

Organisational Change Policy

Introduction

1. This procedure will apply only when a formal Faculty Management Group (FMG) review is proposed of the future sustainability and organisation of a particular faculty, school, other academic unit or service area (hereafter 'unit' for ease of reference) in circumstances where redundancies might ensue. The underlying principle is to work together with the recognised campus trade unions (trade unions) to reduce and to avoid where possible job losses and in particular to avoid the establishment of a redundancy committee under para 11 (1) of statute VII and Section H of the Support Staff Procedure Agreement.
2. The process detailed below
 - (a) underlines the importance of engaging staff in the process of organisational change and facilitates adherence to the principles of collegiality and academic freedom
 - (b) is designed to ensure that, in any organisational change, the University complies with the requirements of Statute VII and Section H of the Support Staff Procedure Agreement, and in particular paragraph 1 thereof
 - (c) aims to avoid, if at all possible, the establishment of a Redundancy Committee
 - (d) is designed also to ensure compliance with statutory equality obligations and best practice in that regard.
3. The process is intended to provide a disciplined framework for full consultation with the trades unions and for adherence with the Trade Union and Labour Relations (Consolidation) Act 1992. The Employment Security Review Group (ESRG) has a key role to play in that regard.
4. There shall be five main phases to the process of organisational change under this procedure, as follows:
 - (i) **Identification of a need for review** – normally initiated by the FMG
 - (ii) **Review** – the clarification of objectives and the identification and evaluation of options for future activities and structures – the institution of a review not presuming or implying the need for compulsory redundancy
 - (iii) **Restructuring** – the process of moving towards an agreed new structure, which might entail a reduction in staff numbers
 - (iv) **Post restructuring review** – the steps taken to review the outcome of restructuring and if necessary to avoid so far as possible the redundancy of staff left without a role within the new structure
 - (v) **Establishment of a Redundancy Committee**

Stage1: identification of a need for review

5. The proposal to initiate a formal review of a particular unit may arise in a variety of ways, often through the Integrated Planning Exercise (IPE) and normally on the recommendation of the Faculty Management Group (FMG). The reasons for initiating a review may include – but are not confined to – concerns about the financial or academic sustainability of a particular unit. Reviews may also be initiated when it is judged:
 - (a) that there is a need to redefine academic (or service) strategy and priorities in the light of changing circumstances

- (b) that there is a need to reorganise activities in order to ensure the efficient and effective deployment of resources.
6. When it is judged that a review might lead to job losses, the following steps will be taken.
- (a) Normally through the ESRG, the trade unions will be informed in writing, provided with relevant financial and other information (including equality impact assessments), and given a preliminary indication (to be updated as appropriate at subsequent meetings) into which of the following three categories the case falls:
- ~ redundancies are likely
 - ~ redundancies are possible
 - ~ redundancies are unlikely but at that stage cannot altogether be precluded.
- (b) Staff in the unit concerned will also be informed, both in writing and through a properly constituted staff meeting, of the proposed review and the rationale therefor, and given the opportunity to provide initial written responses to the proposal, individually and collectively.
- (c) In the case of an academic unit or a unit which delivers an academic service, the Senate will be asked to agree (or otherwise) the proposals to initiate a review – and, in considering the proposal, the Senate will have before it a report from the ESRG and a report from the staff meeting of the unit concerned as well as a report from the FMG.
- (d) In the case of other reviews, the Council will be asked to agree (or otherwise) the proposal to initiate a review – and, in considering the proposal, the Council will have before it a report from the ESRG and the report from the unit concerned as well as a report from the FMG and the Senate.
7. The Senate (in the case of the organisational change in an academic unit or academic services) or the Council (in the case of other organisational change) will lay down a timetable for the process and approve the establishment of the review group and the working group.

Stage 2: review

8. The process of review and formulation of a new plan for the unit concerned will be overseen by a review group established under 7 above. For academic units or academic services, the review group¹ will usually be supported by a working group² and both will include staff from the unit.
9. When the Senate or the Council (as appropriate) has agreed to initiate a review on the basis that job losses might ensue, the following steps will be taken.

¹ For academic reviews, the review group will normally consist of the DVC (or his nominee) in the chair; a PVC; the HR Director (or his nominee); the FD (or her nominee); the dean of the faculty concerned; the dean of another faculty; the head of unit, and two members of the working group who shall be from the unit affected. (Appropriate adjustments will be made in the case of non-academic reviews.) The review group may co-opt external members or otherwise elicit external views as it considers appropriate, taking into account recommendations from the working group.

² The working group will normally consist of the dean of the faculty concerned (or equivalent for a service) in the chair; the head of the school (or service) concerned; the faculty HR and Finance managers; and four members of staff from the school (or service) concerned, normally including the Director of Learning and Teaching and the Director of Research. The working group may co-opt external members with the consent of the review group.

- (a) the matter will be discussed by the Employment Security Review Group (ESRG) and, in accordance with its constitution, the minutes of the ESRG discussion³ will be made available to the review group;
- (b) In parallel, all staff in the unit will be invited to make an input to, and engage with, the strategic analysis of both academic (or service) and financial activities, the development of an updated strategy, development of options for change, and the formulation of a new plan and, if necessary, new structure for the unit; and the range of staff views will be reported in writing to the working group following discussion at a unit staff meeting. The unit staff meeting will be asked to approve the report as a fair reflection of the range of staff views.
- (c) the working group will draft a plan for the review group, taking into account the views submitted through (a) and (b) above, and, where it considers it appropriate, external advice; some iteration may be required at this stage;
- (d) the review group will normally prepare an interim report which will identify emerging options for change; any such report will be made available to the ESRG as well as a staff meeting in the unit concerned;
- (e) following consultation with the trade unions (normally through the ESRG), the University may make available at this stage enhanced early retirement and voluntary severance terms for staff in the unit concerned – but only after the Senate has had the opportunity to consider the interim report produced under (d) above;
- (f) the plan ultimately produced by the review group will then be offered to the ESRG and to the staff for comment;
- (g) after the review group has reviewed the plan in the light of the comments received through (f) above, it will submit its final report, with recommendations as appropriate, on the following basis:
 - (i) in the case of the review of an academic unit or service, the report will be submitted via the FMG to the Senate, alongside written reports from the ESRG and the staff gathered through (f) above
 - (ii) in the case of reviews of other units, the report will be submitted via the FMG to the Council, alongside written reports from the ESRG and the Senate and the staff gathered through (f) above
 - (iii) in any event, if a new plan entails reductions in staffing levels other than through natural turnover, the proposed reduction will be subject to the approval of the Council;
 - (iv) in all cases, the final report will explicitly indicate the implications of any proposed restructuring for staff in the unit.

10. The decisions of the Senate and the Council will be communicated clearly and quickly in writing to staff in the unit and to all the trade unions, normally through the ESRG, and the proposed next steps will be made clear.

Stage 3: restructuring

11. When it becomes clear that any necessary reduction in staffing levels is unlikely to be effected through a combination of natural turnover and redeployment (in accordance with the University's Redeployment Policy), voluntary redundancy terms will be made generally available to staff in the unit (assuming that they have not already been made available under 9(e) above). The trade unions will be consulted, normally through the ESRG, before the availability of voluntary redundancy terms is announced, and the availability of voluntary redundancy will then be communicated to staff through a

³ Minutes of the ESRG will be agreed between the University and a representative of the unions' side before they are transmitted to any other body, the union representative having at least one week in which to comment and consult on the draft (the absence of comment after that period being taken to imply consent)

combination of face-to-face meetings and in writing; terms will only be available for a limited period. Information about the later stages of restructuring will be made available to staff.

12. In the case that the staffing measures enacted up to this point have not achieved the objectives of the restructuring plan agreed by the Senate and the Council, existing staff may then be invited to apply for new roles through a formal, competitive and transparent advertisement process with clear job descriptions and person specifications set down after consultation with the trade unions through the ESRG. When there is a match of 70 per cent or more between an applicant's current role and the new role, and where there is no competition for the new role, the applicant will be appointed to that new role (unless it is a higher grade, in which case an interview will be carried out). Where there is competition for a particular role, candidates will be interviewed by appointment committees appointed according to normal university practice with the addition of a trade union observer; the selection will be made according to criteria laid down by the review group, following consultation through the ESRG.
13. Any individual who has been subject to a matching process under the terms of this procedure may appeal against the outcome of that matching, the appeal to be heard by a nominee of the Vice-Chancellor – normally a pro-vice-chancellor – who is familiar with the area concerned but who has not had any involvement in the matching process.
14. Throughout the process, the trades unions will be kept apprised through the ESRG of the progress of restructuring; and regular updates will be provided to the staff as outlined above. The review group will ensure that staff are informed of developments at all stages, normally through staff meetings, and that they are given the opportunity to comment (individually and collectively).

Stage 4: post-restructuring review

15. When the process of restructuring described in 11-14 above has been concluded, and all staff have roles in the new structure, the ESRG will have the opportunity to identify whether there are any process improvements that should be considered.
16. When the process of restructuring described in 11-14 above has been concluded, and staff have been left without a role in the agreed new structure, the following steps will be taken under the general oversight of the review group.
 - (a) the trade unions will be consulted through the ESRG, in the light of the most up-to-date information, on the question whether the job reductions implied by the original plan still need to be achieved;
 - (b) staff will also be given the opportunity to comment on this question, individually and collectively;
 - (c) if, following (a) and (b), the review group judges that fewer job losses are required than were envisaged in the original plan, it will revise the plan accordingly and give staff without a role the opportunity to apply for newly-added roles through a process comparable to that described in 12 above.
17. in parallel with the steps at 15-16 above, a discussion meeting will be held at the earliest possible stage with each individual member of staff who, having no role in the new structure, is 'at risk' following the completion of stage 3. Such a discussion may also be requested by an individual – or offered by the management – after the conclusion of the matching and appointing process indicated in 12 above. The purpose of all discussions under this paragraph will be to explore the future opportunities as they present themselves in each individual situation. The member of staff is entitled to be represented, if she/he wishes, by a trade union representative at these discussions.
18. Amongst other things, such discussions will consider:

- ~ opportunities for redeployment and retraining;
 - ~ careers advice and/or coaching;
 - ~ opportunities for voluntary redundancy and/or early retirement;
- this list not being exhaustive.

19. These meetings will be held by an appropriate line manager and an HR manager. A summary of each discussion will be provided which records any steps agreed, recommendations and next steps with clear timescales. Follow-up meetings will be held with individual members of staff as appropriate
20. The attached appendix sets out the various forms of organisational support and help that are available. In addition, the University will seek to make available appropriate sources of information, support and advice particularly (but not necessarily only) in the following areas:
 - ~ careers and 'outplacement' advice;
 - ~ financial planning.
21. The review group will report the position after 16-20 above to the ESRG in writing, and thereafter to the Council (after, in the case of organisational change of an academic unit or service, report to the Senate). If there are still staff without roles in the new structure, the latter reports will be accompanied by written reports from the ESRG and relevant staff meetings.

Stage 5: establishment of a Redundancy Committee

22. In the event that the Council determines that compulsory redundancies are needed after Stage 4, it will establish a Redundancy Committee to effect those redundancies in accordance with the provisions of Statute VII and Section H of the Support Staff Procedure Agreement.
23. In parallel, the University will continue to do what it can to seek alternative solutions.

March 2012