

## ORGANISATIONAL CHANGE PROCEDURE

*This procedure should be read in conjunction with Guidelines: Organisational Change*

### 1 INTRODUCTION

We need to be able to adapt and respond to changing circumstances in order to maintain and improve our position in the higher education sector. We recognise that change is an integral part of organisational life and we are committed to managing it effectively, openly and transparently.

Meaningful consultation with our recognised trade unions and individuals is imperative to the effective management of change. Consultation throughout the application of our Organisational Change Procedure will be in line with our partnership principles and change proposals with a people impact will be reported through the Partnership Forum.

We recognise the importance of employment security and we will seek to avoid compulsory redundancy wherever possible. Where redundancy is unavoidable, we will always do our best to mitigate the impact on individuals.

If the change project is likely to result in redundancy, The Redundancy Procedure will run in parallel with this procedure.

This procedure has been developed in conjunction with, and agreed by our recognised trade union representatives.

### 2 OBJECTIVES OF PROCEDURE

The objectives of this procedure are to:

- Ensure we successfully manage change whilst maximising our ability to mitigate/minimise any adverse impact on our staff and on the University as a whole;
- Ensure that we manage change fairly and transparently and within the legislative framework;
- Ensure we have robust, meaningful consultation and involvement with our recognised trade union representatives at the earliest point possible, in accordance with our arrangements for partnership working.

### 3 DEFINING ORGANISATIONAL CHANGE

For the purpose of this procedure organisational change is defined as:

- **Level 1:** change is likely to have minimum impact and where there is no significant change to contract of employment at individual level. Level 1 change will involve individual consultation and will seek early consultation with our trade union colleagues.
- **Level 2:** change is likely to have a significant change to contract of employment and normally involves restructuring, changes to working practices, change of hours or work pattern. Level 2 change normally impacts on a number of staff within the same department or school.
- **Level 3:** this is where change is likely to have a significant change to contract of employment across two or more departments or schools across the University.

## 4 ORGANISATIONAL CHANGE PROCEDURE LEVEL 1

### 4.1 **Step 1 – Planning & Proposals**

Planning for any change is crucial to successful implementation. The manager concerned, with support from the HR Business Partner will develop a short proposal for the change. Recognised trade unions will also support the development of the proposal if appropriate.

### 4.2 **Step 2 – Consultation & Engagement:**

The change proposals will be subject to consultation with the individuals(s) affected. Individuals will have the right to be accompanied by their trade union representative or work colleague. The consultation exercise will:

- Outline the reasons for change
- Outline the overall proposal and the timescales for implementation
- Consider feedback/suggestions from the individual and/or their trade union representative.

### 4.3 **Step 3 - Implementation**

Following consideration of feedback from either trade union representative or the individual, the line manager will confirm the change in writing, including the effective date of the change and any other information relevant to the change (i.e excess travel time/cost, flexible working arrangements etc).

Where appropriate, the Department of People & OD will issue a new contract of employment.

## 5 ORGANISATIONAL CHANGE PROCEDURE LEVEL 2/3

As level 2 and 3 change is likely to have a significant impact on individuals or a number of staff, the level of planning and consultation will be greater than a level 1 change.

The procedure for level 2 change and level 3 change is the same, however, as level 3 change impacts across 2 or more departments/schools, the relevant Dean/Director will work in collaboration to develop the change proposals.

### 5.1 **Step 1 – Planning and Development of Initial Proposals**

When the need for a change process is identified, The Dean/Director should develop the **Initial Business Case for Change**. At this stage, early informal consultation should take place with key stakeholders, including:

- Line manager colleagues
- HR Business Partner
- Trade Union representatives
- Finance Business Partner
- Strategic Planning Business Partner

The initial Business Case will outline the proposed change will include:

- Why the change is necessary
- Identify who is responsible for the change project
- People Implications (including individuals potentially impacted by the change)
- Financial Implications
- Anticipated benefits
- Any risks associated with the change

- Indicative timeline
- Consultation and Communication Plan (ensuring statutory obligations are satisfied)
- Equality Impact Assessment

**5.2 Step 2 – Approval of Initial Business Case**

The Dean/Director will submit the initial business case for approval by the Vice Chancellor's Executive Group (VCEG) and/or other appropriate approval processes (for example the Business Improvement and Innovation Group).

If the Initial Business Case is approved by VCEG, this will form the basis of the consultation and engagement process.

**5.3 Step 3 – Establish a Project Team**

Once the initial business case has been approved the Dean/Director will advise our recognised trade union representatives prior to announcing the proposals to the affected individuals/teams/departments.

The Dean/Director will establish a Project Team to progress the Initial Business Case. It will have an appropriate balance to reflect a diverse range of experiences and will normally comprise of the following:

- Led by the Dean/Director or appropriate depute
- Representative Line Managers
- HR Business Partner
- Finance Business Partner
- Recognised Trade Union Representatives
- Staff representatives

**5.4 Step 4 – Consideration of measures to mitigate the impact of Organisational Change**

The measures noted below are neither exclusive nor exhaustive and other alternatives may also be considered.

Dependent on the magnitude of the change and the financial position of the University at the time, the University will consider whether it can offer a scheme of voluntary severance or voluntary early retirement. Any offers will be at the University's discretion.

Individuals may request an extended break from service, e.g. career break, voluntary work, unpaid sabbatical leave, external secondment, change to work pattern e.g. reduced hours. This will be considered favourably where practicable.

Staff who are members of the STSS or Strathclyde Pension Fund (SPF) may, subject to meeting qualifying conditions, be able to request consideration of various pre-retirement options. Approval will be at the discretion of the University. Current options include e.g. winding down, phased retirement (STSS) or flexible retirement (SPF).

**5.5 Step 5 - Consultation & Communication**

Effective consultation and engagement is critical to the success of any change project and will be managed sensitively and transparently.

Consultation must be meaningful and the process will encourage feedback and suggestions on the proposals from both recognised trade unions and individuals affected. Suggestions and feedback will be carefully considered before the final Business Case and recommendations are made to VCEG.

At the start of the consultation process and where it has been identified that there could be potential for redundancy, affected individuals will be notified in writing that they are at risk of redundancy and the Redundancy and the Redeployment Procedures will run in parallel with the organisational change procedure.

### **Statutory Consultation**

The **minimum** statutory consultation period is:

- 20 – 99 potential redundancies: at least 30 days before any dismissals take effect
- 100 or more potential redundancies: at least 45 days before any dismissals take effect

The statutory consultation period will start on the date that affected employees and their representatives have been provided with in writing the details of the change proposals, including:

- The drivers for change and why it is necessary
- The people impact – how the change will affect the team/department and if appropriate, individual employees
- The proposed process for progressing the proposed change, including next steps
- The proposed timescale for the implementation change project
- The practical impact of the proposed change, e.g. risk of redundancy

### **Non Statutory Consultation**

Where fewer than 20 employees are impacted by the proposal there is no legal minimum period of consultation, however, in support of our principles for partnership working, we will ensure that the minimum statutory consultation period is applied and that there is meaningful consultation with our recognised trade unions and with affected staff.

### **Individual & Group Consultation**

The Manager, supported by the HR Business Partner, will arrange meetings with affected staff to discuss the implications of the proposals. Individuals have the right to be accompanied by their trade union representative or work colleague and will make every effort to attend these meetings.

The purpose of the meeting(s) is to explain:

- the proposed changes and the reasons for them;
- the proposed timetable;
- the potential impact on them, e.g. risk of redundancy, significant change to contractual terms
- the procedure and how it will be implemented;
- If appropriate, that they have the right of appeal.

and to seek:

- the views of the individual with respect to the proposals and any practical means of minimising the impact of the change to their circumstances

There will normally be at least two individual consultation meetings; however, this will be dependent on the circumstances and complexity of the proposed change.

Reasonable adjustments will be made throughout the consultation process as appropriate

## **5.6 Step 6 – Approval of Final Business Case**

We will always seek to reach agreement on the proposed changes through early involvement, consultation and open and honest conversations and after full consideration of feedback on the proposals, the responsibility lies with the Dean/Director to present a final business case and recommendations for implementation to VCEG.

A copy of the full business case will be shared with the recognised trade unions at the same time it is sent to VCEG for approval.

## **5.7 Step 7 - Implementation of Business Case**

Where the organisational change has resulted in a new structure, the Dean/Director will ensure that the appropriate matching and selection processes are followed fairly and consistently.

### **5.7.1 Role Re-assignment/Matching Process**

Where the change process has resulted in a new structure, a panel will be established, normally consisting of the Line Manager, an independent management representative (i.e. no direct line management responsibility for the affected staff), HR Business Partner and Trade Union Representative who will carry out the matching process. Feedback from the consultation meetings will be taken into consideration to ensure that all relevant and up to date information is being considered.

The Matching Process will be undertaken by comparing ideally an up to date and agreed job description of the existing role to the requirements of new role.

The matching process will take account of actual activities performed by the individual as well as the job description. Where there is less than a 75% match, consideration will be given where the panel believe that an individual could meet the 75% within a reasonable timeframe.

The following will apply in the matching process:

#### **Direct Match**

- Direct matching applies where posts are created under organisational change proposals which are of the same grade as existing posts.
- Direct matching is assessed on the basis of whether there is a 75% or more fit to a new post .This is achieved through comparing job descriptions of existing and new posts and supplemented where required, with information such evidence of actual activities that the individual performs.. There will be continuous and ongoing discussion throughout this process, with the individuals affected.
- If an individual achieves a score of 75% or more they will be advised of this outcome and will either be matched into a post or go forward to participate in a competitive matching process.

### **Competitive Match**

- Competitive Matching applies after direct matching where the number of matches exceeds the number of posts available.
- In this situation, individuals will be invited to attend a competitive interview within a reasonable timeframe.
- Successful individuals will be notified that they have been matched into a role.
- Unsuccessful individuals will remain at risk of redundancy.
- There is no right of appeal against selection decisions.

### **Non-Match**

- Members of staff who achieves a score of 74% or less will not be matched into a role and will remain at risk of redundancy.
- They will receive a copy of the completed paperwork and invited to attend a meeting the line manager and HR Business Partner to discuss the outcome and to make any comments on the score.
- Individuals who have not been matched have the right of appeal.

### **Competitive Process - New Roles**

- Where a new role is created, the role will be advertised and individuals who have not been matched will be given priority consideration.
- Individuals who meet the essential criteria (or could with training within a reasonable timeframe) will be invited to an interview.
- Successful individuals will be notified and issued with their new contract of employment at the appropriate time.
- Unsuccessful individuals will remain at risk of redundancy and will not have the right to appeal selection decisions.

### **Matching Appeal Process**

Individuals who have not been matched have the right of appeal. An appeal must be submitted in writing to the relevant Dean/Director, copied to the Director of People & OD. An appeal can only be submitted:

- if the individual believes they should have been matched because they perform at least 75% of the core activities of the new role; or
- if the individual believes they have been included in the wrong matching pool, or excluded from a matching pool where they believe they perform at least 75% of the core activities.

The following principles apply to the Matching Appeals Process:

- Appeals and supporting evidence should be submitted within 5 working days of notification of the outcome of the matching process. In extreme circumstances this may be extended to 10 days. Advice should always be sought from the HR Business Partner.
- Individuals have the right to be accompanied by their trade union representative or work colleague throughout the process.
- The appeal hearing will be held as soon as reasonably possible, chaired by an appropriate manager and attended by a representative from P&OD
- A date for the appeal hearing will normally be confirmed at least 3 working days prior to the hearing.

- At the appeal hearing, the individual will be given the opportunity to present the key points relating to their reason for appeal. No further evidence may be presented at the hearing.
- Following consideration of the case, the appeal outcome will normally be confirmed in writing within 5 working days of the hearing.
- There is no further right of appeal.

On conclusion of the matching appeals process, individual final outcomes will be issued to all employees.

***Conclusion of Matching & Selection Process***

Once all of the roles have been filled either as a result of the matching or selection process, individuals who have not secured a role will be notified in writing of their dismissal. The line manager, supported by the HR Business Partner will continue to support the individual in securing an alternative role throughout their notice period in accordance with our Redundancy and Redeployment Procedures.

**5.7.2 Contractual Changes**

If the outcome of the change has resulted in significant changes to the contract of employment, the Line Manager, supported by the HR Business Partner will meet the individual to confirm the specific contractual changes.

The HR Business Partner will issue a written offer to the individual detailing the new terms and conditions of employment.

**5.7.3 Changes to working practices**

Changes to working practices will be implemented in accordance with the implementation plan as defined within the final business case.

Where appropriate, this will include any training that has been identified as part of the consultation process.

**5.8 Step 8 – Embedding the Change**

It is normal during a re-structure for staff to experience uncertainty and upheaval. Line managers will ensure that all can transition into the new structure effectively and efficiently and will discuss any development needs.

The Line Manager will meet staff to resolve any issues so that staff feel supported to work effectively in their new role and experience and the anticipated benefits as soon as possible.

**6 PROVISIONS RELEVANT TO ORGANISATIONAL CHANGE**

The following provisions will apply to significant changes to contractual terms and conditions:

- Protection of earnings and other terms and conditions of employment will be provided for a maximum period of one year, effective from the start date in the new role.

- People & OD will provide the individual with information relevant to their pension and protection if appropriate (S20).
- If, as a result of a move of a School, Department or academic programme to a new location, travelling costs are increased, any travel expenses, in excess of normal current cost, incurred by an individual will be reimbursed for a period of 3 years from the date of the move.
- Increased travelling time and disruption to established routines will vary depending on personal circumstances. Recognition of the impact of relocation on an employee's travel arrangements will, therefore, be treated on an individual basis and decisions made accordingly.

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