA (S)** form
- **Job description**
- **Organisation chart**

In addition, this documentation must also be submitted in electronic format, i.e., memory stick. If you have any problems with this please contact Human Resources.