GUIDANCE FOR MANAGERS

Part of Management of Organisational Change Overarching Policy (UK Campuses only)

October 2016
Refreshed December 2021

PROCEDURES

CONTENT

GUIDANCE

1.	**INTRODUCTION**
	This Procedure, which is part of the Management of Organisational Change overarching suite of procedures, sets out guidelines for managers wishing to propose a significant organisational change in their area.
2.	**THINK - INITIATING A PROPOSAL FOR ORGANISATIONAL CHANGE**
2.1	A manager wishing to propose a significant organisational change in their area should first have a general discussion with HR. Where the changes in service requirements affect a group of staff of more than one department / area of work the HoD(s) will, following discussion with the relevant senior manager(s) e.g., Head of Schools or Director of Professional Services, establish the impact on staff.

2.2	Any proposal for significant organisational change should be set out in a briefing paper outlining the high-level business case. This paper, which will be presented to the relevant Senior Manager for outline approval, should be concise and cover the following aspects:
	• The broad rationale informing the proposed change, including financial, income, process or service improvement; student numbers; external influences e.g., funding; NSS results. What does the University want to achieve as a result of the change?
	• Outline the measures of success.
	• Outline financial considerations, including costs savings and benefits anticipated and cost of the change.
	• Outline current staffing structure - 'before' organisational charts, taking account of all campuses, and being mindful that similar roles/activities may sit in other parts of the University.
	• Identify areas of work, duties and responsibilities to be undertaken under the new structure.
	• Develop job descriptions and establish grades where appropriate. Where there is a change to structure, new posts will require evaluation and posts with changed duties will require re-evaluation.
	• Outline proposed staffing structure - 'after' organisational charts.
	• Outline any alternative solutions considered and rejected.
	• Summary of any initial discussions within the departmental management team.
	• Any obvious or apparent equality impacts or implications.
	• Consider grades and responsibilities of existing employees to detail who is affected
	  o Who is potentially "at risk" of redundancy?
	  o Basis for redundancypools, where applicable.
	  o Determine whether any could potentially be automatically matched to any of the new positions.
	• Where there are staffing implications, the proposed method of job matching and selection of staff 'at risk', e.g., desktop selection exercise, interviews
	• Develop a communication plan using standard template. Seek advice if required.
	• Outline anticipated timescales.
	• Outline OD support plan - Have senior managers/ line managers in the affected areas received training in successfully managing change, leading change and embracing change? Do staff need to be made aware of support available such as counselling/ coaching/ resilience training?

2.3	Following consideration of the proposal the relevant Senior Manager will either: • Seek further information or clarification • Reject the proposal

	• Accept the proposal in full for taking forward to consultation • Accept the proposal with revisions for taking forward to consultation
2.4	If the proposal is accepted by the relevant Senior Manager either in full or with revisions, then the manager will meet with a member of HR to discuss and plan the consultation and implementation process.
2.5	Large scale (university-wide) change programmes, involving a significant number of employees, will require the implementation of a communications strategy from the outset. A clear communication plans should be developed with involvement from Manager, HRD, and Communications, ensuring colleagues at other campuses are included.
3.	**PLAN - EXTENT OF CHANGE**
3.1	The University needs to use its resources flexibly in order to achieve maximum effectiveness. As a consequence of changes in funding, the demand for services, organisational, technological or academic developments or other factors, it will from time to time be necessary to engage in a process of change which will impact upon staffing requirements, structures and organisation. Such impacts may include but are not limited to increases or reductions in staff numbers, changes in line management, revision of roles and job descriptions and changes in the locations where work is carried out.
3.2	In such circumstances, the University is committed to managing the change process in a fair, consistent, sensitive and effective manner. Where change may result in the discontinuation of posts and a consequent risk of redundancy, all efforts will be made to deal with affected staff in an empathetic and supportive manner consistent with the provisions of the policies on redundancy and redeployment.
3.3	There will be situations where organisation change falls outside of the scope of this protocol. This will include changes that have a limited impact on the role and in such cases, it will not be necessary to go through the full change management process. For example: - • Where an employee is required to work in a different team or department, or has to report to a different line manager but their job content and grade does not fundamentally change; and/or • When there are only minor changes to the job content which do not impact on the grade of the post. This may include an expectation to undertake new tasks that are consistent with the grade of the post or to perform existing tasks in a different way (e.g., using new technology) In the above circumstances the general principles of the University's organisational change protocol should apply, and the changes should be managed by ensuring that there is an effective communication and consultation process with the individual(s) concerned.
3.4	Where change involves the creation of new positions, but no existing employees are displaced and existing roles are not altered significantly as a consequence, then the University's Recruitment procedures should be followed in respect of the additional posts.

4.	CONSULT - COLLECTIVE COMMUNICATION
4.1	The organisational change proposal will be presented, as soon as practicable, to the CJNCC in confidence with a covering note confirming the in-principle agreement of the relevant Senior Manager. The proposal will be given at the earliest opportunity to enable meaningful consultation and will include: • Information that is necessary for the Trade Unions to make an informed contribution, including updates circulated throughout the consultation period. • Consultation methods will be appropriate to the information being presented and could include, for example, departmental briefings, team meetings, 121 meetings with affected staff: newsletters as well as formal consultation meetings with the Trade Unions. • Detail of proposed timescales – for consultation, schedules of meetings and implementation.
4.2	Where the change may result in redundancies collective communication will be undertaken at the Combined Joint Negotiation and Consultation Committee (CJNCC)) and in accordance with the University's Consultation on Avoidance of Redundancy Procedure. https://www.hw.ac.uk/services/human-resources/human-resources-policies.htm These policies can be viewed under change management in the link above.
5.	INDIVIDUAL CONSULTATION
5.1	One-to-one consultation meetings should be arranged between the manager and all directly affected staff during the consultation period. The purpose of the individual meetings will be to outline the proposals in greater detail and explore all the potential implications for the member of staff in terms of their roles or future employment. Check whether any employees require special arrangements to enable them to participate fully in the procedure, e.g., support for a disability.
5.2	All parties involved in these procedures must ensure that they maintain, as appropriate, the confidentiality of the process within and outside the University.
5.3	Where an employee is currently on family leave e.g., maternity leave, adoption leave, shared parental leave, paternity leave or paternal leave and their substantive post becomes redundant or is subject to change, the employee will be consulted and supported in the same way as other affected employees.
5.4	Where an employee is currently on secondment and their substantive post becomes redundant or is subject to change, the employee will be consulted and supported in the same way as other (non-seconded) employees.
5.5	If a redundant role is currently filled by someone on secondment from an area not affected by the change, or from another organisation they will not be eligible for consideration of new positions. They should still be consulted about how the change may impact on their secondment. It may be appropriate to consider early termination of the secondment arrangement.
6.	APPROVALS

6.1	The internal approvals process will vary depending on the extent of the size of change. Localised change within one Directorate or within a School will be approved by the Head of School or Secretary of the University. Changes which extend across Directorates or Schools will be presented to University Executive (UE) and where appropriate to SENATE for approval.
6.2	Referral to UE will only be made following prior reference to senior management.
6.3	Changes which result in potential redundancies will always be referred via CJNCC.
7.	**COMMUNICATIONS**
7.1	Managers and their HR support should consider the potential impact of the change on the workforce, and take this into account in the communications about the change. A communication plan must be produced, to ensure that all affected colleagues and other stakeholders have been made aware of the change in the most appropriate way. It is the responsibility of the manager to ensure that affected staff, their representatives and other relevant stakeholders are kept fully informed throughout the change implementation phase. Advice on this may be sought from the HR colleague supporting the process. Particular care must be taken to include colleagues on family leave or long-term sick leave. Affected individuals should be invited to team meetings and individual consultation meetings.
8.	**IMPLEMENT - REDUNDANCY, REDEPLOYMENT AND CHANGE OF ROLE**
8.1	In situations where there are more employees than available posts the displaced employees may be offered redeployment, redundancy or early retirement or any other options that may be deemed appropriate. In such cases the University's Redeployment and Redundancy Procedures should be followed.
8.2	In situations where the number of new positions is greater than or equal to the number of employees who are directly affected by the change, then they will be given priority for the vacant positions.
9.	**MATCHING PEOPLE AND POSTS**
9.1	Where the organisational change involves a process of assimilating existing members of staff into new roles within the revised structure, the following provisions, which should be read in conjunction with the university's procedures on redeployment and redundancy, will apply.
10.	**AUTOMATIC MATCHING TO A NEW POSITION**
10.1	Where existing positions are changed it may be appropriate to automatically move an employee to a new position if it closely matches their existing position.
10.2	Where an employee's current duties match at least 75% of the new position and is on the same grade they will be eligible to be automatically placed into the position. However, where more than one employee is eligible for automatic allocation to a single position, or the number of employees eligible is greater than the number of available new positions the position(s) will be ring-fenced under the provisions of paragraph 11.2 below.

10.3	When an employee has been matched to a new position there will be no trial period and the University's redeployment procedures do not apply. Any member of staff who unreasonably refuses a matched position will forfeit their right to a redundancy payment.
11.	**RING-FENCING**
11.1	Ring-fencing is the grouping of employees who have not been automatically matched to a new position to available vacancies within the new structure. Consideration will be given to comparing the job duties and grade of the new/vacant posts with the job currently undertaken by the employee(s).
11.2	When ring-fencing occurs an objective selection process will be undertaken and employees will be assessed against the criteria outlined in the person specification.
11.3	Scenarios in which ring-fencing would apply include: • When the number of displaced employees who are eligible for new positions under the 75% rule above is greater than the number of new positions available. • Where the current substantive duties match less than 75% of the changed role but there are still significant commonalities • Where there are significant commonalities but the new position represents a change of grade
12.	**EMPLOYEES ON FIXED TERM CONTRACTS OR IN RECEIPT OF TEMPORARY ALLOWANCES**
12.1	If an employee has been appointed on a fixed-term contract pending a restructuring they would not normally be included in any ring-fencing exercise.
12.2	If any of the employees are currently in receipt of a temporary allowance (honoraria etc) then their substantive grade and job duties, and not those associated with the temporary additional responsibilities, should be used to determine any matching or ring-fencing arrangements. The same principle will apply with regards to secondments.
13.	**PROCEDURE FOR THE ASSIMILATION OF STAFF TO THE NEW STRUCTURE**
13.1	• Once any employees have been matched appropriately, any remaining positions should be considered for ring-fencing. The matching exercise should be completed for all grades before any ring-fencing commences. • The process will normally start with the highest graded post(s) and work down through the structure. • Where ring-fencing applies employees should be asked to submit a written application outlining why they are a suitable candidate for the position. • Where an employee is ring-fenced for more than one position, they should indicate a preference and where possible the University will endeavour to take this into account. • Where a number of employees have applied for a position the selection process will assess the most suitably qualified individual as assessed against the criteria outlined in the person specification. If only one employee is being considered for the position the assessment process will seek to determine whether the employee has the skills, experience etc required to carry out the position.

		• Where the only alternative employment available in the structure is at a lower grade than an employee's current position then they should be given the opportunity to be automatically matched to the position if they meet the essential criteria for the position. However, should they decline the offer they will be subject to the University's redeployment and redundancy avoidance procedures.
	13.2	Any employees who have not been assimilated to posts within the revised structure will be subject to the University's redeployment and redundancy avoidance procedures.
	13.3	Once the above process is complete, any remaining posts would be advertised in accordance with the University's recruitment policy and procedures.
14.		**SUPPORTING STAFF THROUGH CHANGE**
	14.1	Periods of change can create additional pressures for staff and as far as possible, support will be offered to any member of staff experiencing difficulty during such situations. Throughout the change implementation process, managers must ensure that employees fully understand their situation and are consulted and involved in the process.
	14.2	Whilst a programme of change is being planned the manager will work with the Professional Organisational Development team who will advise on the appropriate support required depending on the proposed change. This could include support to the Manager leading the change as well as individuals and the team as a whole.
	14.3	Employees should be made fully aware of the availability of the University's counselling service.
	14.4	Employees whose roles have changed should complete new objectives and/or update their existing PDR to identify and agree any training and development requirements within one month of the change.
15.		**EQUALITY AND DIVERSITY**
	15.1	If there are equality and diversity issues that are relevant to the employees these should be made known to those involved and appropriate support provided by the University. In the case of a disability or language issue an employee may be accompanied by an appropriate person to provide support.
	15.2	Managers should check if there are any special arrangements, e.g., support for a disability, that an employee or their companion may require to enable them to participate fully in the procedure. Appropriate guidance may be sought from HR. Correspondence in relation to this procedure will invite the employee to inform the University if they require additional support.
16.		**APPEALS**
	16.1	There is no bespoke appeals process pertaining to the outcomes of the application of the Organisational Change Protocol. However, in cases (other than redundancy) where there is a failure to agree or where an individual wishes to challenge the outcome as it effects them, there is a right to raise a grievance in accordance with the University's grievance procedure. https://www.hw.ac.uk/services/human-resources/human-resources-policies.htm This policy can be viewed under Discipline and Grievance at the above link.

16.2	Where the outcome of the change is a proposal for redundancy the appeals provisions of the University's redundancy policy will apply.
17.	**RESPONSIBILITIES**

17.1		
	Title	**Role**
	HR Rep	The HR Representative will provide advice in respect of the application of organisational change. They will support the manager in the process of making informed, fair and reasonable decisions.
	Employee	Will be provided with the opportunity to make representations regarding any proposed redundancy and provide any relevant information for consideration as part of any selection process. They may provide information and put their case in relation to any meetings/appeal under the Procedure.
	Representative or companion	This may be either a Trade Union representative or work colleague. They will support and advise the employee and may ask any questions or make any representations on behalf of the employee. They cannot answer questions that are put directly to the employee.
	Note Taker	To take notes of any formal meetings. These will be notes of key points and will not be a verbatim record. The notes will be provided to both parties who will have the opportunity to submit their comments.
	Senior Manager	A member of UE

18.	**RELATED DOCUMENTS**
18.1	- Redeployment Policy - Redundancy Policy - Recruitment and Selection guidance - POD Supporting Change - further information is available at Supporting Change
19.	**WHERE TO FIND HELP AND ADVICE**
	Please contact HR helpdesk for queries regarding this Policy and linked Procedures For linked Procedures and others referred to: Visit the HR Policies Section https://www.hw.ac.uk/services/human-resources/human-resources-policies.htm **Employee Counselling Service** – the University offers a free Counselling Service

20.   POLICY VERSION AND HISTORY

Version No	Date of Approval	Approving Authority /Responsible Office	Brief Description of Amendment
V. 1	2016, refreshed 2021	HRD	Refreshed and links updated

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