ASSOCIATION OF UNIVERSITY TEACHERS

GUIDANCE ON ROLE ANALYSIS ARRANGEMENTS FOR ACADEMIC AND ACADEMIC RELATED STAFF

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THE HIGHER EDUCATION UNION

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Introduction

The national technical working group has produced a comprehensive set of academic role profiles and detailed guidance on their local use and application.

In addition, under the Memorandum of Understanding, the UCEA has agreed to set up and maintain a library database of academic related role profiles.

This briefing pack provides information for local associations on the use of role profiles at local level to implement grading for academic and academic related staff. The following information is provided:

AUT guidance notes and step by step guide to using the profiles and national guidance

Appendix 1 - The national academic role profiles

Appendix 2 - Guidelines for the use of the national library of academic role profiles

Appendix 3 – AUT generic role profiles

Appendix 4 – Role analysis interview record for academic and academic related staff

The national library of academic role profiles

The national academic role profiles provide a national reference for the grading of all academic staff. They are aligned to the five grades of the academic career pathway set out in Appendix C of the Framework Agreement[1]. Fourteen role profiles have been produced covering

- Research roles – five profiles aligned to the new academic grades 1-5, from research assistant to professor
- Teaching and scholarship roles – five profiles aligned to the new academic grades 1-5, from teaching assistant to professor
- Teaching and research roles – four profiles aligned to the new academic grades 2-5 from entry grade (probationary) lecturer to professor

These profiles describe the range of demands, responsibilities and competencies required at each grade. Each profile uses the same format to allow for read across between the three sets of profiles at each grade. These headings are very similar to those used in the original AUT profiles[2], and are also designed to allow for the profiles to be used in institutions using either HERA or Hay job evaluation schemes.

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[1] This commended grading structure provides a key point of reference, but clearly needs modification in line with the Memorandum of Understanding.
[2] The original AUT job grading materials for academic staff formed a large part of the research and original materials considered by the TWG. These AUT materials and job grading scheme have now been subsumed into national academic profiles and guidance notes.

It should be noted that the profiles cover all academic roles in higher education institutions where the principal function is either teaching or research, along with related administrative functions. As such, many posts currently graded on Other-related scales in pre-1992 universities such as teaching assistants and teaching fellows will now explicitly be included within the national academic grading structure.

Academic related role profiles

The UCEA has agreed to set up and maintain nationally a library of academic-related role profiles. Institutions which work jointly with AUT on developing these profiles will be invited to contribute to the library. AUT will therefore have the opportunity to endorse all profiles in the library.

The profiles will be indexed in the library by grade and by function. In order to index by grade, reference will need to be made to the national academic profiles in order to establish equivalent job weight for profiles. So for example, all profiles indexed under grade 7 will have to have the equivalent job size in terms of roles and competencies as the national academic profiles for lecturers, teaching fellows and researchers aligned to the new academic 2 grade. Similarly, academic role profiles indexed under grade 9 (equivalent to current ALC 5 posts) will have to have the equivalent job size as the national academic profiles for the new academic 4 grade (equivalent to current senior lecturer posts). This will help to maintain the comparability between academic and academic related grading.

What is in the library at the moment?
AUT must agree with UCEA the administrative arrangements for setting up and maintaining the library. This includes arrangements for institutions to contribute materials, and to ensure these materials have been endorsed through local joint projects with AUT.

Following these discussions, there are a range of job grading materials that can be contributed immediately to the library. These are all included with this pack.

What further work needs to be done to complete the library?

Although we have a set of generic role profiles covering all academic related roles, it is recognised that a further level of detail is required to properly describe and capture all academic related functions. Therefore AUT has started work to produce separate role profiles for library, computing, central and departmental administrative roles. The intention is to capture as wide a range of roles as possible while using as generic an approach as possible.

AUT is working with a number of institutions to produce the further materials required. These 'early implementers' include institutions using HERA and Hay.

Step by step approach to using the profiles

1. Agree use of profiles

Academic profiles

You will need to consider whether all 14 profiles are required at your institution. The national guidance also provides for some changes to be made to the national academic profiles to take account of variations in local circumstances, practice and terminology. It is likely that the majority of institution specific issues can be captured in the local role analysis exercise (see stages 4-6). However you may wish to change some of the terminology in the profiles or add some local examples to improve context and meaning.

For example the change may involve altering references to 'Faculty' to 'School' or 'Division' if this is more appropriate to your institution. More substantial changes, for example to reflect the way teaching and research roles are organised should be dealt with at a later stage.

Any changes must be agreed in conjunction with AUT and should not alter the job weight of the profile.

Academic related profiles

You will need to agree at local level how generic role profiles for academic related staff will be used. Two approaches are being developed by institutions.

Some institutions have agreed to use one profile per grade. If you decide to take this generic approach, the AUT profiles at appendix 3 can be used (perhaps with some local modifications).

Some institutions have agreed to use 'functional' academic related profiles – for example one profile per grade for agreed functions such as library, computing and administration. AUT is working with a number of institutions to develop these materials. If using functional profiles check the library of academic related profiles in the first instance. If no suitable profiles exist, ensure locally developed functional profiles are based on the AUT generic role profiles, are written in a common style with common heading and are of the same weight for each grade across the different functions. Academic related role profiles that have been agreed with the AUT and used successfully locally should be added to the academic-related role profile library maintained by the UCEA.

2. Score the profiles using the chosen job evaluation scheme – HERA or Hay

The profiles should be scored using the local job evaluation scheme. This may involve agreeing a range of scores for a profile – for example to reflect potential variation under some of the scheme's elements. This is likely to be most relevant where the HERA scheme is being used under the work environment and sensory demands element.

AUT representatives should be involved with this process. The points scores for the profiles provide the ranges for the five academic and related grades.

3. Ensure all academic and related staff have an up to date job description.

It is good practice to ensure that all staff have an up to date job description. It will be possible to agree generic job descriptions covering a number of academic and related staff within departments or faculties using an agreed template. This stage therefore should not be too time consuming or be as onerous as may initially appear. However, it is important that all academic staff understand the basis for any new grading and that the content of their job description accurately represents their role.

4. Agree the sample of local roles to be analysed.

The basis of this job grading approach is that a representative sample of posts will be analysed, and matched to the appropriate role profile. This sample is referred to as benchmark roles in the national guidance.

Selecting and agreeing the sample of local roles to be analysed is a critical phase in the process and it is extremely important that AUT has a full input.

The national guidance states that this sample should normally allow for between 5% and 10% of the total number of academic staff in the institution to be included in the sample. Remember that this includes all staff where the principal function of the role is academic, so all teaching posts should be included regardless of current grade, job title or contractual status.

The same process can be followed for academic related staff. However, recognising the greater diversity of roles across this staff group, it will be necessary to take a higher percentage of posts to ensure the sample has captured the diversity,

AUT advice is that in drawing up the sample, consider the range of academic and academic related staff and roles in your institution and ask the following questions when determining the sample:

- Does your sample cover the full range of grades?
- Does your sample cover disciplines and departments?
- Are there key differences in roles across disciplines which need to be analysed? For example, there may be differences in approach in small specialist departments, or there may be differences in the working environment that should be taken into account.
- Have you ensured your sample group is representative in terms of gender, ethnicity, and contractual status?
- Are the sample roles typical? (ensure individual posts and anomalous roles are not included in the sample at this stage)

Once HR and AUT have agreed the roles to be analysed, these should then be agreed with the relevant line manager, Head of Department or Faculty Dean. At this stage the feedback received may cause you to review the chosen benchmarks and either to add or remove some roles.

5. Assign individuals to the local benchmark roles

This is a very important stage of the role analysis exercise since decisions taken here are likely to have an impact on the eventual grade of individual members of staff. Since this role analysis process only analyses a sample of posts, all remaining posts must be allocated to the appropriate local benchmark. This ensures that not all academic and related staff need to be individually evaluated but the process must be

understandable, transparent and robust. Such procedures need to be developed and agreed between the institution and AUT. It is suggested that the line manager, Head of Department or Dean (as appropriate) assigns staff to the appropriate local benchmark, in line with the agreed procedure, using the job descriptions and following training and guidance from Human Resources. The outcome of these processes should be reviewed by HR and AUT. There must also be the opportunity to review the decisions following the data capture process.

Stage 5 in effect confirms the decisions taken in stage 4.

Training for those involved in this process is necessary to ensure it is as objective as possible and that discrimination does not creep into the process. It is important that decisions at this stage are based on the content of the role, and not simply on factors such as job title.

6. Collect local role analysis data

Once you have agreed the sample of academic roles to be analysed, a role analysis procedure should be carried out to collect the evidence about the local roles. This could either be done through interviewing role holders, or through asking role holders to complete an agreed form, or through a combination of the two methods. Where interviews are used, institutions may decide to interview individual role holders or to hold group interviews. Similarly where a combination of interview and questionnaire is used, it may be decided that an interview will just concentrate on particular aspects of a role. Whatever data capture process is used, it should be consistent across all the roles being analysed.

This role analysis evidence will be used to match the local benchmark roles to the role profiles and will also be scored using the local job evaluation scheme. It is therefore important that the evidence gathered is suitable for both exercises. The evidence needs to link to the headings and content of the national academic profiles, and provide enough information to allow it to be scored using the job evaluation scheme.

Local associations will need to agree the local procedures in conjunction with Personnel/HR. Appendix 3 gives the example of the role analysis record developed between AUT and the University of Leeds. This can be used as the interview record for academic and related staff and will provide the evidence needed both for members of the matching panel (see stage 7) and for role analysts to score the evidence (see stage 8).

Where institutions wish to use the HERA scheme and interview method as the basis for capturing this data, you will need to make some modifications and additions since this method is unlikely to provide all the information required for the job matching panels in stage 7. AUT suggests that you use the questions covered in the role analysis record in appendix 3, to agree supplementary questions needed. These are most likely to be needed under key elements such as teaching and learning support and research where it is very important that enough evidence is provided to the matching panel.

Local associations will need to reach agreement with Personnel/HR about how the evidence will be presented. This could be as an agreed interview record in a standard format, or in an agreed questionnaire format. You may decide to develop local role profiles in a similar format to the national profiles. Whichever is used must

be detailed enough and robust enough to allow for an analytical matching process to the national academic role profiles. Evidence gathered through an interview should be verified by the role holder. All evidence, either from an interview, or from a questionnaire, should be verified by the Head of Department.

Once the evidence has been verified by the local benchmark role holder, other role holders should have the chance to comment on the evidence for the local benchmark role their post has been aligned to.

You will need to agree local procedures about how disputes at this stage are resolved.

7. Matching local benchmarks to the national role profiles

A joint trade union and management job matching panel should be established – typically with up to 6 representatives. Ensure there are people on the panel with experience of the roles under consideration. Think about the composition of the panel and ensure as far as possible that it is representative.

The job matching panel should match the local benchmark roles to the appropriate role profile. In matching the local roles to the national profiles the panel will determine the new grade for all staff attached to that profile. It is very important that this process is analytical and objective and that a record is taken of the reasons for the decision of the matching panel. It will be this decision that staff will refer to in the case of the appeal of a grade.

Each local benchmark role should be considered in turn against each heading in the national academic profile. The local benchmark role is assigned to the appropriate grade on the basis of 'best fit'. The national guidance states that as a rough guide a benchmark role and national library role profile should be some three-quarters the same overall, and more fully covering the key elements, to be regarded as "matched".

AUT suggests that this guidance is used as the basis for matching academic related benchmarks to profiles

If a local benchmark does not match to a role profile this will need to be graded based on the HERA or Hay score.

8. Verification of the national profile scores by scoring the local benchmark evidence.

The role analysis data about your local academic and related roles should be scored using the institution's preferred job evaluation scheme. These scores should be used to verify the points ranges for the five academic and related grades obtained through scoring the role profiles (stage 2 above). AUT should have the opportunity to review these scores with Personnel/HR.

There will be some variation between the scores for the national profiles and those for the local benchmark roles. This is to be expected but scores should fall within ranges. Where any local score is significantly different to the score for the appropriate national profile this should be reviewed to check both processes have been carried out properly.

9. Review stage

At this stage, it is important to review all the decisions that have been taken to date:

- Have all academic and related staff been assigned to a local benchmark? Review these decisions in the light of the data capture stage to ensure initial assumptions were correct.

- Are there any benchmark roles deemed to be 'red-circled' or 'green-circled'? If when analysing a local benchmark role the matching panel has deemed it to be currently over-graded or under-graded this decision should be reviewed to ensure it is correct. It may be that the individual role holder is not representative of all the posts aligned to that local benchmark. Some further analysis may be necessary to determine this.

- Are there any posts that do not match to any local benchmark or national role profile? These will need to be individually evaluated and allocated to the appropriate grade based on the HERA or Hay score.

- Review the points score ranges for grades and check these fit with grades for other groups of staff. This is particularly important in relation to the academic related grades.

10. Implementation

The process outlined above will be used either to determine transfer to new academic grading structures linked to the new single pay spine, or to confirm new grades following an earlier assimilation exercise.

Local associations will need to agree with HR/Personnel how staff will be informed of the confirmation of their grade, and what information will be provided to staff. At the minimum, the full set of academic and related role profiles should be made available for all staff and individuals should be informed of the role profile to which they have been matched. If there is significant variation across local benchmark roles, it may also be appropriate for individuals to be given the evidence or local profile for the benchmark profile their post was aligned to.

11. Appeals procedures

Once staff have been informed of their new grade based on the role analysis exercise, there will need to be an appeals procedure in place. The national guidance sets out the three stages of appeal and review:

Stage 1 – informal review of the decision of the Head of Department to assign to a specific local benchmark role

Stage 2 – Formal appeal to a joint job matching panel to review the decision about the national profile to which the role has been matched.

Stage 3 – Individual members of staff can request a full job evaluation exercise of the post.

Ensure you have negotiated and agreed the appeals procedure and associated arrangements at the beginning of the role analysis exercise.

12. Following implementation

Clearly, the initial use of the role profiles will be to determine transfer to new grading structures, or to confirm new grades following an earlier assimilation exercise.

However, it is important that following implementation the role profiles remain the key point of reference for grading. AUT will provide further guidance on the use of the academic role profiles in promotion procedures and the use of the role profiles when determining the criteria for the award of contribution points.

This guidance document will be updated in line with developments at local associations. In particular, information will be added regarding any materials contributed to the library of academic related role profiles.

AUT July 2004

Appendices 1 and 2

ACADEMIC ROLE PROFILES AND NATIONAL GUIDANCE

Available at www.ucea.ac.uk under 'new Pay Framework'

Academic Role Profiles
Academic Role Profiles – guidance

Please note that the Job Evaluation/Role Analysis guidance is a separate document.
AUT will not sign up to the guidance.

Please note that the current national academic profiles, and associated guidance,
have not been formally agreed between the AUT and the UCEA. AUT and Natfhe
have agreed required changes to these profiles; these were sent to the UCEA some
time ago but we are still awaiting a response. The link in the briefing document is to
the profiles on the UCEA web site. These are still draft. Ensure this is made clear in
your local discussions.

**As soon as the academic role profiles have been agreed this document will be
updated.**

AUT 22 July 2004

Appendix 3 – AUT generic role profiles for academic related staff

ACADEMIC RELATED ROLE PROFILES

LEVEL 1 (EQUIVALENT TO NATIONAL ACADEMIC ROLE PROFILES GRADES 1-2)

> *Role holders at this level will develop professional skills and expertise through professional study and/or practical application. They will be involved in the provision of advice and defined services to colleagues and other service users relating to their area of specialism/expertise, within a policy framework and approach defined by others. Within central operational services this may involve acting as the first point of contact for service users. In school/faculty administration role holders will liase with, and act as the point of contact for, a number of central operational services staff. In academic services role holders will participate as a member of a wider team to the provision and development of a professional academic service. In some cases role holders will supervise a small team. Role holders will acquire a growing awareness of developments in the higher education and external professional environment that impact on the role.*

Service delivery

Role holders will be involved in the provision of an academic, administrative or operational service. They will have the ability to respond to inquiries for information and advice within their area of professional expertise.

- In areas such as human resources and finance role holders will respond to day to day requests for information from departments and interpret official documents, policies and procedures as part of the operational service.
- In academic services areas role holders will provide advice and support to staff and/or students in order to support learning, teaching and research activities.
- Role holders may be involved in the provision of specialist advice in a help desk setting

Knowledge and expertise

Role holders will have sufficient knowledge and understanding within their defined area of specialism, typically relating to their team or section in order to provide advice, support and services to colleagues and service users. Generally they will work within policies and procedures but will have the knowledge and ability to recognise where changes need to be made. Role holders at this level will develop professional skills and expertise through professional study and/or practical application. Role holders will acquire a growing awareness of developments in the higher education and external professional environment that impact on the role.

Communication

Role holders will be involved in providing academic, administrative or operational services in a support or advisory capacity. Such advice may be presented either in written or oral communications. As such role holders will require the communication skills to deal with queries from staff and/or students, to explain technical/legal/regulatory/procedural information in a way people can understand. Good presentation skills will be required in the provision of skills based training.

Networking

There will be a need for liaison and effective communication across a number of sub-sections of a school/department/work unit. Role holders will also begin to develop a network of contacts. These may be across the institution or external to the university.

Managing people/teamwork

All role holders will be responsible for planning and organising their own work. People management skills will be required **EITHER** in the supervision of a team of staff, which could involve participation in recruitment and induction processes **OR** in liasing with groups of staff and/or students where skills are needed to gain their support. Some role holders will be involved in the recruitment and co-ordination of student volunteers and others will participate in monitoring the work of contractors, with appropriate assistance and support.

Planning and managing resources

Role holders will participate in decision making regarding allocation of resources to professional academic, operational or administrative services. In some cases they will monitor project budgets or physical resources under the direction of a project leader. In departmental administration role holders may monitor small-scale budgets under the direction of the Head of Department or more senior administrative role holders. Role holders will make recommendations about the use of equipment, facilities, space and other physical resources within their defined section/team/project.

Initiative and decision making

Typically, role holders will work within established procedures and defined university policy, using analysis and judgment to identify and select the best approach or solution, to solve/resolve differing problems and issues with short-term consequences, and to offer recommendations for managing more complex situations. Role holders will have to use and take initiative and exercise judgement and deal appropriately with situations not explicitly covered by procedures and guidelines. All role holders will have the ability to deal with changing priorities and situations.

Teaching/training and learning support

There will be an expectation of the ability to participate in the provision of skills based training to staff and/or students. In academic service areas this may involve the delivery of training programmes such as use of different software packages, library databases and resources to students.

Research and analysis

Role holders will be responsible for managing the use of data and information and for identifying and assessing the information and data needs of their role. For example, role holders will collect and analyse management and related data and assist in production of management reports and maintain accurate records (for example regarding staff/students/financial records). They will have the capacity to contribute to the management of large amounts of data and information for use in official/government/funding council reports and returns. Role holders will participate in some project/research work to improve academic, operational or administrative services (for example improvement of site facilities) under the direction of a project leader.

Sensory, physical and emotional demands

Role holders will have the ability and need, with assistance, to balance the competing pressures of research, teaching and administrative demands and deadlines. Sensory demands are likely to cover a range of demand from relatively light to a high level depending on the discipline and work roles.

Work environment and hazards

Typically, role holders are not required to work with any physical hazards that cannot be easily controlled and managed by the university. In some circumstances role holders will be expected to be aware of relevant hazards and ensure risk assessments have been undertaken.

REPRESENTATIVE WORK ACTIVITIES

1. PROVISION OF A PROFESSIONAL SERVICE

Role holders will be responsible for the provision of an academic, administrative or operational service within a department or for an activity with appropriate assistance and support:

1. Liaise with service users to establish service requirements and priorities
2. Participate in the provision of an information and enquiry service for service users
3. Provide and disseminate specialist and/or technical advice on issues relating to the service.

Provision of a professional service also requires that role holders' professional and/or technical knowledge is up to date:

4. Identify appropriate sources of information and/or practice in the field
5. Ensure knowledge of sources of information and/or practice is up to date in relevant field.
6. Assess the validity of the sources of information and/or practice
7. Assess the contribution of the sources of information and/or practice to development in the field
8. Identify and adopt best practice from other areas of the higher education sector and other benchmark comparators, with appropriate assistance and support
9. Ensure that service provision is amended in the light of any relevant changes in legislation or regulations, with appropriate assistance and support.

Role holders will be required to manage information provision:

10. Assess the requirements for the provision of information and material
11. Publicise the services of a department through the use of university publications and/or web site.
12. Maintain and develop information systems with appropriate assistance and support.

Some role holders will be responsible for the management of outside goods, services and contracts:

13. Provide advice on the procurement of goods and services, with appropriate assistance and support.
14. Monitor contracts for products and services from third-party suppliers

Role holders will have responsibility for monitoring finances and resources, with appropriate assistance and support:

15. Participate in decision making regarding the allocation of resources to professional services
16. Monitor finances allocated to professional services, to meet professional and departmental objectives.

Role holders will take part in evaluation and assessment:

17. Assess service provision, according to criteria, to the appropriate people
18. Creatively seek ways of improving own performance
19. Implement ideas for improved performance

MANAGEMENT OF PROFESSIONAL FUNCTION

1. Develop and maintain processes, procedures or systems within a defined area of activity for a department or section
2. Management of, or participation in, specific projects for a department or section, with appropriate assistance and support.
3. Notify others in good time of resource requirements (rooms, equipment, materials etc.)
4. Ensure, where appropriate, the project outcomes will meet specifications of the original objectives
5. Refer students and/or staff to appropriate authority for further help or guidance appropriately

Many role holders will have some line management responsibility, often for a team of colleagues within a department or section:

6. Monitor and maintain accurate records on aspects of staff management
7. Manage staff including staff appraisal and development
8. Participate in staff selection and appointment procedures according to agreed criteria and in line with equal opportunities policy, with appropriate assistance and support

Some role holders have responsibility for the management of physical resources:

9. Participate in the assessment and development of the use of physical resources for a department (rooms, equipment, materials, machinery etc)
10. Monitor and maintain accurate Health and Safety records, for example risk assessments and accident reports
11. Assess emergency procedures, for example evacuation procedures, for a department
12. Carry out building safety inspections and report any safety issues

CONTRIBUTION TO PROFESSION AND COMMUNITY

1. Participate in appropriate departmental committees/meetings (for example in respect of decision making for the delivery of professional services and/or implementing regulatory requirements in the department)
2. Liaise with staff on development of professional practices and procedures
3. Cooperate with staff in providing information and/or services within the relevant area of expertise
4. Cooperate with staff to meet contingencies
5. Share expertise with staff
6. Develop an awareness of important changes in the higher education and/or social and political environment
7. Develop means of adapting to change in the environment that are consistent with departmental and university objectives

OVERARCHING ROLES

1. Ensure, where appropriate that equal opportunity objectives of the sector are maintained personally and by others
2. Maintenance of professional standards and freedom
3. Determine own continuing professional development needs
4. Develop strategy to meet continual professional development needs
5. Identify sufficient time to meet professional development needs
6. Prioritise developmental activities in relation to available resources

TRAINING ROLES

Some role holders will have training roles:
1. Identify training objectives appropriate to the nature and level of the course and/or training programme

2. Select teaching and/or training methods appropriate to students and/or staff and available resources
3. Determine study and/or training material appropriate for the course
4. Design and produce study material appropriate for the course and/or training programme

OPTIONAL ROLES

1. Participate in trade union
2. Participate in professional bodies

LEVEL 2 (EQUIVALENT TO ACADEMIC PROFILES LEVEL 3)

Role holders at this level have broad knowledge of their area and where appropriate will be professionally qualified. Role holders at this level will have the ability to lead and manage a team permanently or in project activity. This will involve providing professional, specialist or technical advice, direction and input across a range of activities. Projects may be managed and directed on behalf of, or within, departments/schools. They will contribute to the development of new systems and procedures and will require an understanding of the professional, legal and/or regulatory requirements of the environment in which they work. They will have a broad knowledge of the higher education environment and where appropriate developments in the external professional environment. They will have professional autonomy and discretion within operational policies and precedents.

Service delivery

Role holders will be responsible for the provision of an administrative or operational service within a department or for an activity. Role holders will have the ability to maintain and develop systems for their work area and be able to understand, oversee and develop processes and procedures. Typically this will involve the analysis and interpretation of data, policies and procedures. They will identify and make recommendations for improvements in service provision. Involvement in service provision may be confined to a section or function or may impact across functions such as computer operating systems.

- In central administrative and operational areas role holders will provide technical advice, guidance and support to colleagues within and outwith the department; develop operational plans and systems and ensure appropriate documentation is in place.
- In school and departmental administration, role holders will have responsibility for instigating and managing information systems, for example student records and staff HR records, or financial and purchasing systems.
- Contribute to the design and production of information/briefing materials for use internal or external to the university

Knowledge and expertise

At this level role holders will require a breadth and depth of specialist/technical knowledge gained through a number of years professional experience and/or a professional qualification. Where appropriate, role holders will have relevant commercial experience and project management skills

They will need an understanding of needs and requirements of student and/or staff population. All role holders will require a knowledge of university structures and systems and how they inter-relate. They will require the ability to transfer between different techniques/systems or procedures within their function. They will have adequate knowledge to contribute to policy discussions, and to take projects forward. All role holders will have a wide awareness of developments both in higher education and the external professional environment. They will be proactive in updating and developing their own knowledge and awareness of their field of work and are required to anticipate, respond to and initiate change.

- In academic administration areas role holders will require a breadth of knowledge of legislative and regulatory functions for example, finance, HR, curriculum area, research and teaching regulations and procedures – and how these impact on service delivery.
- In central operational service areas role holders will require an in depth knowledge of the relevant professional, legal and regulatory requirements in their area of expertise in order to respond to, and apply changes.
- In information services areas role holders will require sufficient technical/professional expertise, for example knowledge of operating systems and emerging technologies, to be able to develop new and existing systems and services.

Communication

Role holders will have the ability to communicate (orally or through writing) with wide range of staff groups across the institution in an advisory capacity, to communicate clearly and at an appropriate level of professional complexity/specialism. All role holders will have the ability to persuade others about new ways of delivering services and/or the use of new working practices.

Networking

Role holders will have a range of contacts both internal and external to the institution. They will participate in appropriate committee meetings.
- In central services, typically role holders will play a facilitating role between academic departments and the provision of a service and acting as the point of contact.
- Role holders in academic departments are likely to require a range of contacts with schools, colleges, and relevant employers.
- In central administrative and operational departments external contacts are likely to include other higher education professionals, external agencies and organisations.
- In academic services role holders are likely to represent the university to outside bodies (for example careers staff will have contacts with a large number of employers, computing staff will deal with external contractors).
- Academic services role holders will network with colleagues in other higher education institutions to share best practice (in library services this may include participation in more formal networks including presentations at conferences).

Managing people/teamwork

At this level role holders **EITHER** have responsibility for managing a group of staff within a team or section (this may include specialist/technical staff), including recruitment, induction and training and supervision **OR** role holders may be considered the 'specialist' in an area of expertise, with the ability to gain the support of other members of staff in order to ensure the delivery of services. All role holders have responsibility for due care and attention when carrying out duties, within health and safety requirements.
[where role holders manage staff, the numbers involved will depend on the size of a section or department and is not level dependent]

- In departmental/school/faculty administration **either** people management skills are required where role holders have no direct line management role but require facilitating skills, liaising with groups of staff and/or students to develop collaborative relationships where role holders will have the ability to gain the support of students **and/or** direct line management of other support staff/research staff.
- In roles concerned with the provision of campus facilities role holders will be involved in managing contractors and quality of work to improve or maintain site facilities/services.
- Some role holders will not have formal line management responsibilities but will be involved in the recruitment and co-ordination of student volunteers, or will require people management skills in gaining people's support, for example prospective donors.

Planning and managing resources

Typically, role holders will have the ability to monitor resources/budgets within their project area or team. They will be expected to contribute to resource and budget planning and to make recommendations about future resource requirements. Role holders will have the ability to monitor contracts and tenders with external suppliers.

- In academic schools and departments role holders are likely to monitor budgets on behalf of the Head of Department, manage and make recommendations about physical resources, including the use of space, equipment and facilities. Although without overall control, they will have a good degree of influence.

- In academic services recommendations about procurement of physical resources and the purchasing of equipment may include for example, new computer software and hardware, or new library periodicals, furniture and space requirements.
- In central administrative and operational areas, role holders will co-ordinate and manage projects within agreed budgets and support senior members in planning and budgeting, making recommendations about future resource requirements.

Initiative and decision making

Although role holders at this level work within agreed policies and procedures, they will have the ability to investigate problems and test solutions to complex problems. Professional judgment, diplomacy and political awareness are required. Role holders will have the ability to be creative and use initiative in carrying out their work, and be able to regularly use or incorporate new techniques and methods. At this level role holders have the ability to make recommendations for changes and improvements. They will have professional autonomy and discretion within wider policies and precedents. Confidence in their own professional competence is required at this level in the provision of specialist advice to a wide range of staff.

Teaching/training and learning support

At this level role holders will have the ability to design and deliver skills based or information briefing training sessions and seminars for staff and/or students, sometimes to a brief provided by an academic department. In a limited number of cases, role holders in the library, computer services and careers services teach on full curriculum modules. Generally, training courses are non-participant assessed but some academic services role holders at this level will be responsible for formal assessment of students.

- In central operational and administrative areas examples include, human resources briefing for other staff, finance and accountancy skills based training for departmental/faculty/school staff; briefings regarding legal regulations such as data protection, health and safety training.
- In academic departments role holders will be involved in induction for new staff/students (including students employed in the department: teaching assistants, demonstrators).
- In academic services training will include skills training courses (library), use of software packages (computing), interview techniques (careers)

Research and analysis

Role holders will have the ability to develop systems and processes, taking into account multiple factors and analysing complex data. Typically they will be involved in supplying data and information to other university departments and services, as well as to external agencies. Role holders at this level are required to undertake research/project work. Research is targeted to achieve operational objectives and typically involves reviewing and seeking improvements or developments in service delivery. In central areas, this may be on behalf of a department. In some areas such as information services and the careers service this may be part of a national research project. In the library role holders may be expected to present findings at conferences. This area of work will require liaison with central/academic departments as appropriate.

Sensory, physical and emotional demands

Role holders will have the ability and need to balance the competing work pressures, demands and deadlines. Sensory demands are likely to cover a range of demand from relatively light to a high level depending on the discipline and work roles.

Work environment and hazards

Typically, role holders are not required to work with any physical hazards that cannot be easily controlled and managed by the university. In some circumstances role holders will be expected to be aware of relevant hazards and ensure risk assessments have been undertaken.

REPRESENTATIVE WORK ACTIVITIES

In addition to the activities set out in the level 1 profile:

1. PROVISION OF A PROFESSIONAL SERVICE

Role holders will be responsible for the provision of an administrative or operational service within a department or for an activity

1. Agree and set service objectives within a department or for an activity
2. Monitor and maintain quality of service provision
3. Implement and progress strategic and development plans designed to maximise service delivery
4. Identify and adopt best practice from other areas of the higher education sector and other benchmark comparators (this may also include innovative practice)

MANAGEMENT OF PROFESSIONAL FUNCTION

1. Management of specific projects for a department or section
2. Make decisions necessary to ensure the appropriate implementation of institutional rules, regulations and procedures

Some role holders will be responsible for information systems:

3. Maintain and develop information systems for a department
4. Specify requirements for information systems
5. Manage the classification of information and material for a department

CONTRIBUTION TO PROFESSION AND COMMUNITY

1. Meet the objectives of any designated departmental administrative responsibilities
2. Provide professional/technical advice to appropriate university committees about area of professional expertise
3. Develop contacts with appropriate bodies outside the university, such as professional associations, industry, agencies, government, and as appropriate hold positions within such bodies

LEVEL 3 (EQUIVALENT TO ACADEMIC ROLE PROFILES LEVEL 4)

*At this level staff will have a specialist technical/professional expertise based on a relevant professional qualification and/or extensive vocational and professional experience. Role holders will typically **EITHER** provide functional leadership with responsibility for maintaining professional standards in a specialist area involving the management of a team or number of teams **OR** will be a senior individual specialist/expert practitioner with responsibility for managing major projects to ensure delivery/improvement of service objectives. All role holders at this level will have the responsibility for developing systems and procedures and determining policy and standards. Roles at this level necessarily have considerable autonomy and responsibility and will have input into university plans with long term impact.*

Service delivery

Role holders at this level will be responsible for identifying, reviewing and determining data and service needs across a function or number of projects managed. Particular regard will be given to the appropriate legal and/or regulatory requirements to ensure the efficiency and legality of services are maintained. Role holders will provide specialist/technical advice including interpretation of data and information. At this level the advice disseminated is not limited to policy or procedural areas. In all areas, the correct interpretation will be critical and inaccurate advice and interpretation is likely to have long term impact. All role holders will have responsibility for ensuring security and confidentiality of information for teams/sections/projects managed – for example student and/or staff records and sensitive financial records.

- in human resources role holders will provide expert advice and input on complex employment law issue
- role holders in physical resourcing areas will provide high level technical advice on current and future needs of physical resourcing and facilities, typically across large areas of the university campus/sites
- role holders in central finance/accountancy will have responsibility for university wide financial systems and advice
- in information services role holders may have responsibility for the provision of information systems, for example information provision within a careers service, for a number of libraries, or for stand alone projects
- specialist and technical information provision at this level can amount to a professional consultancy service for other departments – beyond an enquiry service

Knowledge and expertise

Role holders will have a high level of professional competence and knowledge (which may include scholarly merit) gained through a number of years professional or commercial experience and/or a professional qualification. They will be responsible for ensuring appropriate procedures/policies/guidance updated in line with legislation and regulations without relying on precedent or procedure. At this level all role holders will have sufficient technical/professional knowledge to create new procedures and working practices and develop future strategy. At this level role holders require a broad knowledge of interrelationships across their work area and across the institution. Role holders will be proactive in updating and developing their own awareness of their field of work including best practice from other institutions and/or sectors where appropriate.

Communication

Role holders will have the ability to communicate with a wide range of people across the university to ensure the successful delivery of services. They will require negotiation skills to present and promote change and developments in the teams/functions/projects they lead and manage.

Networking

Role holders will participate in, and where appropriate chair, university committees. At this level there is a requirement to participate in, or if appropriate lead, external networks of other professionals or colleagues – this may involve outside agencies, commercial organisations, other institutions. Role holders will represent the university to outside bodies/agencies/organisations and will require the ability to build positive relationships.

Managing people/teamwork

Role holders will **EITHER** provide functional leadership with responsibility for maintaining professional standards in a specialist area involving the management of a number of teams. This will involve input into the overall staffing policy. Often at this level role holders will have a deputising role for the senior manager of that area. **OR** will be a senior individual specialist/expert practitioner with responsibility for managing major projects that typically impact on large functional areas. People management skills are required to oversee a number of projects and to ensure successful completion of these projects. This may involve the management of outside contractors. In both these areas, they will have the ability to manage and lead the work of others effectively and sensitively.

- Examples of leadership roles include the management of HR service, the delivery of financial services, the management and co-ordination of activities within an administrative department/school

Planning and managing resources

At this level role holders will have responsibility for decision making about the nature or scale of resourcing across teams or projects. Such projects are likely to be complex and significant in terms of time and financial resourcing. Role holders are likely to make final decisions based on recommendations for expenditure from other role holders in the section/team. Where appropriate (eg facilities staff, computing) they will negotiate effectively internal and/or external major contracts and agreements. As a service manager or specialist across number of teams and/or projects, they will monitor budgets, plans and the allocation of resources. They will also contribute to budget and resource planning and management in the wider area. Role holders will take responsibility for interpreting recommendations and make decisions about significant items of expenditure on physical resources for their function and/or projects.

- At this level in academic departments/faculties role holders will typically have responsibility for managing budgets on behalf of the Head of Department and co-ordinating space and physical resource requirements for all teaching/research activities.

Initiative and decision making

Role holders will have the ability to develop innovative solutions, encourage the application of new ideas and contribute to strategic planning. Role holders who have individual specialist roles will require advanced analytical skills, and high level problem solving ability in a specialist field in order to develop new knowledge (for example new financial or legal or human resource systems for a function across the university, implementation of appropriate design and feasibility assessments). They will have the ability to create original developments or innovations within the work role. Role holders with strategic management roles will have the initiative and problem solving skills to lead the management of change. All role holders will have the ability to co-ordinate projects to ensure implementation/delivery.

Teaching/training and learning support

Role holders at this level may not be directly involved in designing and delivering training but will take responsibility for the provision of skills based training within their function/projects, including training for team members. (see level 2A description of training roles involved). They may also be involved in ensuring staff groups are briefed on necessary policy.

Research and analysis

Role holders will have the ability to lead research and project work activities – this may involve collaborative work across functions with reference to best practice and other external benchmark – to improve services. Outcomes of project work will often be shared with external professionals.

- In some areas such as information services research may be part of a national research project and outcomes would have significance for these services across higher education.

Sensory, physical and emotional demands

Role holders will have the ability and need to balance the pressures of work demands and competing deadlines. Sensory demands are likely to cover a range of demand from relatively light to a high level depending on the discipline and work roles.

Work environment

Typically, role holders are not required to work with any physical hazards that cannot be easily controlled and managed by the university. In some circumstances role holders will be expected to be aware of relevant hazards and ensure risk assessments have been undertaken. They may have formal health and safety responsibilities.

REPRESENTATIVE WORK ACTIVITIES

In addition to the work activities set out in level 2:

PROVISION OF A PROFESSIONAL SERVICE

Role holders will be responsible for the provision of an operational or administrative service across a department or function of the university:

1. Agree and set service objectives for a department or function
2. Monitor and maintain quality of service provision for a department or function

Provision of a professional service also requires that role holders' professional and/or technical knowledge is up to date:

3. Ensure that service provision is amended in the light of any relevant changes in legislation or regulations

Role holders will be responsible for the management of finances and resources. This may include the management of outside goods, services and contracts:

4. Make decisions regarding the allocation of resources to professional services
5. Manage finances allocated to professional services
6. Manage, or provide advice on, the procurement of goods and services
7. Manage contracts for products and services from third-party suppliers

MANAGEMENT OF PROFESSIONAL FUNCTION

1. Responsibility for the development and maintenance of processes, procedures or systems for a department or function
2. Management of specific projects for a department or function
3. Lead team within the same professional field
4. Work effectively with other institutions/bodies to establish service standards and/or validation arrangements where appropriate

ACADEMIC RELATED LEVEL 4 ROLE PROFILE
(EQUIVALENT TO ACADEMIC ROLE PROFILES LEVEL 5)

Roles at this level will be responsible for managing a major area of activity or professional function across an institution. Roles at this level will make a significant contribution to the overall management and future strategy of the institution. This will involve successful leadership in the development, delivery, assessment and evaluation of a professional service. Role holders will often have national recognition in their field of professional expertise.

Service delivery

Role holders will have responsibility for the management of service provision (systems, procedures and processes) across the professional function. This will include responsibility for determining needs and demand across the function, as well as the maintenance of service efficiency and legality.

Knowledge and expertise

Typically role holders will be professionally qualified and have a number of year's experience. An extensive and in depth knowledge of the professional specialism is required, including all legislative and regulatory requirements, and where appropriate external benchmarks and commercial expertise. Role holders will have a broad knowledge of the university and the wider national and international higher education environments. Role holders will be required to maintain and develop their own knowledge through continuous professional development and review of best practice.

Communication

Role holders will have the ability to communicate complex information orally and in writing to a wide variety of audiences.

Networking

Role holders will develop and maintain effective working relationships with a wide range of contacts across the institution, through formal and informal networks. They will chair university committees as appropriate. The role requires the ability to represent the university externally and to develop professional relationships with external individuals, agencies and organisations for the benefit of the university. Typically, through these networks, role holders will have national recognition in their area of expertise.

Managing people/teamwork

Role holders at this level will lead and manage staff in a major functional area. They will have formal responsibility for determining policies and procedures related to staffing in their area. They will assist staff through feedback to develop knowledge and understanding through continuous professional development. Typically, role holders will have named responsibility for the welfare, health and safety of staff across the function.

Planning and managing resources

Role holders will lead major projects and initiatives, which have significant resource and strategic impact. Role holders have responsibility for individual decision making about the nature or scale of resourcing for a function across the university. Such decisions are likely to have long lasting impact.

Initiative and decision making

Role holders will have the ability to define, construct and implement strategy for their professional area. This will require the ability to co-ordinate multiple factors – staffing, resources, systems and procedures, which will be related to best practice in the sector. Roles

holders will have the ability and need to create original developments or innovations within the role - this includes the successful leadership of the development and implementation of major projects and initiatives across the professional function for the institution. At this level independent and collaborative decision making is likely to have a long term and/or considerable impact.

Teaching/training and learning support

At this level role holders are unlikely to be involved in the delivery of training or learning support but will be responsible for the training and learning support provided within their functional area.

Research and analysis

Role holders will have responsibility for the determination and management of research projects undertaken as part of continual service improvement of the function. Such projects will lead to a development of knowledge, practice, new products or services.

Sensory, physical and emotional demands

Role holders will have high level of skill in balancing and prioritising conflicting pressures and demands across a number of teams/functions and be able to deal with uncontrollable and unrelated interruptions and changes of focus within a day. Sensory demands at this level are likely to be relatively light

Work environment and hazards

Typically, role holders are not required to work with any physical hazards that cannot be easily controlled and managed by the university. In some circumstances role holders will be expected to be aware of relevant hazards and ensure risk assessments have been undertaken. They may have formal health and safety responsibilities.

REPRESENTATIVE WORK ROLES

In addition to the activities set out in previous levels:

PROVISION OF A PROFESSIONAL SERVICE

Role holders will be responsible for a major area or professional function of the university:

1. Agree and set service objectives for function or activity across an institution
2. Monitor and maintain quality of service provision, including demonstrating evidence of positive feedback from service users
3. Successfully implement and progress strategic and development plans designed to maximise service delivery across an institution
4. Demonstrate innovation in service development, design and delivery
5. Successful use of a range of professional approaches
6. Sustained contribution to service delivery

Professional service delivery at this level will involve leadership, development and innovation:

7. Determine relevant project work objectives for staff/professional teams and advise colleagues where appropriate
8. Determine and manage research projects leading to a development of knowledge, practice, new products or services.
9. Effective innovation in assessment and evaluation of service delivery

MANAGEMENT OF PROFESSIONAL FUNCTION

1. Take responsibility for the implementation of regulatory requirements across the function to ensure quality and compliance
2. *Where appropriate, have successfully delivered project outcomes that met specifications of the original objectives*
3. Effective leadership of team(s) across professional function
4. *Facilitate and make decisions regarding the allocation of resources to professional service/function to meet institution objectives*
5. *Participate in decisions on the allocation of resources across an institution*
6. Manage finances allocated to professional services
7. Participate in, and where appropriate chair, departmental/institution committees/meetings

Appendix 4 - Role analysis interview record for academic and academic-related staff developed by AUT and the University of Leeds

ACADEMIC AND RELATED STAFF

ROLE ANALYSIS RECORD

Name   ………………………………………… Gender   ………..

Role Title   ………………………………………… Ethnicity   ………..

Grade   ………………………………………… Disability ………..

Full/Part time
………..

Perm/FTC ………..

Brief summary of the role (key accountabilities or duties) :-

Notes for the Role Analyst.

1. *Please press for examples to illustrate the demand and competence described.*
2. *Please explore the frequency, level of impact, etc of examples.*
3. *Please encourage the role holder to cover the full remit of the role, i.e. do not restrict examples to the work being carried out at present.*
4. *Please ensure that the main* <u>*requirements*</u> *of the role are explored, i.e. not activities or responsibilities that the role holder has taken on for personal interest, eg. trade union activities.*
5. *The interview does not need to follow the topic order set out here, providing all areas are covered. The order set out might be appropriate. Alternatively, for academic staff the order might be 6,8,9,5,1,2,3,4,7,10,11,12. For academic related staff the order might be 1,4,5,7,9,2,3,6,8,10,11,12.*

1.   EFFECTIVE COMMUNICATION

Explore whether the role holder conveys through written, oral and other communication – straightforward through to complex information; with whom; the nature of the communication; the purpose; the type of information exchanged; the consequences of poor communication skills.

2. TEAMWORK AND MANAGING/DEVELOPING PEOPLE

Teams may be internal or external, fixed or changing – explore the teams in which the role holder is involved; their function; the role holder's main role; who sets the direction; how team members are motivated and encouraged.

Explore whether the role holder leads or manages people; makes judgements and decisions on levels of people resource; requires people management skills outside formal line management responsibilities (e.g. project work, involvement in recruitment/appraisal/induction/mentoring, health and safety responsibilities).

Explore whether the role holder is required to develop the skills and knowledge of others within the work team; identify training needs; instruct/coach/guide others in the team; assess the work of others.

3. NETWORKING

Networks may be internal or external – explore the types of networks that the role holder is involved in; the part the role holder plays; the purpose of the networks; the consequences of not being part of the networks.

4. MANAGING RESOURCES

Resources include physical, financial and human resources. Explore whether the role holder is required to manage the effective use of resources, and the assessment and development of physical resources.

In organising, planning and prioritising time and resources, explore what resources are involved; who else is involved; time scales; impact and how progress is monitored. Does the role holder have budget responsibility; is the role holder required to monitor expenditure within defined budgets; or required to make recommendations regarding the use of resources?

5. INITIATIVE

Explore whether the role holder is expected to use judgement, initiative and creativity (within or outside guidelines or procedures); search for new developments or innovation; generate new or creative approaches when dealing with 'challenges'. Discuss whether options are available and how the role holder selects the best course of action.

6.   RESEARCH, ANALYSIS AND DATA/INFORMATION MANAGEMENT

Explore the tasks that involve analysis in terms of checking, computing and calculating a range of factors, objectively assessing and evaluating factors, work, ideas, concepts and theories.

Explore what the role holder investigates, analyses or researches, and why. Who else is involved? What type of data and information is available and what needs to be obtained for the role holder to interpret? Is the role holder responsible for developing policies and procedures in relation to data and information?

In discussion about the role holders research / project activity, explore whether the role holder is participating in conferences; refereeing for and/or publishing in peer reviewed journals; supervising PhD students; submitting grant applications; establishing new methods or models; setting the context for research; editing journals; organising conferences.

7.   DECISION MAKING

Explore whether the role holder makes independent decisions, collaborative ones, or provides advice to others to enable them to make decisions. Discuss the impact of these decisions in terms of, for example, duration, type and level of resource, size of affected area, 'authority' of the decision-maker, and frequency of decision making.

Does the role holder make decisions about setting service standards?

8.   KNOWLEDGE TRANSFER / TEACHING AND LEARNING SUPPORT

Explore the role holder's responsibilities for transferring knowledge and skills through development of students, staff and others (outside the work team); assessing of existing knowledge; expanding knowledge and understanding.

Explore whether the role holder teaches, trains or facilitates development activities; challenges thinking and fosters debate; encourages the development of intellectual reasoning; undertakes evaluation of the knowledge transfer.

9.   PERSONAL KNOWLEDGE AND EXPERIENCE

Explore the knowledge and experience requirements for the job – breadth and depth, and how it is applied; are formal qualifications needed?

Is the role holder required to act as a leading authority in his/her field or discipline – within the University / nationally / internationally?

10. SENSORY, PHYSICAL AND EMOTIONAL DEMANDS

Explore whether the role holder routinely uses tools and equipment which require extensive training/skill development or involving considerable physical effort; carries out tasks requiring high levels of concentration to co-ordinate different senses; has uncontrollable interruptions / changes in focus within a day / tight deadlines.

Is the role holder responsible for managing emotionally difficult circumstances? Explore whether the role holder requires an awareness of the support services available; gives support /guidance / pastoral care where standard procedures do not exist.

11. WORK ENVIRONMENT AND HAZARDS

Explore the impact of the working environment on the role holder. Are there physical hazards inherent in the job? Explore whether the role holder has health and safety responsibilities.

12. ADDITIONAL INFORMATION

Interviewer   Signature……………………………………………
        Date………………….

I confirm that this is a true reflection of the role.

ROLE HOLDER   Signature……………………………………………
        Date………………….

VERIFIER   Signature……………………………………………
        Date………………….
(if appropriate)