

GENERAL FACTOR GUIDANCE NOTES

1. Words and phrases in the factor and factor level definitions have their normal meanings, unless they are used in a specific context, which is explained in these Guidance Notes.
2. Some factor level definitions include alternative criteria for meeting that demand level. Where a job meets more than one of the alternatives, then the job should still be assessed at that level, unless the combination of relevant job features means that it meets the criteria for the next highest level.
3. Some factor level definitions incorporate introductory sentences with terms "some", "considerable", "high", "major", "very major". These represent a scale of demand; the individual phrases should be interpreted accordingly.
4. Part-time jobs: care must be taken when evaluating jobs known to be undertaken on a part-time basis to avoid treating them differently from full-time jobs. This is necessary to eliminate discrimination against predominantly female groups.

This is especially true for those factors that require assessments of frequency and duration, for example, Physical Demands, Mental Demands and Working Conditions. It may be helpful, when making assessments under these factors, to examine the proportion of the part-timer's working for which the demand occurs and to relate this to the factor level definition.

For example, a School Crossing Attendant normally works outdoors for virtually all of their working time and should be assessed on this basis, even though their working hours are limited. This may mean that the School Crossing Attendant scores higher in relation to this job feature than, say, a Car Park Attendant, who spends proportionately less time, but more actual hours outdoors. (The reduced hours outdoors of the School Crossing Attendant are, of course, accommodated through pro rata pay for hours worked.)

5. All evaluations must reflect the job requirements and not the abilities of the jobholder.

1. THE KNOWLEDGE AND SKILLS FACTORS - GENERAL GUIDANCE

1. In order to facilitate evaluation, and avoid omission or under-valuation of any individual job feature, the broad Knowledge and Skills area has been divided into a number of discrete factors. As a general rule, a specific type of knowledge and skill should be evaluated under only one of these factors, but distinct aspects of a skill may be evaluated under different factors, for example:-

Language Knowledge and Skills: where a language other than English is required for communication purposes as part of the job, this should be assessed under the Communication and Interpersonal Skills factor: but:

where sufficient knowledge of the structure, syntax and alphabet of a language other than English is required, for example, for translation or drafting purposes, then the level of knowledge required should be assessed under the Knowledge factor.

Word Processing/Typing Knowledge and Skills: knowledge of how to operate a typewriter or computer keyboard and of associated lay-out techniques or software packages should be assessed under the Knowledge factor: and:

the dexterity and co-ordination skills needed to achieve required standards of accuracy and speed should be assessed under the Physical Skills factor.

Driving or Operating Skills: knowledge of how to drive or operate a particular type of vehicle or plant should be assessed under the Knowledge factor: and:

the co-ordination and sensory skills needed to achieve required standards of accuracy and safety should be assessed under the Physical Skills factor.

2. If a specific type of knowledge or skill is required to carry out the job duties, then it should be assessed, even if it is only used occasionally.

1.1

KNOWLEDGE

This factor measures the Knowledge required for the job. It covers all technical, specialist, procedural and organisational knowledge required for the job, including numeracy and literacy; knowledge of equipment and machinery; and knowledge of concepts, ideas, other cultures or languages, theories, techniques, policies, procedures and practices.

It takes into account the breadth, diversity and range of knowledge and the depth and complexity of the understanding required.

This factor does not take into account physical, mental and interpersonal/communications skills required, as these are covered by separate factors.

Level 1: The job requires knowledge of the procedures for a limited number of tasks and the operation of associated basic tools and equipment. The jobholder needs to be able to follow straightforward oral and written instructions and keep basic work records.

Level 2: The job requires knowledge of the procedures for a range of tasks and the operation of associated tools and equipment. The jobholder needs basic literacy and numeracy skills.

Level 3: The job requires knowledge of the procedures for a range of tasks, some of which, singly or in combination, are relatively complex, and of the operation of associated equipment and tools. Literacy and numeracy skills are required.

Level 4: The job requires predominantly practical and procedural knowledge across a technical or specialist area or an equivalent level of organisational, procedural and policy knowledge. The knowledge could be gained, for example, through : - Formal off-the job training supplemented by a short induction period. Alternatively, the knowledge could be gained through extended experience and/or training in relevant areas of work.

Level 5: The job requires theoretical plus practical and procedural knowledge in a specialist area or an equivalent level of organisational, procedural and policy knowledge. The knowledge could be gained, for example, through: - A combination of formal off-the-job training and experience in relevant areas of work over a period of years, or through previous education to graduate level. "Practitioner level" where knowledge of the full range of procedures is required and some knowledge of the theoretical basis on which they have been developed. A job holder might have considerable experience, but not necessarily a professional qualification at this level. May include part-qualified professional posts.

Level 6: The job requires advanced theoretical, practical and procedural knowledge across a specialist area or an equivalent level of organisational, procedural and policy knowledge. The knowledge could be gained, for example, through: - Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job. A job holder could be a specialist professional or a more generalist manager with knowledge across a range of areas.

Level 7: The job requires advanced theoretical, practical and procedural knowledge across a specialist area plus detailed knowledge of the associated organisational policies, practices and procedures or an equivalent level of organisational, procedural and policy knowledge. The knowledge could be gained, for example, through : - Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job, plus experience in relevant areas of work. Either a professional post with a considerable breadth and depth of knowledge and experience across a specialist area where this is a requirement of the job or a more generalist manager who has managerial responsibility for a range of specialist areas.

Level 8: The job requires advanced theoretical, practical and procedural knowledge across a specialist area plus detailed knowledge of the associated organisational policies, practices and procedures for that and other related specialist areas or an equivalent level of organisational, procedural and policy knowledge. The knowledge could be gained through:- Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job, plus extensive experience in the relevant areas of work.

KNOWLEDGE - GUIDANCE

1. Literacy and Numeracy: references to work records and literacy and numeracy at levels 1 - 3 relate to the levels of such skills generally associated with the procedural and equipment knowledge needed at the relevant level:-

Basic literacy and numeracy skills (at level 2) involve the ability to read text, write straightforward sentences, and undertake straightforward arithmetic functions.

Literacy skills (at level 3) include spelling, grammar and punctuation. Numeracy skills include an understanding of percentages and decimals.

Literacy should be considered in a broad sense (e.g. to include map reading).

2. Area of Knowledge: knowledge across a specialist or technical area (at level 4 and above) means that the jobholder requires knowledge of all the available practices and procedures for the particular area.

Practical and Procedural knowledge (at level 4 and above) includes detailed knowledge of how tasks need to be undertaken or situations managed across a specialist area either directly by the job holder or in order to give advice.

Theoretical knowledge (at level 5 and above) includes knowledge of relevant concepts and principles.

Advanced knowledge (at level 6) implies that a considerable depth of knowledge across the relevant specialist area is required.

Where a job covers a narrow specialist area (e.g. child protection compared with social work generally; or bridge maintenance compared to civil engineering generally), but requires knowledge across the whole specialist area as essential background or context to the work, then this should be taken into account in assessing the level of Knowledge required.

Specialist or technical knowledge includes understanding of the operation of associated equipment and tools, where relevant.

3. Qualifications. The Knowledge factor levels are defined in terms of the types of knowledge actually needed for the job, with no reference to any related qualifications.

Qualification levels specified for a job may be misleading as a means of determining the level of knowledge required. For instance, specified qualifications may understate the level of knowledge required, if, for example, they represent a minimum academic qualification used as the basis only for the acquisition of procedural job knowledge (e.g. 4 GCSEs specified for complex clerical work).

On the other hand, specified qualifications may overstate the level of knowledge required, for instance, if they are used to restrict the number of applicants for a post.

Qualifications as a measure of knowledge required for a job may also disadvantage (and indirectly discriminate against) those groups in the workforce which have had less opportunity to acquire the relevant qualifications.

Relevant qualifications and training may, however, provide an indicator only of the type and level of Knowledge needed to perform the job duties properly. Jobholders need not necessarily hold such qualifications - they may have acquired an equivalent level of knowledge through some combination of relevant experience (work-related, or acquired through voluntary activities or general life experience) and on- or off-the-job training. Consider also what qualifications would currently be expected of new jobholders.

On this basis, indicative levels of experience, training and qualifications are shown below. The knowledge could be gained, for example, through:-

Level 1: A short induction period at the workplace.

Level 2: Specific training in the job tasks, or through previous relevant experience plus a short induction period, or through some equivalent combination of previous experience and training/induction.

Level 3: The job requires knowledge of the procedures for a range of tasks, some of which, singly or in combination, are relatively complex, and of the operation of associated equipment and tools. Literacy and numeracy skills are required.

Level 4: Formal off-the job training supplemented by a short induction period. Alternatively, the knowledge could be gained through extended experience and/or training in relevant areas of work.

Level 5: A combination of formal off-the-job training and experience in relevant areas of work over a period of years, or through previous education to graduate level. "Practitioner level" where knowledge of the full range of procedures is required and some knowledge of the theoretical basis on which they have been developed. A job holder might have considerable experience, but not necessarily a professional qualification at this level. May include part-qualified professional posts.

Level 6: Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job. A job holder could be a specialist professional or a more generalist manager with knowledge across a range of areas.

Level 7: Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job, plus experience in relevant areas of work. Either a professional post with a considerable breadth and depth of knowledge and experience across a specialist area where this is a requirement of the job or a more generalist manager who has managerial responsibility for a range of specialist areas.

Level 8: Extended previous formal training, to graduate or professional qualification level, or equivalent, plus training or experience in the application of the knowledge to the specific requirements of the job, plus extensive experience in the relevant areas of work.

4. Equal Opportunities: account should be taken of the knowledge of equal opportunities concepts, ideas, theories, techniques, policies, procedures and practices, along with all other types of knowledge required for the job.

Knowledge of other cultures should be taken into account at all levels, where relevant.

5. Policy Development and Advice: for policy development, research, advisory and similar jobs, account should be taken under this factor of knowledge of any concepts, ideas, theories, techniques, policies, procedures and practices required for the work, together with relevant subject area knowledge (e.g. knowledge of housing policy, concepts, ideas, theories, statutes, regulations etc. for a housing policy development job).

Requirements of such jobs for investigatory, analytical and developmental skills should be measured under the Mental Skills factor.

6. First Aid Knowledge: should only be taken into account when it is a specific job requirement.

1.2

MENTAL SKILLS

This factor measures the Mental Skills required for the job. It includes analytical, problem solving and judgemental skills. It also includes creative and developmental skills, whether related to design, handling of people or development of policies and procedures; and planning and strategic skills.

It takes into account requirements to gather, collate and analyse the facts needed to solve problems; and also requirements for imaginative thinking.

Level 1: The job requires judgemental skills, in order to identify straightforward solutions to simple problems.

Level 2: The job requires judgemental or creative skills, where there is some need to interpret information or situations and to solve straightforward problems.

Level 3: The job requires analytical and judgemental or creative and developmental skills, where there is need to interpret information or situations and to solve varied problems or develop solutions or plans over the short term.

Level 4: The job requires analytical and judgemental or creative and developmental skills to analyse and interpret complex information or situations and to solve difficult problems or develop solutions or plans over the medium term.

Level 5: The job requires analytical and judgemental or creative and developmental skills to analyse and interpret varied and complex information or situations and to produce solutions or strategies over the long term.

Level 6: The job requires analytical and judgemental or creative and developmental skills to analyse and interpret very varied and highly complex information or situations and to produce solutions or strategies over the long term.

MENTAL SKILLS - GUIDANCE

1. In this context, "planning" has its normal dictionary definition of:

"the establishment of goals, policies and procedures for a social or economic unit",

rather than any specific meaning in the local authority context, for example, town and country planning or economic development.

Similarly, "analytical" has its normal dictionary meaning of:

"examining and identifying the components of the whole".

At levels 1 to 3 jobs may involve the application of ideas or concepts created by others but new to the organisation. At levels 4 to 6 jobs are likely to require innovative skills to develop fresh ideas or concepts.

2. Planning Timescales: Timespans are only indicative and it is the overall planning and analytical content of the job that should be assessed, whether few longer-term plans/projects or many shorter-term. References to the timescale for solutions and planning relate to the period over which the plans are made, not to the durability of what is planned.

Indicative timescales are:

Short term: up to several weeks;

Medium term: several months, up to a year;

Long term: more than a year.

The degree of complexity involved in the work should be objectively assessed.

3. Relationship to Other Factors: the factor evaluates the Mental Skills required by the job irrespective of the level of initiative and independence, or its level of responsibility, which are measured under other factors in the scheme. For example, a computer programmer requires mental skills to design a suitable program for a specified purpose, but may not have made the decision for the program to be designed. The same may apply to an architect designing a building. In both cases, the level of Mental Skills may be high relative to the level of Initiative and Independence.

The importance or value to the organisation of the computer program or building is irrelevant to the assessment of the Mental Skills required (although it may be taken into account under the relevant Responsibility heading).

1.3 INTERPERSONAL AND COMMUNICATION SKILLS

This factor measures the Interpersonal and Communication Skills required for the job. It includes oral, linguistic, sign and written communication skills.

The emphasis of the factor is on the purpose to which the interpersonal and communication skills are put (for example, training, promoting, obtaining information from others, interviewing, gaining the co-operation of others, team working, advising, motivating, persuading, counselling, conciliating, negotiating, meeting the needs of others).

The factor covers the complexity or contentiousness of the subject matter to be conveyed, and any requirements to exercise confidentiality or sensitivity. It takes into account the nature, diversity, cultural background and size of the intended audiences.

Level 1: The job involves exchanging straightforward information, usually orally, and with work colleagues, but could include other people.

Level 2: The job involves exchanging orally or in writing information to inform other staff or members of the public. Some tact may be required.

Level 3: The job involves either:

(a) exercising interpersonal caring skills, in order to meet the basic welfare needs of clients: or:

(b) exercising training or motivational skills in relation to other members of staff: or:

(c) exchanging orally or in writing varied information with a range of audiences: or:

(d) exercising advisory, guiding, negotiating or persuasive skills: or:

(e) using a language other than English where there is a need to exchange greetings and straightforward information in that language.

Level 4: The job involves either:

(a) exercising developed interpersonal caring or training skills, in order to meet the more demanding needs of clients: or

(b) exercising developed training, developmental, leadership or motivational skills in relation to other staff: or:

(c) exercising developed advisory, guiding, negotiating or persuasive skills in order to encourage others to adopt a particular course of action: or

(d) exchanging orally and in writing complicated or sensitive information with a range of audiences: or:

(e) using one or more languages other than English where there is a need to exchange complicated information with individuals, or to identify and respond to the needs of clients, in that language.

Level 5: The job involves either:

(a) exercising highly developed interpersonal caring or training skills in order to meet the very demanding needs of clients: or:

(b) exercising highly developed advisory, counselling, negotiating or persuasive skills, or advocacy, in order to convince others to adopt courses of action they might not otherwise wish to take: or

(c) exchanging orally and in writing complex and contentious information with a range of audiences, including non-specialists: or:

(d) using one or more languages other than English where there is a need to exchange orally and in writing complicated information with groups and individuals, or to identify and respond to the demanding needs of clients, in that language.

Level 6: The job involves either:

(a) exercising very highly developed caring or training skills, in order to meet the exceptionally demanding needs of clients: or:

(b) exercising very highly developed influencing, counselling, negotiating and persuasive skills, or advocacy, in order to convince others to adopt policies and courses of action they might not otherwise wish to take: or:

(c) exchanging orally and in writing wide ranging complex and contentious information with a range of audiences, including non-specialists.

INTERPERSONAL AND COMMUNICATION SKILLS - GUIDANCE

1. Scope of Factor: the job should be evaluated according to the most demanding form of interpersonal or communication skill (so, for example, a job requiring highly developed interpersonal caring skills should be assessed at level 5, even if the written communication skills needed are level 2 or 3 only).

Communication skills refer to oral and/or written communication skills. Interpersonal skills, at level 3 and above, include caring, leadership, motivational, counselling and persuasive skills including those associated with the supervision and management of own staff. The actual responsibility for supervising employees is measured under the Responsibility for Supervision/Direction/Co-ordination of Employees.

The level of interpersonal and communication skills takes into account the nature of the clients, staff, and other audiences or recipients of information. Certain individuals or groups may require more developed skills because of their circumstances, positions, attitudes or ability to understand the information being conveyed.

2. Clients: in this context, clients are people who are dependent upon the caring skills and services of the local authority, for example, the elderly, mentally infirm, those with mental or physical impairments. Clients exclude internal authority customers (as in client departments) or external customers (for example, members of the public with planning applications), because neither are dependent on the local authority for their care and welfare.

The exceptional needs of clients refer to those which are exceptionally demanding, not to those which are out of the ordinary.

3. Languages other than English: level definitions 3(e), 4(e) and 5(d) relate to different levels of demand for communication in one or more languages other than English, where this is required for effective performance of the job duties.

The language referred to could, for example, be Welsh in a Welsh speaking area. Or it could be a relevant ethnic minority language in an area with significant numbers of ethnic minority residents.

4. A recognised sign language, required for communication with clients or members of the public, is to be treated in the same way as a language other than English for the purposes of applying the level definitions.

1.4

PHYSICAL SKILLS

This factor measures the Physical Skills required for the job. It covers manual and finger dexterity, hand-eye co-ordination, co-ordination of limbs, and sensor,v co-ordination.

It takes into account the purpose to which the skills are put and demands arising from the need to achieve specified standards of speed and precision.

Level 1: There are no particular requirements for developed physical skills.

Level 2: The work requires dexterity, co-ordination or sensory skills, where there is some demand for precision in the use of these skills.

Level 3: The work requires dexterity, co-ordination or sensory skills, where there is either: (a) some demand for both precision and speed: or: (b) considerable demand for precision, in the use of these skills.

Level 4: The work requires dexterity, co-ordination or sensory skills, where there are: either: (a) considerable demands for both precision and speed: or: (b) high demands for precision, in the use of these skills.

Level 5: The work requires dexterity, co-ordination or sensory skills, where there are very high demands for precision in the use of these skills.

PHYSICAL SKILLS - GUIDANCE

1. This factor covers all applications of Physical Skills, for example, in operation of hand tools and other equipment. Activities involving limited dexterity, with no requirement for developed physical skills, for example, standing, sitting, walking, using a pen, pencil or ruler, using a telephone, are covered by level 1.

2. The factor covers:-

Driving Skills - where required for carrying out the job duties. The level of skill required may vary with the context of the driving, the size and complexity of the vehicle or plant, and the nature of the passengers or load carried.

The driving skills required for an ordinary car, van or similar vehicle are covered by level 2. The level of physical skills may be higher when the nature of the load or passengers carried, the size and complexity of the vehicle (for example, whether an articulated vehicle, or one having ancillary equipment attached), or the driving conditions are taken into account. Any of these may increase the demand for precision particularly, but possibly also speed, in the use of the skills.

Typical examples of vehicle and factor levels are:

Car or light van - level 2

Minibus or similar - level 2 or 3

Medium van or similar - level 2 or 3

Large van or truck - level 3 or 4

Tractor, road roller, dump truck or similar - level 3 or 4

Articulated vehicle or JCB - level 4:

Note: account needs to be taken of the operation of any ancillary equipment e.g. tail lift. The requirement for a particular type of driving licence may be indicative of the level of skills needed.

Keyboard Skills - where required for carrying out the job duties. The level of skill required may vary with the context, nature and purpose of the keyboard activities, and any time constraints.

Use of a keyboard with a limited number of digits (e.g. 2-finger operation), without any time constraints, and with the opportunity to amend significantly, is covered by level 1.

Level 2 requires some precision in the use of the keyboard, for example, administrative or research jobs involving use of computers for some aspects of the work.

Level 3 involves elements of both precision and speed, where the keyboard skills are integral to the main duties, for example, computer programming, systems analysis or the use of computerised financial management systems.

Level 4 covers the precision and speed required by specialist keyboard operators, such as data input or word processing operators, applying considerable precision and speed, in order to complete tasks to the required standards and timescales.

3. Speed - relates to the speed with which the physical skills are exercised and not to the speed of the outcome. For example, pressing a button to release a rocket set to fly faster than the speed of sound requires only limited precision and speed.

The definitions relate to the standard level required for competent performance of the job duties. Any higher rates achieved, for example, in order to meet performance targets, should not be taken into account.

Precision - refers to any precise action, irrespective of job context.

4. Consequences of Error. The outcome of the physical skills, including the consequences of error, should not be taken into account here, but under the appropriate Responsibility factor. If the same degree of precision and speed is required to produce items worth £100 and £100,000, the jobs should be assessed at the same level on the Physical Skills factor.

5. Previous Requirements for Physical Skills. The level of skill required should be that needed for the job, and not any other level required for a previous career position. Thus, a supervisor of drivers only needs driving skills if still required to drive, or to train others. The same applies to word processing skills for an office manager.

2.1 INITIATIVE AND INDEPENDENCE

This factor measures the scope allowed to the jobholder to exercise initiative and take independent actions.

It takes into account the nature and level of supervision of the jobholder; the level and degree of direction and guidance provided by policies, precedents, procedures and regulations; and any requirements to organise or quality check own work.

Level 1: The job involves following instructions which define the tasks in detail. Minimal personal initiative is required. The job is subject to supervisory or customer checks or close supervision.

Level 2: The job involves working from instructions, but making minor decisions involving the use of initiative. Problems are referred to a supervisor/ manager. Little close supervision is necessary beyond that provided by working arrangements and methods.

Level 3: The job involves working within recognised procedures, which leave some room for initiative. The work may involve responding independently to unexpected problems and situations. The jobholder generally has access to a supervisor/ manager for advice and guidance on unusual or difficult problems.

Level 4: The job involves working within recognised procedures, within which the jobholder is required to organise own workload. The work involves making decisions as to when and how duties are to be carried out, and responding independently to unanticipated problems and situations. The jobholder generally has access to a supervisor/ manager for advice and guidance on serious problems.

Level 5: The job involves progressing a series of activities within recognised guidelines. The work involves making frequent decisions and exercising initiative without ready access to more senior officers. The jobholder consults a supervisor/ manager for advice on policy or resource issues.

Level 6: The job involves working within broad practice or guidelines. The work involves using discretion and initiative over a broad area of activity, with little access to more senior officers. The job is subject to managerial direction.

Level 7: The job involves working within Council policies. The work involves using wide discretion and initiative over a very broad area of activity, with little access to others. The job is subject to general managerial direction.

Level 8: The job involves working within the overall policy of the Council. The work involves using very wide discretion and initiative over a very broad area of activity, without recourse to others. The job is subject to minimal managerial direction.

INITIATIVE AND INDEPENDENCE - GUIDANCE

1. Council Policies: all work is undertaken within Council policies, including their development. Absence of reference to Council policies at levels below levels 7 & 8 does not mean that these levels are not within Council policies, but that they are also subject to more detailed procedures, which themselves are within Council policies.

2. Recommendations: jobholders may contribute to the decisions of others by making recommendations. The initiative involved in making such recommendations should be taken into account. The level of initiative in making recommendations will depend on how close to or far from the relevant decision making they are, their degree of influence, the breadth of activity to which they relate, and the degree of direction provided.

3. Joint Decision Making: the nature and extent of the jobholder's contribution to joint decision making by different people, departments or committees should be taken into account in assessing the level of initiative, in the same way as with recommendations. The sharing of decision making and action taking may reduce the level of initiative.

4. Unexpected Problems and Situations: (at level 3) include those where a jobholder attends a particular location to carry out a set of duties within recognised procedures, only to find that the situation has changed, but dealing with this is also covered by recognised procedures.

Unanticipated Problems and Situations: (at level 4) are those for which no recognised procedures are available to the jobholder when decisions have to be made without reference to a supervisor/manager.

5. Organisation of Workload: (at level 4) includes meeting the needs and demands of others, either internal or external. For example, an IT support job would involve organising the workload arising from internal customer demands. Similarly, a housing repairs job could involve organising the workload arising from external customer (tenant) requests for assistance.

5. Managerial Direction: the extent ranges from managerial direction through general to minimal. Account should be taken of the amount, level and degree of the direction.

2.2 PHYSICAL DEMANDS

This factor measures the type, amount, continuity and frequency of the physical effort required by the job. It covers stamina as well as strength.

It takes into account all forms of bodily effort, for example, that required for standing and walking, lifting and carrying, pulling and pushing. It also includes the physical demands involved in working in awkward positions, for example, bending, crouching, stretching; for sitting, standing or working in a constrained position; and for maintaining the required pace of work.

Level 1: Tasks or activities are undertaken mainly in a sedentary position, and allow for considerable flexibility of movement. There may be limited requirements for standing, walking, bending or stretching; or an occasional need to lift or carry items.

Level 2: The job involves either:

(a) some ongoing physical effort (for example, regular sitting in a constrained position, or standing, or walking at a normal pace, for long periods); or:

(b) normally limited physical demand, but with periodic requirements for considerable physical effort (for example, lifting or carrying, pushing or pulling items of light to moderate weight, rubbing or scrubbing, or working in an awkward position).

Level 3: The job involves either:

(a) ongoing considerable physical effort (for example, regular lifting or carrying, pushing or pulling items of moderate weight, rubbing or scrubbing, or working in awkward positions): or:

(b) normally limited or some physical demand, but with periodic requirements for high physical effort (for example, lifting or carrying, pushing or pulling items of heavy weight, or working in very awkward positions).

Level 4: The job involves either:

(a) ongoing high physical effort (for example, frequent lifting or carrying, pushing or pulling items of moderate or heavy weight, rubbing or scrubbing, or working in very awkward positions): or:

(b) normally considerable physical demand, but with periodic-requirements for very high physical effort (for example, lifting or carrying, pushing or pulling items of very heavy weight, or manual digging).

Level 5: The job involves ongoing very high physical effort (for example, frequent lifting and carrying, or pushing and pulling, items of heavy or very heavy weight, or manual digging).

PHYSICAL DEMANDS - GUIDANCE

1. Frequency and Continuity: the level definitions incorporate a scale of frequency and continuity, as follows:

Occasional - infrequently and/or for a short period of time - would generally result in the job being assessed at level 1 or 2, depending on the nature of the effort (unless the job also involves other forms of physical effort) e.g. if the demand is seasonal or occurring on average less than one day/shift in 10 over the year as a whole;

Periodic - more frequent than occasional, but less frequent than regular; effort not necessarily associated with normal job duties;

Regular - in the dictionary sense of repeated; would usually be associated with normal job duties;

Frequent - in the dictionary sense; certainly associated with normal job duties;

Ongoing - continuous or almost continuous; associated with the job duties undertaken for most of the working shift.

It is assumed that all relevant health and safety regulations are complied with. However, in considering the continuity of effort, breaks required by health and safety regulations (for example, for VDU work or driving), or other recognised breaks, should not be treated as breaks in the period of effort.

Demands over particular periods relate to the nature of the work, and not to the contractual hours of the jobholder.

Considerable physical effort, for example, could be rubbing/scrubbing tables, painting walls or doors with brush or roller, lifting/carrying piles of files or buckets of water or pushing a wheelchair with child or adult occupant.

High physical effort, for example, could include scrubbing floors, sawing wood, lifting or carrying large containers of food or similar, pushing a wheelchair with a heavy occupant, pushing a well-laden trolley or sweeping mud or ice.

Very high physical effort, for example, could include lifting or carrying full dustbins, sacks of potatoes, pushing/pulling a bed with a very heavy occupant, digging heavy soil or soil below ground level or laying full-size paving stones.

2. Weights: light, moderate and heavy, have their normal everyday meanings, and are to be applied consistently, regardless of the physical characteristics of the jobholder and whether the duties are normally carried out by women or by men; or by small people or large people; or by fit or unfit people. So, a sack of cement or a sack of potatoes is a heavy weight, even if it is lifted and carried without obvious exertion by a tall, fit, young person.

Where mechanical aids are available, these should be taken into account when assessing the level of demand. For instance, other things being equal, moving sacks of potatoes with the aid of a trolley involves less demand than lifting and carrying the sacks over the same distance.

3. Constrained Position: is where the jobholder has to remain in a fixed and tensed position, in order to be able to carry out the job duties efficiently. For example, sitting in a fixed and tensed position at a keyboard, in order to type most efficiently and at speed; sitting in a vehicle driving seat in a position which is constrained by driving wheel, gear controls, brake and accelerator, in order to drive properly; standing in a rigid position to wash pans or operate equipment.

2.3

MENTAL DEMANDS

This factor measures the degree and frequency of the mental concentration, alertness and attention required by the job.

It takes into account features which may make concentration more difficult, for example, repetitive work, interruptions or the need to switch between varied tasks or activities; and other forms of work related pressure, for instance, arising from conflicting work demands. It also takes into account the responsiveness required of the jobholder.

Level 1: The job requires general awareness and sensory attention with short periods of concentrated sensory attention or short periods of enhanced mental attention.

Level 2: The job requires general awareness and sensory attention, with either:

- (a) medium periods of concentrated sensory attention: or
- (b) medium periods of enhanced mental attention: or
- (c) short periods of concentrated mental attention: or
- (d) some work-related pressure, for example, from deadlines, interruptions or conflicting demands on the jobholder.

Level 3: The job requires general awareness and sensory attention, with either:

- (a) lengthy periods of concentrated sensory attention: or
- (b) lengthy periods of enhanced mental attention: or
- (c) medium periods of concentrated mental attention: or
- (d) considerable levels of work-related pressure, for example, from deadlines, interruptions or conflicting demands on the jobholder.

Level 4: The job requires general awareness and sensory attention with either:

- (a) prolonged periods of concentrated sensory attention: or
- (b) prolonged periods of enhanced mental attention: or
- (c) lengthy periods of concentrated mental attention: or
- (d) high levels of work-related pressure, for example, from deadlines, interruptions or conflicting demands on the jobholder.

Level 5: The job requires general awareness and sensory attention with either:

- (a) prolonged periods of concentrated mental attention or:
- (b) lengthy periods of concentrated mental attention over a range of different activities: or:
- (c) very high levels of work-related pressure, for example, from deadlines, interruptions or conflicting demands on the jobholder.

MENTAL DEMANDS - GUIDANCE

1. Sensory Attention: attention of the senses (eyes, ears, smell), as in watching, looking, listening, touching, smelling.

General awareness and sensory attention is the level required for day-to-day activities, such as moving from one place to another.

Concentrated Sensory Attention: occurs when the jobholder needs to be particularly alert, for example, to traffic or the actions of children; concentrating on visual or aural activities, for example, typing, word processing, data input.

2. Mental Attention: attention of the mind, as in thinking, calculating.

Enhanced Mental Attention: occurs, for example, when undertaking the checking of documents for completeness or correctness (possibly of simple arithmetic), carrying out occasional calculations etc.

Concentrated Mental Attention: occurs, for example, when undertaking repeated manual calculations or other work with figures; or ordering of facts, as for instance, in report writing or preparation of a presentation.

3. Timespans: demands are affected by the period for which the attention is needed:

Short periods - periods of minutes, up to, say, one hour.

Medium periods - periods of between one and two hours.

Lengthy periods - periods of hours at a time, for example, most of the morning or afternoon.

Prolonged periods - all or most of a working day.

Notes: 1 - the frequency of the mental demand must be considered when assessing this factor. Very occasional or infrequent mental demands would be insufficient to score above level 1.

2 - where evaluating a part-time job, which can equally be done on a full-time basis then it should be assessed as if it were a full-time job.

Breaks required by health and safety regulations (for example, for VDU work or driving), or other recognised breaks, should not be treated as breaks in the period of attention.

Demands over particular periods relate to the nature of the work, and not to the contractual hours of the jobholder.

4. Work Related Pressures arise from features outside the control of the jobholder. Possible sources include interruptions, conflicting demands (more than one person requiring

assistance simultaneously), constraining deadlines (for example, post or bank deadlines; administrative or service delivery deadlines; financial deadlines) or other time pressures. The nature and impact of interruptions should be taken into account. For example, answering a telephone call where this is an integral part of the job should not be viewed as an interruption but can be viewed as work-related pressure. Unavoidable interruptions are where the jobholder has no opportunity to make themselves "unavailable" and where there is a need to divert attention from what is being done to meet the demands of the person making the interruption.

Volume of work, as such, should not be taken into account and is better dealt with in other ways. Otherwise decreasing volumes of work (through additional staff being appointed) could result in down-scoring of jobs; or increasing volumes of work could result in the up-grading of jobs (at the cost of desirable work practices).

2.4

EMOTIONAL DEMANDS

This factor measures the nature and frequency of the Emotional Demands on the jobholder arising from contacts or work with other people.

It takes into account the situation in which the contacts or work with other people occur, for example, whether they are angry, difficult, upset or unwell; or whether their circumstances are such as to cause stress to the jobholder, for example, if the people concerned are terminally ill, very frail, at risk of abuse, homeless or disadvantaged in some other way.

Level 1: The job involves limited contact with, or work for, other people, which through their circumstances or behaviour place minimal emotional demands on the jobholder.

Level 2: The job involves contacts with, or work for, people, which through their circumstances or behaviour occasionally place emotional demands on the jobholder.

Level 3: The job involves contacts with, or work for, people, which through their circumstances or behaviour either:

- (a) regularly place emotional demands on the jobholder or:
- (b) occasionally place significant emotional demands on the jobholder.

Level 4: The job involves contacts with, or work for, people, which through their circumstances or behaviour either:

- (a) regularly place significant emotional demands on the jobholder or
- (b) occasionally place intense emotional demands on the jobholder.

Level 5: The job involves contacts with, or work for, people, which through their circumstances or behaviour regularly place intense emotional demands on the jobholder.

EMOTIONAL DEMANDS - GUIDANCE

1. Sources of Emotional Demands: covers demands arising from people-related features of the job (in contrast to the Mental Demands factor which covers demands arising from work-related features). Emotional demands are those which cause emotional pressure and may result in the jobholder feeling upset, or grieved, or angry.

Job features must be looked at objectively. Account should still be taken of the source of the emotional demand, where individual jobholders, who deal frequently with it, may learn to "cope" and not to demonstrate the emotional pressure on them.

It is assumed that all relevant precautions are taken, that the jobholder is trained to deal with the relevant people and complies with health and safety procedures.

2. The 'people' who impose emotional demands may include the public, local authority members, other employees of the local authority or other organisations (internal and external clients; customers; users of services provided by the jobholder). They exclude immediate work colleagues, because changes in personnel could otherwise result in changes to the evaluation.

3. Verbal Abuse experienced by the jobholder, whatever the source, is not measured under this factor heading, but is treated as a form of people-related unpleasant condition under the Working Conditions factor heading.

4. Level of Emotional Demand:

Exposure to an emotional demand where the jobholder is required to deal with distressing, disturbing subject matter, for example, attending minuting and typing notes from child protection case conferences and associated telephone contact should be assessed under this factor.

Significant and intense emotional demands at levels 3, 4 and 5 should be assessed only where the demand forms an expected part of the job role and the jobholder has direct responsibility to deal with those imposing the demands.

Significant emotional demands include those arising from dealing with those who are frail or have physical or mental impairments, or are seriously disadvantaged through homelessness.

Intense emotional demands include those arising from dealing with terminally ill clients, cases of child abuse or where the necessary actions of the jobholder may cause genuine distress to, or be in conflict with the wishes of, the client (for example, transfer from own home to residential care, removal of child to foster care).

5. Frequency of Emotional Demand:

Where emotional demands occur rarely (e.g. less than twice a year) level 1 would normally apply. However, if a jobholder experiences significant or intense emotional demands rarely, level 2 may be appropriate.

Occasional - taking place from time to time, not frequent or regular and/or for a short period of time;

Regularly - in the dictionary sense of repeated within the normal cycle of activity.

3. THE RESPONSIBILITY FACTORS - GENERAL GUIDANCE

1. The scheme distinguishes 4 types of responsibility:

- Responsibility for People;
- Responsibility for Supervision/Direction and Co-ordination of Employees;
- Responsibility for Financial Resources;
- Responsibility for Physical Resources

to ensure that the diverse responsibilities of the wide range of local authority jobs are considered.

A job may have any combination, and to any extent, of direct responsibilities, and each should be considered separately. For example, management of a nursing home includes responsibility for the health and well-being of the residents (Responsibility for People), direction and co-ordination of staff (Responsibility for Supervision), budgetary responsibility (Responsibility for Financial Resources) and responsibility for residents' records (Responsibility for Physical Resources).

2. Contributions to a Shared/Joint Responsibility. Each job should be assessed according to its actual contribution to an overall responsibility, as different people, departments or committees may have a direct responsibility. For example, an accountant in Financial Services may directly contribute to the setting and monitoring of the budget and longer term financial planning of a nursing home's maintenance programme (Responsibility for Financial Resources, whilst the home's manager has budgetary control responsibility for the programme (Responsibility for Financial Resources), which is managed by a maintenance manager (Responsibility for Physical Resources).

The same principles apply in client contractor situations.

The actual responsibility of a jobholder who shares, or contributes to, the same responsibility as others should be assessed. For example, there is no dilution of responsibility where a jobholder is responsible for the careful use of a piece of equipment for the whole shift, even when other jobholders have responsibility for the same equipment on other shifts.

On the other hand, there is considerable dilution of responsibility for a piece of equipment, which is shared by a team of employees on the same shift, but which the jobholder uses only occasionally.

Sharing of responsibility is normally with other employees, but could equally be with others (for example, with clients, for pensions, when collected by the jobholder; or residents, for security of residential premises). The nature and degree of the jobholder's responsibility for resources is more important in assessing demand than who owns them.

3. Direct Responsibilities and Impact. The following examples illustrate

circumstances where the Responsibility factors are concerned with the direct impact of the job. An accounts job in a charity has a direct Responsibility for Financial Resources, but no Responsibility for People. A job involving home visits to the charity's clients has a direct Responsibility for People, but possibly no Responsibility for Financial Resources. The job of the charity's shopworker involves some Responsibility for People (those who visit the shop) and some Responsibility for Financial Resources (the shop receipts).

The impact of a failure to carry out the responsibilities properly (for instance, delays, inconvenience or discomfort to others, financial loss, lower quality service) may be a useful indicator of the level of responsibility.

4. Other Responsibilities. The Responsibility factors also take account of any responsibility the jobholder may have through the provision of advice and guidance on policies and procedures, research or the adaptation or development of existing or new policies and procedures. However in all but a few exceptional situations this responsibility will relate to only one of the four Responsibility factors even though there may be a "knock-on" impact under another factor. It is therefore important to identify before evaluating the job under any Responsibility factor whether the job role encompasses a responsibility for advice and guidance or policy development and if so in which factor the main influence lies.

For example:

Where the policy development, advisory or research responsibilities of jobs are mainly focused on policies which relate to the physical, mental, social, economic or environmental "well-being" of people (within, as well as external to, the Authority), they should be assessed under the Responsibility for People factor.

Where such responsibilities are mainly focused on the Authority's policies with regard to the ways in which its employees are managed, disciplined or paid, they should normally be recognised under the Responsibility for Supervision factor.

If the main focus is on the financial policies and/or financial well-being of the Authority, then this should be taken into account under the Responsibility for Financial Resources factor.

Finally, if the main focus is on the Authority's policies in relation to any form of physical resource, including information, this should be assessed under the Responsibility for Physical Resources factor.

Remember that in relation to responsibilities for policy development, research, advice and guidance, it is only the primary focus that should be considered. E.g. a financial policy that constrains highway development should be considered under Responsibility for Financial Resources; while a highways policy that has financial implications should be considered under Responsibility for Physical Resources.

However, where a job genuinely has more than one main policy, advice or research focus, then it should be assessed under each relevant factor - in the same way as direct hands-on responsibilities are assessed under each relevant Responsibility factor. But, as with direct hands-on responsibility jobs, care should be taken to avoid double-counting the same form of policy development, advice or research under more than one heading.

3.1

RESPONSIBILITY FOR PEOPLE

This factor measures the responsibility of the jobholder for individual, or groups of, people (members of the public, service users and recipients, clients), other than employees supervised or managed by the jobholder.

The emphasis of the factor is on the nature and extent of the direct impact on the well-being of individuals or groups.

The factor covers responsibilities, including any confidentiality requirements, for the physical, mental, social, economic and environmental well-being of people, including their health and safety.

These responsibilities could be exercised through, for example, providing personal services, advice and guidance, or other forms of assistance; implementing or enforcing regulations; or developing and implementing services.

Level 1: The job involves limited, or no, direct impact on the well-being of individual, or groups of, people. The work may require common courtesy or consideration where encountering members of the public incidentally in the course of normal duties.

Level 2: The job involves some direct impact on the well-being of individual, or groups of, people, through undertaking tasks or duties which are to their direct benefit, or impact directly on their health and safety.

Level 3: The job involves considerable direct impact on the well-being of individual, or groups of, people, through either:

(a) an assessment of needs and implementation of appropriate care or welfare for those who are reliant on the jobholder for their basic needs or

(b) implementing regulations which have a direct impact on the health, safety or well-being of people.

Level 4: The job involves high direct impact on the well-being of individual, or groups of, people, through either:

(a) an assessment of the needs and implementation of appropriate programmes of care or welfare for those who are reliant on the jobholder: or:

(b) enforcing regulations which have a high direct impact on the health, safety or well-being of people.

Level 5: The job involves a major direct impact on the well-being of individual, or groups of, people, who are reliant on the jobholder; and involves assessment of their complex needs and arranging for the delivery of appropriate programmes of care or welfare. The jobholder has responsibility for taking decisions which may affect the future well-being and circumstances of individual clients.

Level 6: The job involves a very major direct impact on the well-being of substantial numbers of people, who are reliant on Council services for their care or welfare; and involves assessment of the needs of the relevant group of people and determining how appropriate programmes of care or welfare should be delivered. The jobholder has responsibility for taking decisions which will affect the future well-being of individual, and groups of, clients.

RESPONSIBILITY FOR PEOPLE - GUIDANCE

1. People: in this context are the recipients of services provided by the local authority, or the direct beneficiaries of its activities, for example:-

- residents of local authority homes;
- clients of, for example, social workers and home carers;
- users of libraries and leisure facilities;
- recipients of benefits or other payments, for which local authorities are the originators or paying agents;
- residents of privately-run homes, and the clients of childminders, who benefit from local authority inspection and registration activities;
- users of cafes and restaurants, who benefit from local authority inspection and enforcement activities.

Those who are "beneficiaries" or recipients will not necessarily be happy with the relevant activities, for example, abused children removed from their families, restaurant owners being inspected for compliance with hygiene regulations.

2. Equivalent Client or Customer Relationship: this factor generally measures responsibilities which have a direct impact on people other than Council employees. However, some jobs with responsibilities for other groups of people, who are not defined above, nor employees supervised by the jobholder, should also be assessed.

Those in an equivalent client or customer relationship include other employees of the local authority (for example, customers of internal staff catering facilities, or clients of personnel, training, equalities or welfare officers); or the employees or volunteers of a voluntary organisation, to whom the jobholder is providing a direct service (but supervisory or co-ordinating responsibilities should be measured under the Responsibility for Supervision etc. factor).

3. Reliance: (at levels 3a, 4a, 5 and 6) means that the people concerned are personally dependent on the provision of service, assessment of needs or decisions made by the jobholder.

4. Assessment: the automatic or mechanical process of delivering or processing the requirements of people (for example, the taking of details of income and circumstances) is not sufficient for a job to be scored at level 3 or above, unless the deliverer or processor also makes the initial assessment of needs. At level 3 the assessment could be informal, for example, whether or how to carry out a prescribed programme of care in the light of the condition of the client on a particular day. At level 4 and above, assessment of needs is normally a formal process.

5. Impact: direct impact on people does not necessarily require direct contact, for example, environmental health, trading standards and similar officers may have a direct impact on people, through the implementation or enforcement of regulations, without necessarily having direct contact with those who benefit.

6. Implementation and Enforcement of Regulations: (at levels 3(b) and 4(b)) refers to Statutory Regulations for which local authorities are the implementation or enforcement agents. For example, planning and building control, registration of private homes for the elderly and childminders, enforcement of trading standards and environmental health regulations.

For level 4(b), the job must involve formal responsibility for initiating prosecution against those failing to comply with the relevant Statutory Regulations.

The implementation and enforcement of Health and Safety Regulations are not to be taken into account under levels 3(b) and 4(b), because the local authority is not the statutory enforcement agency: they apply equally outside local authorities. But account should be taken under this factor of specific job responsibilities for the health and safety of other employees, for example, those of a Safety Officer or Occupational Health Nurse.

The responsibilities of health and safety reps. are not normally part of the duties of the job: they generally attach to the individual and should not be assessed.

7. Equivalent Levels of Responsibilities: jobs other than those involved in the implementation of Statutory Regulations may also have an impact on people without requiring direct contact, or the delivery of care.

Such jobs could include, for example, policy development; advisory or research jobs, where the main focus of the work is the physical, mental, social, economic or environmental well-being of people, for instance, in relation to local housing policy; advice on co-ordination of local government and health services for particular communities; development of social or environmental policies.

These jobs should be assessed as having equivalent levels of responsibility to those specified in the factor level definitions. The appropriate equivalences should be determined at local level, and will depend on the actual contribution of the job to the formulation of policies and their impact on the delivery of services. Consideration should also be given to whether the responsibility is an individual or shared one. However, indicative guidance might be as follows:

Level 2: providing general information, advice and guidance on established internal procedures in relation to the well-being of people.

Level 3: providing advice and guidance on the operation of established internal policy and procedures, in relation to the well-being of people. This may involve some interpretation of policy and procedures to meet specific circumstances or problems.

Level 4: providing interpretation, advice and guidance on the operation and implementation of external regulations and statutory requirements in relation to the well-being of

people. This may require adaptation of internal policies and procedures to meet the demands placed on a service or department.

Or

A shared responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to the well-being of people. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 5: a major responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to the well-being of people. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 6: a very major responsibility for the development of policies which meet the social, economic, legal or technical demands on the organisation in relation to the well-being of people and which can be seen to have a major impact on the operation of, or strategy across, services or departments.

Note: The definitions of "service" and "department" at levels 3, 4, 5 and 6 should be determined locally.

3.2 RESPONSIBILITY FOR SUPERVISION/ DIRECTION/ CO-ORDINATION OF EMPLOYEES

This factor measures the direct responsibility of the jobholder for the supervision, co-ordination or management of employees, or others in an equivalent position.

It includes work planning and allocation; checking and evaluating the work of others; and training, development and guidance. It also includes responsibility for personnel functions for those for whom the jobholder has a formal supervisory responsibility, such as recruitment, discipline, appraisal; and planning, organising and long term development of human resources.

The emphasis of the factor is on the nature of the responsibility, rather than the precise numbers of employees supervised, co-ordinated or managed. It takes into account the extent to which other employees contribute to the overall responsibility.

Level 1: The job involves limited, or no, direct responsibility for the supervision, direction or co-ordination of other employees. The work may involve demonstration of own duties, or advice and guidance, to new employees, or others.

Level 2: The job involves some direct responsibility for the supervision, co-ordination or training of other employees. The work regularly involves advising, instructing, checking work, or training other employees.

Level 3: The job involves considerable direct responsibility for the supervision, direction, co-ordination or training/development of other employees. The work involves the allocation of work to a small group or team, checking of work, and the direction of staff, including, where appropriate, on-the job training.

Level 4: The job involves high direct responsibility for the supervision or management, direction, co-ordination or training/development of other employees. The work involves supervising, directing and co-ordinating the work of a group of staff covering more than one area of activity or in more than one workplace, including allocation of work, and evaluation and appraisal of the work carried out.

Level 5: The job involves a major direct responsibility for the management, direction, coordination and development of significant numbers of other employees, covering several different areas of activity or in several geographically dispersed workplaces. The work involves the organisation, allocation and re-allocation, as appropriate, of areas of work and the evaluation of activities and working methods.

Level 6: The job involves a very major direct responsibility for the management, direction, co-ordination and development of substantial numbers of other employees, covering many different areas of activity or in many geographically dispersed workplaces. The work involves overall responsibility for the organisation, allocation and re-allocation, as appropriate, of areas of work and the evaluation of activities and working methods.

RESPONSIBILITY FOR THE SUPERVISION/ DIRECTION/ CO-ORDINATION OF OTHER EMPLOYEES - GUIDANCE

1. Scope of Factor: consideration should be given to all aspects of the definition, not just to the size of the group supervised. The aim is to find the level definition which best fits the job.

There are deliberately no indications of the size of groups: numbers may vary with the circumstances of the job. Size of local authority is not relevant.

2. Co-ordination and Management: where a jobholder co-ordinates or manages the work of staff through others' direct supervision, account should be taken of the actual contribution to the overall directing and co-ordinating responsibility for all those concerned.

3. Areas of activity: (at levels 4 to 6) include cooking, gardening, housing benefits, highways inspection, recruitment and selection, payroll. Closely associated support activities (for example, clerical, secretarial) should be treated as part of the same area of activity.

4. Others in an Equivalent Situation: account should be taken of all employees or others who are supervised, managed, or co-ordinated including:

- contractors' or suppliers' employees;
- volunteers and the employees/workers of voluntary organisations;
- work experience students or trainees;
- students on placement for practical experience;
- others in a similar situation

where they are a direct responsibility of the job.

5. Equivalent Levels of Responsibility: jobs other than those involving direct managerial responsibilities may also have an impact on staff without necessarily requiring direct contact or supervision.

Such jobs could include, for example, policy development, advisory or research jobs, where the main focus of the work is staff, for instance, in relation to personnel or human resources advice or policy, including reward strategies, or health and safety policies. The policy development, advice or research aspect of these jobs could be measured either under this factor or under the Responsibility for People factor (treating staff as those in an equivalent position to people), but not both. For example, a legal job where the main focus was advice on employee disciplinary and Employment Tribunal cases should probably be measured under this factor (i.e. personnel functions). While a job where the main focus was providing advice on welfare or health and safety policy might be better assessed under the Responsibility for people factor (i.e. employees in equivalent position to clients).

Where such policy, advisory or research features are taken into account under this factor, they should be assessed as having equivalent levels of responsibility to those specified in the factor level definitions. The appropriate equivalences should be determined at local level, and will depend on the actual contribution of the job to the formulation of policies and their impact on staff.

Consideration should also be given to whether the responsibility is an individual or shared one. However, indicative guidance might be as follows:

Level 2: providing general information, advice and guidance on established internal procedures in relation to personnel or human resources.

Level 3: providing advice and guidance on the operation of established internal policies and procedures in relation to personnel or human resources. This may involve interpretation of policies and procedures to meet specific circumstances or problems.

Level 4: providing interpretation, advice and guidance on the operation and implementation of external regulations and statutory requirements in relation to personnel or human resources. This may require adaptation of internal policies and procedures to meet the demands placed on a service or department.

Or

A shared responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to personnel or human resources. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 5: a major responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to personnel or human resources. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 6: a very major responsibility for the development of policies which meet the social, economic, legal or technical demands on the organisation in relation to personnel or human resources and which can be seen to have a major impact on the operation of, or strategy across, services or departments.

Note: The definitions of "service" and "department" at levels 3, 4, 5 and 6 should be determined locally.

3.3 RESPONSIBILITY FOR FINANCIAL RESOURCES

This factor measures the direct responsibility of the jobholder for financial resources, including cash, vouchers, cheques, debits and credits, invoices, budgets and income.

It takes into account the nature of the responsibility, for example, correctness and accuracy; safekeeping, confidentiality and security; deployment and degree of direct control; budgetary and business planning responsibilities; planning, organising and long term development of the financial resources.

It also takes into account the degree to which other employees contribute to the overall responsibility, the frequency with which the responsibility is exercised and the value of the financial resources.

Level 1: The job involves limited, or no, direct responsibility for financial resources. The work may involve occasionally handling small amounts of cash, processing cheques, invoices or equivalent.

Level 2: The job involves some direct responsibility for financial resources. The work regularly involves either:

- (a) handling of cash, or processing of cheques, invoices or equivalent or:
- (b) accounting for considerable sums of money, where care and accuracy are important: or:
- (c) being accountable for small expenditures from an agreed budget or equivalent income.

Level 3: The job involves considerable direct responsibility for financial resources. The work involves either:

- (a) accounting for large sums of money, in the form of cash, cheques, direct debits, invoices, or equivalent, where care, accuracy and security are important or:
- (b) being accountable for considerable expenditures from an agreed budget or equivalent income. The responsibility may include contributing to the setting and monitoring of the relevant budget and ensuring effective spend of budgeted sums.

Level 4: The job involves high direct responsibility for financial resources. The work involves either:

- (a) accounting for very large sums of money, in the form of cash, cheques, direct debits, invoices, or equivalent, where care, accuracy and security are important or:
- (b) being accountable for large expenditures from an agreed budget or equivalent income. The responsibility may include contributing to the setting and monitoring of the relevant budget and ensuring effective spend of budgeted sums.

Level 5: The job involves a major direct responsibility for financial resources. The work involves being accountable for very large expenditures from an agreed budget or equivalent income.

The responsibility includes contributing to the setting and monitoring of the relevant budget(s) and ensuring effective spend of budgeted sums.

Level 6: The job involves a very major direct responsibility for financial resources. The work involves being accountable for extremely large expenditures from an agreed budget or equivalent income. The responsibility includes contributing to the setting and monitoring of the relevant budget(s), long-term financial planning and changing the nature, level and composition of expenditure to meet service or other requirements.

RESPONSIBILITY FOR FINANCIAL RESOURCES - GUIDANCE

1. Monetary Values: the job should be evaluated according to the nature and extent of the responsibility, rather than to the exact monetary value.

Values should be interpreted in relation to the financial size of the authority. It may be helpful, at the outset of the exercise, to consider levels of departmental expenditures in order to identify these which should be assessed as "extremely large", and to develop an appropriate scale.

2. Accounting for - give reckoning of; explain; monitor; audit; authorise payment of invoices from committed expenditures - covers receipts as well as expenditures.

Accountable for - bound to give account for; commit expenditure.

Handling/processing - must be an active responsibility, for example, checking invoices and cheques against other documentation to identify errors; but excluding the mechanical printing of cheques, without any checking process (the responsibility for printing equipment and materials should be considered under Responsibility for Physical Resources).

3. Equivalent Levels of Responsibility: it is impossible to specify all forms of financial responsibility, as many jobs in many departments may contribute to the overall accounting or accountability responsibility, for example, finance officers in corporate finance, departmental finance officers, financial policy advisory or development roles at either functional or organisational level, service budget holders, cashiers, invoice checkers etc. In determining equivalences, it is important to look at the nature of the responsibility, the frequency with which it is exercised, the scale of the responsibility and so on of each job.

Occasional authorisation of small expenditures from a small budget may be equivalent to level 1, on account of the frequency and value.

Similarly, responsibility for controlling a petty cash box, or taking care of clients' monies, may normally be level 1, but, if the sums involved are relatively large and the responsibility is exercised on a daily basis, this may be level 2 (or, exceptionally, level 3).

In relation to research, policy or advisory jobs, where the main focus of the research, policy or advice relates to the authority's financial policies or well-being, then these should be assessed as having equivalent levels of responsibility to those specified in the factor level definitions.

The appropriate equivalences should be determined at local level, and will depend on the actual contribution of the job to the formulation of financial advice or policies and their impact on the delivery of services and the financial well-being of the organisation. Consideration should also be given to whether the responsibility is an individual or shared one. However, indicative guidance might be as follows:

Level 2: providing general information, advice and guidance on established internal procedures in relation to finance.

Level 3: providing advice and guidance on the operation of established internal policies and procedures in relation to finance. This may involve interpretation of policies and procedures to meet specific circumstances or problems.

Level 4: providing interpretation, advice and guidance on the operation and implementation of external regulations and statutory requirements in relation to finance. This may require adaptation of internal policies and procedures to meet the demands placed on a service or department.

Or

A shared responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to finance. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 5: a major responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to finance. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 6: a very major responsibility for the development of policies which meet the social, economic, legal or technical demands on the organisation in relation to finance and which can be seen to have a major impact on the operation of, or strategy across, services or departments.

Note: The definitions of "service" and "department" at levels 3, 4, 5 and 6 should be determined locally.

4. Income Collection and Generation: should be taken into account, for example:

- "bidding" for grants from Government, the European Commission and other grant giving bodies;
- developing financial partnership arrangements with the private sector;
- collection of Council Tax and other revenues.

Income generation and expenditure sums should not be counted twice, but the nature of the combined responsibility should be taken into account.

3.4 RESPONSIBILITY FOR PHYSICAL RESOURCES

This factor measures the direct responsibility of the jobholder for physical resources, including manual or computerised information; data and records; office and other equipment; tools and instruments; vehicles; plant and machinery; land, construction works, buildings and fittings and fixtures; personal possessions; and goods, produce, stocks and supplies.

It takes into account the nature of the responsibility, for example, safekeeping, confidentiality and security; deployment and degree of direct control; maintenance and repair; ordering, purchasing and replacement authority; planning, organising and long term development of the physical resources.

It also takes into account the degree to which other employees contribute to the overall responsibility, the frequency with which the responsibility is exercised and the value of the physical resources.

Level 1: The job involves limited, or no, direct responsibility for physical resources. The work may involve limited handling or processing of information or careful use of low value equipment or care of the limited personal possessions of others.

Level 2: The job involves some direct responsibility for physical resources. The work regularly involves either:

- (a) handling and processing of manual or computerised information, where care, accuracy, confidentiality and security are important or:
- (b) careful use of expensive equipment or
- (c) cleaning of buildings, external locations or equivalent or:
- (d) some responsibility for security of buildings, external locations or equivalent or:
- (e) day-to-day maintenance of equipment or premises: or:
- (f) care of the personal possessions of others: or:
- (g) ordering, or stock control of, a limited range of supplies.

Level 3: The job involves considerable direct responsibility for physical resources. The work involves either:

- (a) handling and processing of considerable amounts of manual or computerised information, where care, accuracy, confidentiality and security are important or:
- (b) cleaning, maintenance and repair of a range of equipment, buildings, external locations or equivalent or
- (c) regular careful use of very expensive equipment or:

(d) security of buildings, external locations or equivalent or:

(e) ordering, or stock control of, a range of equipment and supplies.

Level 4: The job involves high direct responsibility for physical resources. The work involves either:

(a) adaptation, development or design of significant information systems or

(b) adaptation, development or design of a wide range of equipment, land, buildings, other construction works or equivalent or:

(c) security of a range of high value physical resources or:

(d) ordering of a wide range of equipment and supplies or:

(e) making a significant contribution to the adaptation, design or development of either large-scale information systems for use by others, or of a range of equipment, land, buildings, other construction works or equivalent.

Level 5: The job involves a major direct responsibility for physical resources. The work involves either:

(a) adaptation, development or design of large-scale information systems for use by others or:

(b) adaptation, development or design of a wide and high value range of equipment, land, buildings, other construction works or equivalent or

(c) security of a wide and very high value range of physical resources or:

(d) ordering of a wide and high value range of equipment and supplies.

Level 6: The job involves a very major direct responsibility for physical resources. The work involves overall responsibility for the procurement and deployment of substantial physical resources. The responsibility includes long-term planning of the procurement and deployment of physical resources and changing the source, nature, level and composition of such resources to meet service or other requirements.

RESPONSIBILITY FOR PHYSICAL RESOURCES - GUIDANCE

1. The job should be evaluated according to the highest level of Responsibility for Physical Resources. For example, a job involving regular use of very expensive equipment and care of the personal possessions of clients should be assessed at level 3, in line with the first of these features.

2. Amounts of Information: "considerable amounts" of information (at level 3) include:-

- processing electoral register data;
- processing benefit contribution forms or records.

3. Expensive Equipment: "very expensive" items of equipment (at level 3) include:-

- heavy plant;
- a refuse lorry or similarly adapted large vehicle;
- a mainframe computer system, where the jobholder has active responsibility for its operation;
- dedicated in-house printing system or operation.

"Expensive" items of equipment (at level 2) include:-

- a car, used only for local authority purposes;
- a minibus or transit van, used for transporting passengers or goods.

A computer terminal or PC is basic equipment (level 1), because the active responsibility for its careful use is very limited.

4. Security: examples of "some responsibility" for security (level 2) are:-

- keyholder responsibility for part or all of a building, external location or construction site;
- responsibility for opening or closing (with keys) one or more buildings;
- responsibility for checking windows, switching on alarm systems or similar, where there is no caretaker.

Examples of level 3 security responsibilities include acting as security guard or attendant, where this is a major job feature.

5. Equivalent Levels of Responsibility for Physical Resources: it is impossible to specify all forms of responsibility for physical resources, as many jobs in many departments may contribute to the overall responsibility. For example, IT help-desk or advisory staff, jobs involving policy advice or development in relation to any form of physical resources, for example, on IT systems or traffic management schemes.

Policy development, advisory or research jobs whose main focus is on physical resources should be assessed as having equivalent levels of responsibility to those specified in the factor level definitions. The appropriate equivalences should be determined at local level, and will depend on the actual contribution of the job to the formulation of advice or policies in relation to

physical resources and their impact on the delivery of services and the financial well-being of the organisation. Consideration should also be given to whether the responsibility is an individual or shared one. However, indicative guidance might be as follows:-

Level 2: *providing general information, advice and guidance on established internal procedures in relation to any form of physical resources.*

Level 3: providing advice and guidance on the operation of established internal policies and procedures in relation to physical resources. This may involve interpretation of policies and procedures to meet specific circumstances or problems.

Level 4: providing interpretation, advice and guidance on the operation and implementation of external regulations and statutory requirements in relation to physical resources. This may require adaptation of internal policies and procedures to meet the demands placed on a service or department.

Or

A shared responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to physical resources. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 5: a major responsibility for the development of policies and procedures which meet the social, economic, legal or technical demands on a service or department in relation to physical resources. The development of such should be seen to have a significant impact on the operation of that service or department.

Level 6: a very major responsibility for the development of policies which meet the social, economic, legal or technical demands on the organisation in relation to physical resources and which can be seen to have a major impact on the operation of, or strategy across, services or departments.

Note: The definitions of "service" and "department" at levels 3, 4, 5 and 6 should be determined locally.

4.1

WORKING CONDITIONS

This factor measures exposure to disagreeable, unpleasant, uncomfortable or hazardous working conditions arising from the environment or from work with people.

It covers the frequency, duration and nature of conditions, such as dust, dirt, temperature extremes and variations, humidity, noise, vibration, fumes and smells, human or animal waste steam, smoke, grease or oil, inclement weather, lack of privacy or isolation, and the risk of illness or injury arising from exposure to diseases, toxic substances, machinery or work locations. It also covers abuse, aggression and risk of injury from people.

The factor measures those aspects of the working environment which are unavoidable and integral to the job. Health and safety regulations and requirements are assumed to be met, but the requirement to wear protective clothing may create disagreeable or uncomfortable conditions.

The emphasis of this factor is on the degree of unpleasantness or discomfort caused. This takes into account the frequency, intensity and duration of exposure to particular conditions; and the additional effect of variations or combinations of conditions.

Level 1: The job involves minimal exposure to disagreeable, unpleasant or hazardous:

- environmental working conditions: or:
- people related behaviour.

Level 2: The job involves some exposure to disagreeable, unpleasant or hazardous:

- environmental working conditions: or:
- people related behaviour.

Level 3: The job involves considerable exposure to disagreeable, unpleasant or hazardous:

- environmental working conditions: or:
- people related behaviour.

Level 4: The job involves high exposure to disagreeable, unpleasant or hazardous:
- environmental working conditions: or
- people related behaviour

Level 5: The job involves very high exposure to disagreeable, unpleasant or hazardous:
- environmental working conditions: or
- people related behaviour

WORKING CONDITIONS - GUIDANCE

1. Scope of Factor: covers all people related behaviour, including any form of verbal abuse and aggression from people other than immediate work colleagues; and environmental working conditions, including the risk of injury from people dirt, smells and noise resulting from both the physical environment and contact or work with people.

The emphasis is on the degree of unpleasantness or discomfort encountered, which is affected by the frequency, intensity and duration of exposure to particular conditions.

2. The factor has five levels, from minimal to very high. "Minimal" includes either occasional exposure to disagreeable conditions (environmental or people related) or more frequent exposure to marginally unpleasant conditions. "Considerable" includes regular exposure to disagreeable conditions. "High" and "very high" cover continuous (or almost continuous) disagreeable or very disagreeable conditions respectively.

3. Indoor/Outdoor Work: outdoor work generally involves more exposure to disagreeable conditions than indoor work, but consideration must be given to all other features, for example:

- whether or not the outdoor work can be organised to minimise exposure to cold and wet and maximise exposure to sun and warmth;
- other unpleasant aspects e.g. fumes, smells, noise, abuse;
- whether or not the indoor work involves exposure to heat, cold or abuse from people;
- the extent to which the work can be organised by the jobholder to lessen the exposure to unpleasant conditions, and the level of control over the conditions.

Where a job is split between indoor and outdoor work, the frequency of each, and any other relevant features, should be taken into account.

4. Personal Comfort Levels: the degree and nature of the unpleasantness, and the frequency and duration with which it is encountered should be assessed, rather than individual responses to these, which vary. For example, some people are better at withstanding cold, or prefer heat; some are better at withstanding abuse. Responses may also vary with the familiarity with the condition, for example, some people become accustomed to an odious human or environmental smell.

5. Hazards/Risk of Injury: are included, because it is recognised that some jobs are inherently more hazardous than others. The scheme assumes that all appropriate precautions and safeguards are taken, for example, special training, protective measures and clothing, being accompanied by another responsible person where feasible.

The extent of hazards and risk of injury takes into account the likelihood of such incidents occurring. This may vary between similar jobs, depending on their precise nature, location and degree of isolation.