

Organisational Change Procedure

Guidelines for Managers

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INTRODUCTION

Change is defined by the Oxford English Dictionary as:

'An act or process through which something becomes different'

Higher Education operates within an ever changing environment and with the continued financial pressures we face across the sector, it is likely that we will have to continually change to ensure that we maintain and improve our position.

Change needs to be managed effectively to ensure that:

- It is sustainable
- The benefits are realised
- People affected by change are treated fairly and respectfully

As a leader at UWS you have a critical role to play throughout all phases of the change project and you must ensure that you fully understand the change and how to implement it successfully within your area of responsibility. You are also accountable for ensuring that you lead and manage your team effectively through change.

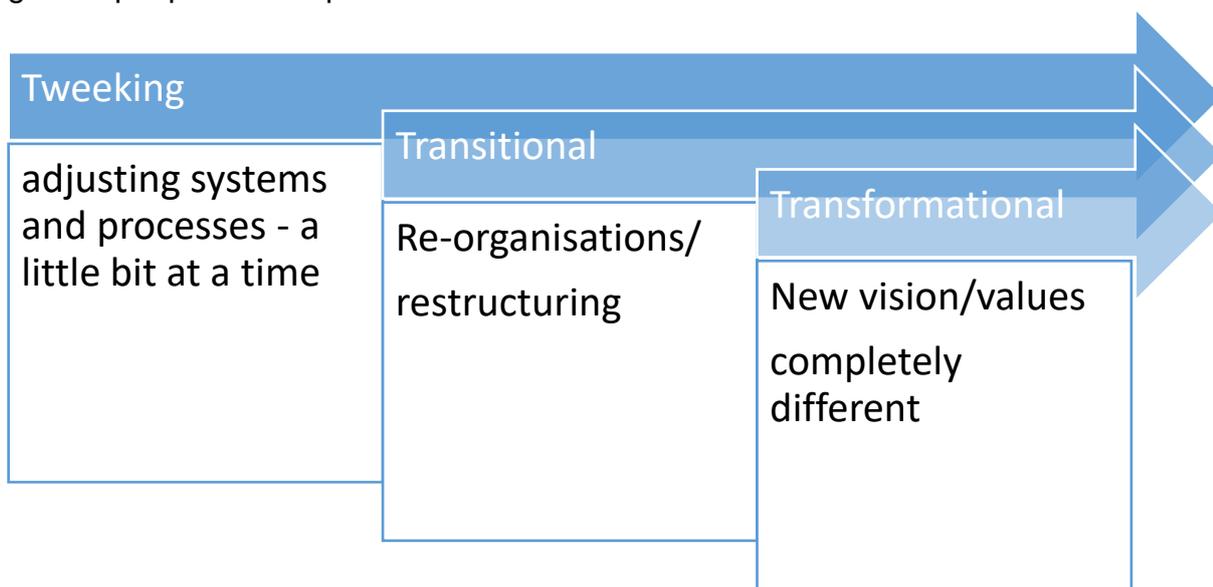
These guidelines are designed to support managers to implement change effectively. It is our aim that regardless of the scale of the change that people have a positive

experience and they feel that throughout the process there is open and transparent communication with them.

UWS believes in the benefits of working together with our recognized trade unions particularly when there is a need to achieve change in our organisation. This relationship is developing on the basis of mutual trust and respect and in accordance with our principles for partnership working. Our trade unions will play a key role in delivering effective organisational change and will be an integral part of the review teams where their contribution will be welcomed.

You should, with support from your HR Business Partner, engage early on in any change process with the trade unions. Consultation and engagement with our stakeholders is key, it can lead to joint problem solving and easier implementation and transition to change.

There are varying degrees of change, including:



Regardless of the level of change, you should work systematically through the key phases of managing effective change, recognising that the detail will vary depending on the scale of the change:

Phase	General description	
Step 1	Planning and developing proposals	<ul style="list-style-type: none"> • Determining the need for change, normally triggered by changes to external or internal environment • Develop robust proposals focussing on the desired outcome • Informal consultation with stakeholders, including trade union representatives, line managers, Finance
Step 2	Approval of Initial Business Case	<ul style="list-style-type: none"> • The initial business case for change must be submitted to the Vice Chancellor's Executive Group for Approval • Depending on the nature of the change, approval may be required from other approving committee's (i.e. salaries committee)
Step 3	Establish a Project Team	<ul style="list-style-type: none"> • A project team should established to progress the initial business case • The project team should include relevant stakeholders
Step 4	Consideration of measures to mitigate the impact of Organisational Change	<ul style="list-style-type: none"> • It is important that we consider all measures to mitigate the impact of change on our staff • This is not only good practice, but a legal obligation especially where there is potential for a reduction in staff
Step 5	Consultation and Engagement	<ul style="list-style-type: none"> • The consultation and engagement is a crucial step in the procedure • This is an opportunity to be able to truly express the need for change and what the proposals are • Consultation should take place with the recognised trade unions and the affected individuals • Consultation must be meaningful and people need to have faith that you are listening to them and will genuinely consider their ideas and thoughts
Step 6	Approval of Final Business Case	<ul style="list-style-type: none"> • Following consideration from the consultation process, final approval may be required if the proposals have changed • You should ensure that you detail the anticipated impact on those affected by the change
Step 7	Implementation of Business Case	<ul style="list-style-type: none"> • Action should now be taken to implement the change proposals. This might include a matching and selection process, confirming changes to contract of employment or working practices
Step 8	Embedding the Change	<ul style="list-style-type: none"> • Line managers must ensure that they take steps to embed the change, this could include supporting additional training or having more regular one-to-one discussions to allow staff to raise issues and for you to help resolve them

ROLES & RESPONSIBILITIES



Everyone involved in a change proposal has a key role to play in ensuring that the change is delivered effectively and successfully.

We are all accountable for ensuring that the University places itself in the best position possible to achieve our strategic ambitions through the deployment of our expertise, skills and abilities and by responding to challenging internal and external pressures in a supportive and respectful manner and with a can do attitude.

Our Vice Chancellor's Executive Group

- Responsible for providing strategic leadership through complex periods of change.
- Responsible for approving the proposals for change.

Our University Leadership Team

- Responsible for providing strategic leadership through complex periods of change.
- Be relied upon to provide expert advice and guidance on complex change within your area of accountability.
- Support your teams in delivering effective and sustainable organisational change that is aligned to our strategic ambitions.
- Act as sponsor for any review group/transformation boards that are set up within your area.

Our Department of People & OD

- Support the lead manager and influence the change proposals that will support the delivery of our strategic ambitions.
- Provide expert advice and guidance on the application and impact of the organisational change procedure to the lead manager and staff.
- Attend and contribute to relevant working groups and meetings, offering your expert opinion on best practice HR solutions to change.
- Support the manager in managing organisational change in a fair, consistent and legally compliant manner.

Our Recognised Trade Unions

- Where appropriate, contribute to the development of proposals with a view to reaching a mutually acceptable solution to internal and/or external challenges.
- Fully participate in consultation processes in line with our principles of partnership working by understanding the need for change and considering the proposals/solutions.
- Provide meaningful feedback on the proposals and suggest alternatives where appropriate.
- To contribute representations on behalf of their members and seek to reach a mutually satisfactory resolution at the end of the consultation period.

Our Managers

- Apply the principles of partnership working throughout the change process.
- To work with key teams to support the development of any proposals in response to internal or external challenges or pressures (including P&OD, trade unions, specialists).
- Understand the need for change and how people respond to change, ensuring that the change process is as positive as it can be.
- Ensure that consultation is meaningful, approach it with an open mind and consider all feedback received for use in changes to proposals as appropriate.
- Determine in the planning stage the most appropriate way of informing and consulting with staff. This must include consideration of staff absent from the workplace due to maternity, sickness or other leave and of those with specific requirements due to disability and those on secondment.
- Effectively consult with individuals affected by the change and keep all staff you manage informed about the proposals.
- Ensure that the change procedure is managed fairly, transparently and takes account of any statutory or legal obligations.
- Once the change has been implemented, you will ensure that it is embedded and that you realize the benefits of the change at the earliest opportunity.

Our Staff

- Participate in consultations, considering the proposals and contributing your own ideas in an open and respectful way.
- Be open-minded when considering reasonable changes.
- Continue to perform your role professionally during organisational change.
- Make full use of support made available to you during organisational change.
- Give full consideration to any suitable alternative employment opportunities.

DELIVERING EFFECTIVE ORGANISATIONAL CHANGE

Managing the process of change is crucial to the success of any change proposal. It is good practice to plan change proposals well, carefully consider the potential impact on individuals and communicate the proposals effectively will ensure that change is delivered effectively.

How change is managed can also have a significant impact on the wellbeing of individuals. By giving individuals a say in how change is managed can help to maintain their sense of wellbeing and engagement levels. Change that is managed badly can cause long-lasting effects and ill feeling that can lead to a breakdown of trust which damages employment relations and morale.

To manage change affectively it is also important to:

- ensure that the area in question is ready and prepared for the change
- communicate and consult – develop an internal communications strategy; involve all key stakeholders
- demonstrate strong leadership – create a clear vision, link individual and teams goals to university KPI's, set an example, being visible and approachable, creating a culture based on openness and trust
- engage – engaged employees are likely to adapt better to change and have easier emotional journeys
- use a solution-focused approach and encourage team building

Supporting staff through change

People can often feel uncomfortable with change, which can lead for them to resist it and oppose it. This is why it is important for you to understand how people are feeling so that you can support them through it.

Effective change management involves taking steps to help minimise adverse impacts of the change and to ensure employees are provided with the tools and support to cope effectively and maintain their wellbeing. Effective and ongoing

communication is critical to maintaining morale and reducing uncertainty. It is important to recognise that employees cope differently with change and may be concerned about job security and the impact on themselves and their families, particularly if redundancies are considered. It is therefore important to ensure that communication is maintained and any questions or concerns are considered and responded to empathetically.

Research has shown that employees may take their lead, for how they respond to change, from their line managers. Line managers can trigger positive behaviour by showing that they care about how change impacts on staff. Line managers can learn to recognise certain behaviours brought about by change and learn to manage them and support employees effectively.

To support your team effectively, you can:

- recognise the impact of change on individuals and common emotional responses that can arise during the change process
- adapt your leadership/management styles to accommodate emotional responses to change
- develop appropriate skills to lead staff effectively during change
- use effective and ongoing communication that is appropriate
- carefully explain redeployment, career transition and other sources of support that are available workplace wellbeing booklets e.g. Stress Booklet
- focus on a robust communication and consultation plan, which includes all affected employees and gives adequate time and opportunity for issues to be raised
- retain flexibility in the consultation plan to allow for extra meetings with individual or groups if needed
- ensure that affected employees know which management representatives are available to discuss the change

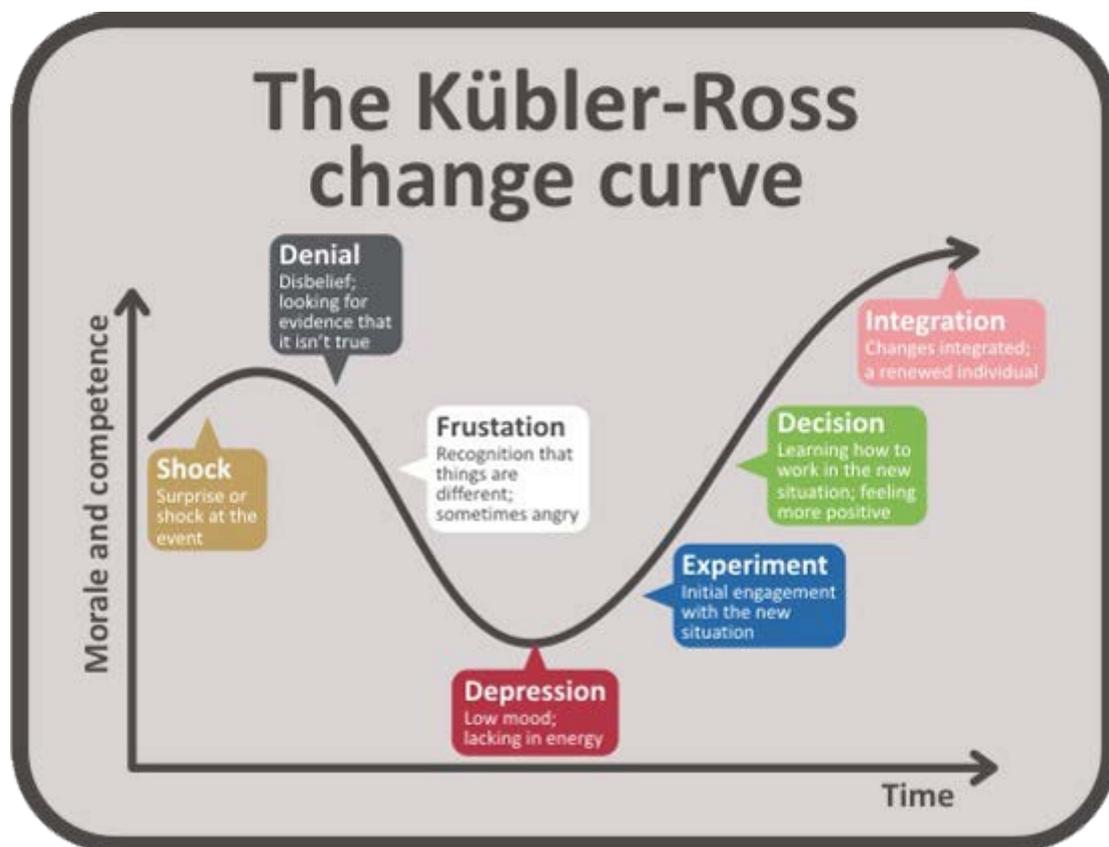
Emotional Responses to Change

The change curve

The change curve was originally developed by psychiatrist Elisabeth Kubler-Ross in her work on the grieving process. The change curve (or a variation) now features within many change management toolkits as it has been proven helpful in managing individuals through change – it is said that we experience the same emotions as grief when faced with change.

The change curve is essentially a map of how people generally respond emotionally to change and can help predict how performance and engagement are likely to be affected throughout the change process.

The speed of an individual's transition will depend on their self-perception, amount of control they have in the process, other past experiences, and how all of these combine to create their anticipation of future events. People are unlikely to be aware that they are moving systematically from one emotion to the next but the range of emotions is very common. Managers may get to the 'moving forward' stage before employees so regular communication and feedback is vital.

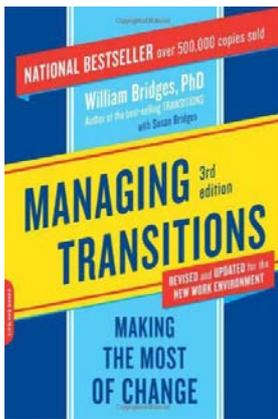


Examples of actions you can take to support people through the change curve are:

<p align="center"><u>Shock/Denial</u></p> <ul style="list-style-type: none"> • Communicate regularly and often • Provide information and opportunities for support 	<p align="center"><u>Commitment/Integration</u></p> <ul style="list-style-type: none"> • Celebrate success • Review and monitor
<p align="center"><u>Emotional - Frustration/Depression/Anger</u></p> <ul style="list-style-type: none"> • Continue with an open dialogue and communicate sensitively • Anticipate and consider potential concerns and objections • Develop strategies to pre-empt or address early 	<p align="center"><u>Experiment/Acceptance</u></p> <ul style="list-style-type: none"> • Offer opportunities to test and explore what the change means for individuals and teams • Provide opportunities for training and development • Build in contingency time

The Bridges Model

Change does not work when it is based on implementation only – it works when focus is given to getting people through the transition.

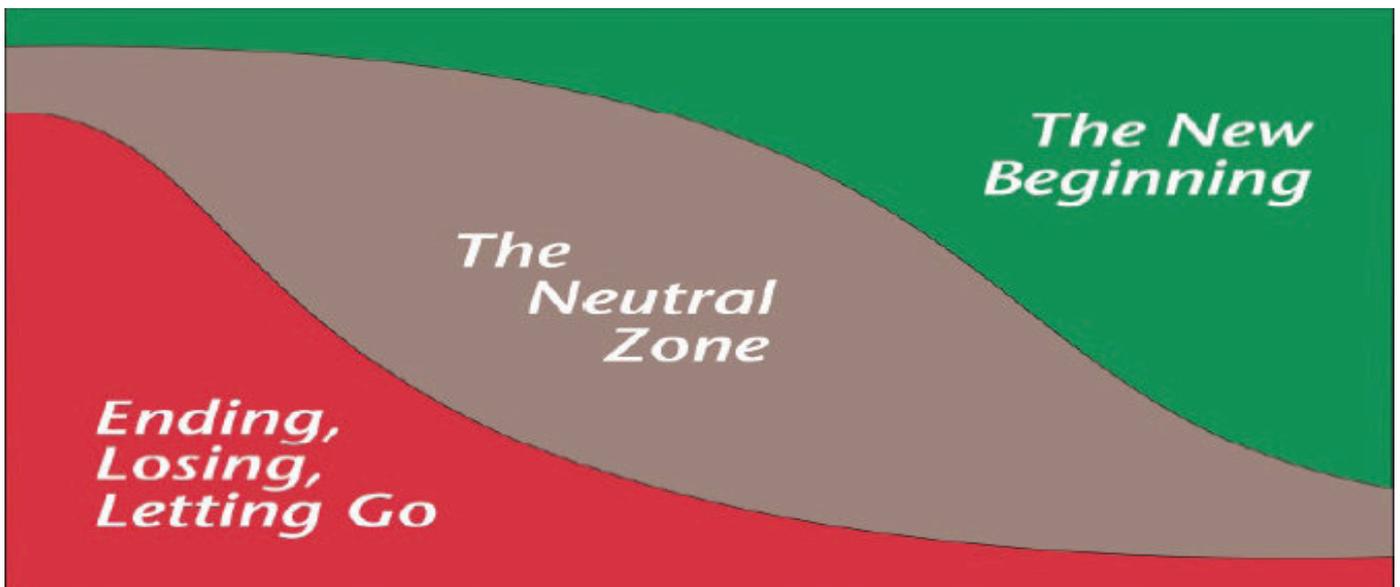


The Bridges Transition Model is another useful tool to guide people through change. This model was created by William Bridges in 1991 and published in his book 'Managing Transitions'.

The model highlights three stages of transition that people go through when they experience change:

- Stage 1: Ending, losing and letting go**
- Stage 2: The Neutral Zone**
- Stage 3: The New Beginning**

Bridges Model:

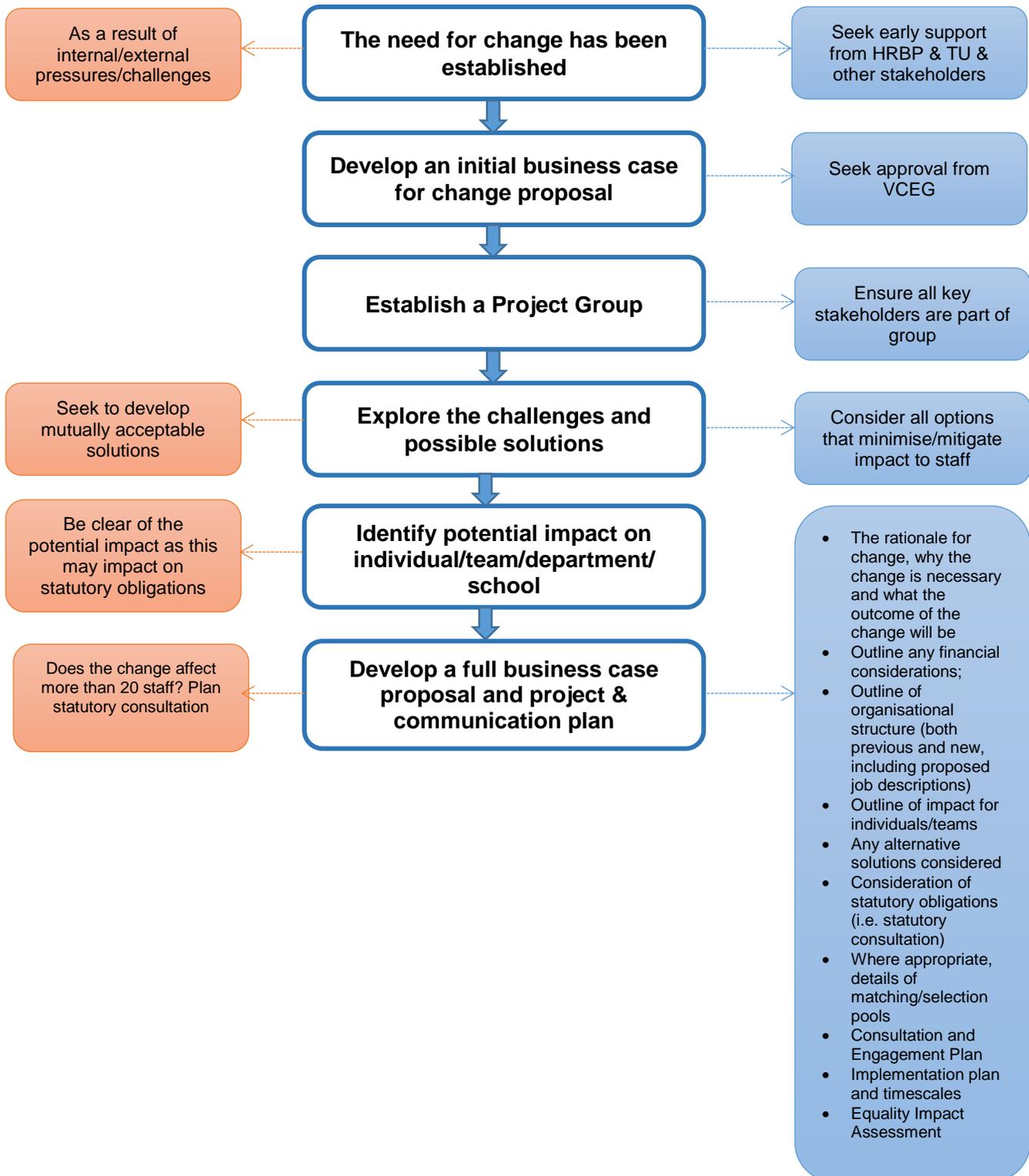


Examples of what you can do to support the transition are:

Stage 1 Ending, Losing and Letting Go		Stage 2 The Neutral Zone		Stage 3 The New Beginning	
Emotion	WTD	Emotion	WTD	Emotion	WTD
<ul style="list-style-type: none"> • Fear • Denial • Anxiety • Anger • Sadness • Disorientation • Frustration • Uncertainty • A sense of loss 	<ul style="list-style-type: none"> • Listen • Communicate openly • Share your compelling story for change • Acknowledge the loss 	<ul style="list-style-type: none"> • Resentment • Low morale/productivity • Anxiety • Scepticism 	<ul style="list-style-type: none"> • Communicate • Provide a solid sense of direction • Set some short term goals • Listen • Be positive about people and their contribution 	<ul style="list-style-type: none"> • High energy • Openness to learning • Renewed commitment to the team of their role 	<ul style="list-style-type: none"> • Be positive • Identify and ensure quick successes • Thank people for their hard work • Celebrate success

Steps 1-4: Planning & Proposals ready for consultation

Overview of Procedure



Planning and preparing for change is key and you should invest a significant amount of time planning and developing proposals for change. By fully understanding the change and by carefully considering the impact, this will help you support your teams transition through the change.

Establish the Drivers for Change

Change is normally a result of internal or external challenges or to support our vision of continually improving on what we do to make us more competitive

At this stage, you should have early informal conversations with your HR Business Partner and trade union representatives who will support you in ensuring that the change is managed fairly, transparently and in line with our legal obligations.

Tools that can help you determine the drivers for change and to manage the impact include:

- **Change Readiness Assessment**
- **Forcefield Analysis**
- **SWOT Analysis**

Develop an Initial Business

The Dean/Director is required to develop an initial business case for change. The initial business case should be well thought through and should 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
- Risks associated with the change
- Indicative timeline
- Consultation and Communication Plan (ensuring statutory obligations are satisfied)
- Equality Impact Assessment

The initial business case should be developed with input from stakeholders and specialists and you would normally seek contribution from:

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

Establish a Project Group

If the change project is likely to have a significant impact on individuals or service/team, school or department to be restructured, a project group should be established.

You should ensure that all key stakeholders are part of the review group, this will ensure that they have the opportunity to contribute to the development of the detailed proposals, which in turn, support effective implementation of change. Members of the project group may include:

- Sponsored by the Dean/Director
- Representative Line Managers
- HR Business Partner
- Recognised Trade Union Representatives
- Staff representatives

Explore Challenges and Possible Solutions

The project group has a responsibility to discuss honestly, openly and transparently the challenges that have ultimately led to a change project being initiated.

Everyone should understand the need for change in order that they can contribute to the potential solutions.

We have a commitment to minimise or mitigate the impact of change on staff, when looking at potential solutions. In seeking to avoid compulsory redundancy, maximum advantage should be taken of:

- **Restructure**
This may involve reorganising the work, organisational structure or the design of jobs to improve efficiency and effectiveness without the need for reducing staff. For example, it may be possible to offer employees lower graded posts with temporary pay protection. Whilst not providing immediate savings, this option could provide longer term salary savings and greater flexibility.
- **Natural wastage**
This could include not replacing employees when they retire or resign.
- **Restricting recruitment**
Only recruiting to specific roles that are essential to service delivery. If it is necessary to advertise externally costs savings can be made by using free media such as jobs.ac.uk and conducting recruitment internally rather than through agencies
- **Ring fencing vacancies and filling vacancies from among existing staff**
Only fill vacancies from internal staff, with a focus to those who are at risk of redundancy or those are on the redeployment register.
- **Reducing/eliminating non-contractual overtime**
It may be possible to reduce or eliminate non-contractual overtime depending on the nature of the change.
- **Use of flexible working arrangements**
A range of flexible working arrangements can be considered including part-time work, job share and voluntary/negotiated reduction in hours, unpaid leave.
- **Alternative employment**
Consideration if alternative employment is available that may involve training, re-training, secondments or redeployment.
- **Voluntary Severance or Voluntary Early Retirement** (see **Scheme** for current provision)
Consider offering voluntary severance/voluntary early retirement to mitigate the risk of compulsory redundancy

Identify affected individuals

It is good practice to understand what roles/individuals are likely to be affected by the change so that you can have a full understanding of the potential impact. You will be able to factor your considerations on people into your communication and engagement plan.

If appropriate, you should determine your matching/selection pool and process at this stage. This must be done in consultation with our recognised trade union representatives. Once agreed, this should be shared with affected staff as part of your consultation process.

How to identify a matching pool?

When identifying the matching pool, the following should be taken into consideration:

- A comparison of posts within the existing and new structure
- A review and compare job descriptions of existing and new posts
- The substantive level of pay of individuals and staff that are doing similar work and lactation

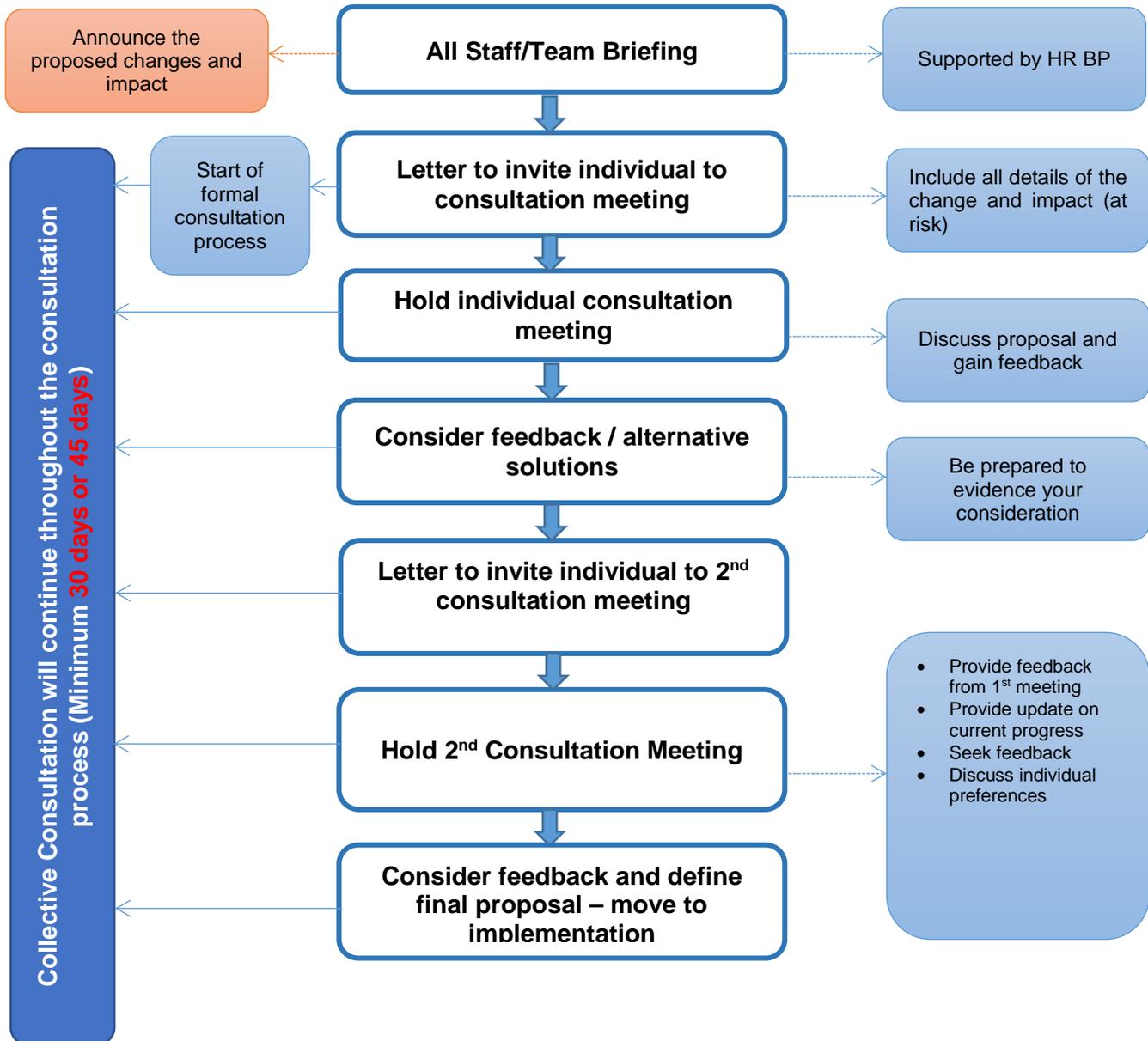
After considering the challenge and potential solutions, the Review Group should develop a business case for the change. This should clearly articulate:

- The rationale for change, why the change is necessary and what the expected outcome/impact
- Outline any financial considerations;
- Outline of organisational structure (both previous and new, including proposed job descriptions and grade)
- Outline of impact for individuals/teams
- Evidence of any alternative solutions considered
- Consideration of statutory obligations (i.e. statutory consultation)
- Where appropriate, details of matching/selection pools
- Consultation and Engagement Plan
- Implementation plan and timescales
- Equality Impact Assessment

Step 5 – Consultation & Engagement

Overview of Procedure – Formal Consultation

Please note that additional meetings may be required



Formal Notification/ Consultation Procedure

Notification to the Redundancy Payment Services

If appropriate, the Department of People & OD will notify the Redundancy Payments Service by submitting the [HR1 Form](#) within the required timescales. The recognised trade unions will also be provided with a copy of the [HR1 Form](#).

Our Commitments to Meaningful Consultation

- We are committed to effective consultation and engagement; it is critical to the success of any change project and will be managed sensitively and transparently.
- Our consultation with recognised trade union representatives and staff will be a vehicle to allow us to listen to feedback and gain suggestions and ideas on the proposed change.
- We will communicate the rationale for change as soon as is practicable (taking into account commercial and confidentiality issues) and continuous communication will take place throughout the whole consultation process with our recognised trade union representatives and individual staff members.
- The Consultation & Engagement Plan will clearly identify if there is a need for statutory consultation and include the implementation of the change.

Collective Consultation

If the proposals affect more than 20 staff, collective consultation will continue to apply throughout the consultation period.

You should ensure that you have regular (minimum 2) over the 30 day or 45 day consultation period with the recognised trade unions. Where there is potential for significant impact, you must also consult individually – collective consultation is not enough to satisfy our legal obligations.

The **minimum** statutory consultation period is:

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

The formal consultation process **starts** when trade unions and individuals have received written copy of:

- The drivers for change and why it is necessary
- The people impact – how the change will affect the team/department and if appropriate, individuals
- The proposed processes for progressing the proposed change, including next steps
- The proposed timescales for the implementation change project
- The practical impact the proposed change may have, i.e. risk of redundancy

All Staff/Team Briefing

You should brief your team/staff as soon as possible. Your HR Business Partner will support you and the briefing is an opportunity for you to:

- Share the drivers for change
- Share the challenges and pressures
- Share your vision for the change – Lead the way
- Communicate the process
- Provide reassurance
- Start to develop commitment and trust

Remember:

- Be honest, open and transparent in your communications
- That people may be shocked or angry with the change (the change curve/transition model)
- Be consistent with your messages
- To ask for questions and answer them, if you know the answer, be honest
- Take a note of the questions and develop FAQ's

Individual Invitation to first consultation meeting

You should invite all affected staff to attend an individual meeting to discuss the proposals and to seek their feedback. Individuals have the right to be accompanied to these meetings.

The written invitation should also include:

- The drivers for change and why it is necessary
- The people impact – how the change will affect the team/department and if appropriate, individuals
- The proposed processes for progressing the proposed change, including next steps
- The proposed timescales for the implementation change project
- The practical impact the proposed change may have, i.e. risk of redundancy

You should also send a copy of the letter to the recognised trade unions.

Note.....Note.....Note.....Note.....Note.....
The date of when the individual and trade union receives the written invitation and information is the start date of the formal consultation process.

Hold Individual Consultation Meeting(s)

The purpose of the meeting(s) will be to explain:

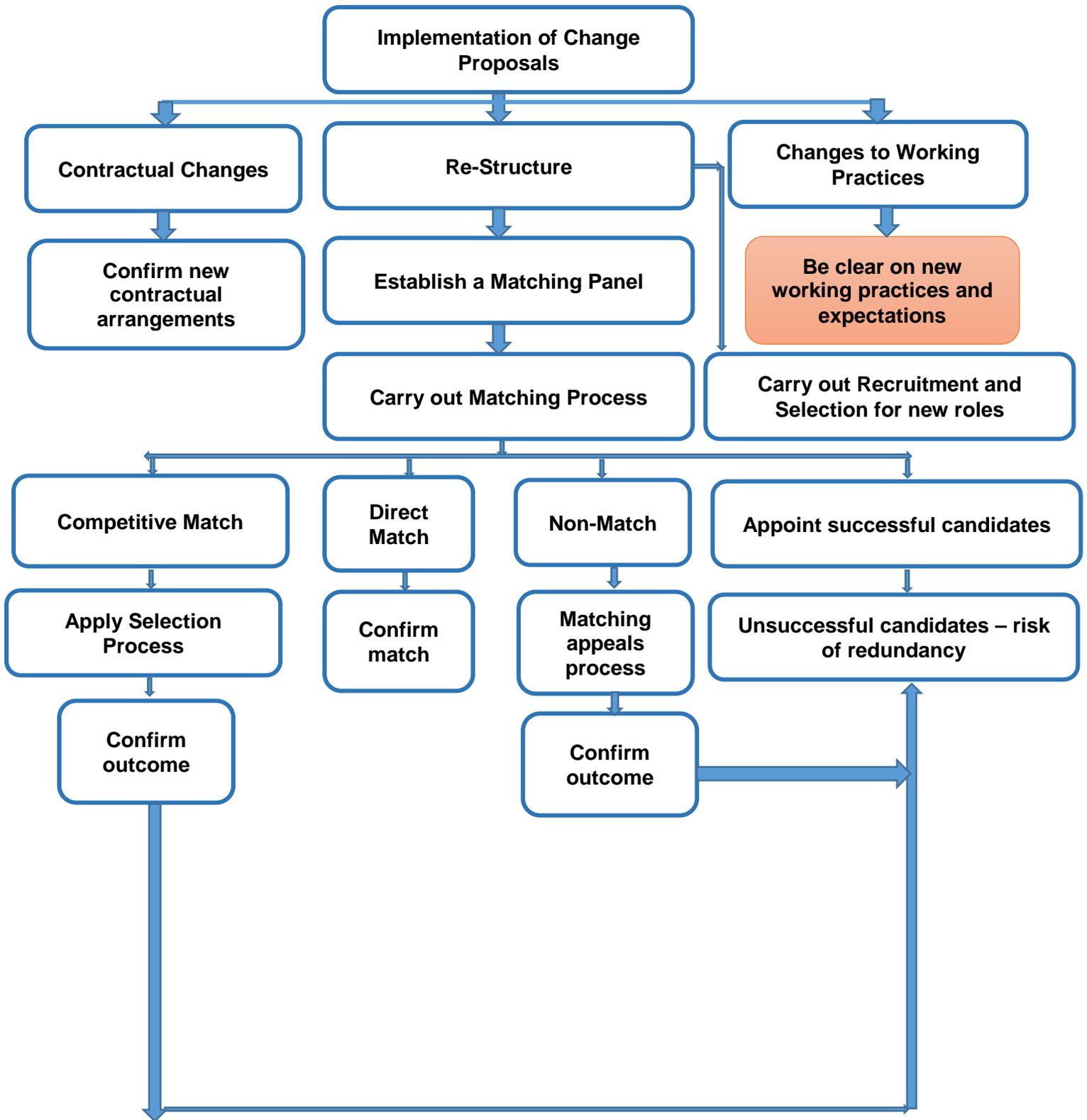
- the proposed changes and the reasons for them;
- the proposed timetable;
- the potential impact on them, i.e. at risk of redundancy, significant change to contractual terms
- the procedure and how it will be implemented;
- If appropriate, that they have the right of appeal

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

Step 6 – Implementation

Overview of Procedure



Matching & Selection Process

Where the change has resulted in new organisational structure, the matching and selection process will apply.

To support the principle of fairness and transparency, a Panel should be established to carry out the matching process.

The Panel should comprise of:

- The line manager
- An independent management representative (i.e. a manager that does not have direct line management responsibility for anyone within the matching pool)
- HR Business Partner
- Trade Union Representative

The Panel will establish the information that will be used in the matching process, but normally includes:

- Current and proposed job descriptions and person specifications
- Information on actual duties performed and skills used by the individual
- Information gathered through the individual consultation meetings
- At times the Panel may wish to use a skills profile

Where the Panel have not reached a consensus, the line manager will have the final say.

The 75% Criteria

There is no scientific formula to establish if there is a 75% match, the panel are asked to ensure that they consider the current role/individual a

Job Matching Process

Information Required

What information on the person is used for matching?

- *Existing Job description- with opportunity to provide additional information on actual duties performed and personal information*
- **OR/AND**
- Skills Profile Pro forma

What do we match this with?

- The new structure Job Description

PROCESSES

Stage One - Matching Assessment

The criteria for 'what is a match' and where is there a 'competitive match'

A panel will look and compare the key elements of each new post job description and the information from the Individual Skills Profile Pro forma will be compared on a point by point basis and a percentage assessment made.

The criteria for 'what is a match' and where is there a 'competitive match'

- **100% = Complete Match**
Job broadly unchanged. Post holder appointed if single candidate. Role clarified & new objectives agreed. Limited competitive matching within pool if multiple candidates.
- **75% or greater = Match**
Matched if single candidate and subject to consideration of alignment of individual skills to job requirement. Limited competitive matching within pool if multiple candidates

Stage Two - Competitive Interview

If the assessment decision is for '**Limited Competition**', this will be where there are more individuals matched to the posts than actual posts available.

The process to be used under the Organisational Change Procedure: **Competitive Matching** (e.g. competition between relevant staff within the 'pool grouping').

Each of the candidates will be interviewed.

Any job roles where there is not a sufficiently high level of job match from pool of individuals

- Where there is no one whom it is feasible to match – advertise internally to staff who are at risk in first instance.
- If no one is successful, advertise internally. If skill set is unlikely to be available within the University - consider whether this should be concurrent with external advertisement.

Operational Job Matching - Comparative Analysis of Skills Profiles & Job Descriptions

JOB TITLE AND GRADE

Name of candidate:

Date of Analysis:

Current Post:

Assessor Name / Panel agreed analysis:

Key Element	Current Post	Skills Profile Data	New Post Requirements	Match (Y/N)	Comments
	<i>*Copy in the sections below the current job description and any additional knowledge of duties actually performed</i>	<i>*Copy in the sections below where you are using additional information from the skills profile, add that in here</i>	<i>*Copy in the section below new post requirements from the revised job description</i>	<i>*Assess if it is a match, be objective and be able to justify your assessment</i>	<i>*add in any additional comments to support your decision</i>
Dimensions					
Key Result Areas					

Planning & Organising					
Working Relationships					
Qualifications					
Experience					
Skills					
Knowledge					

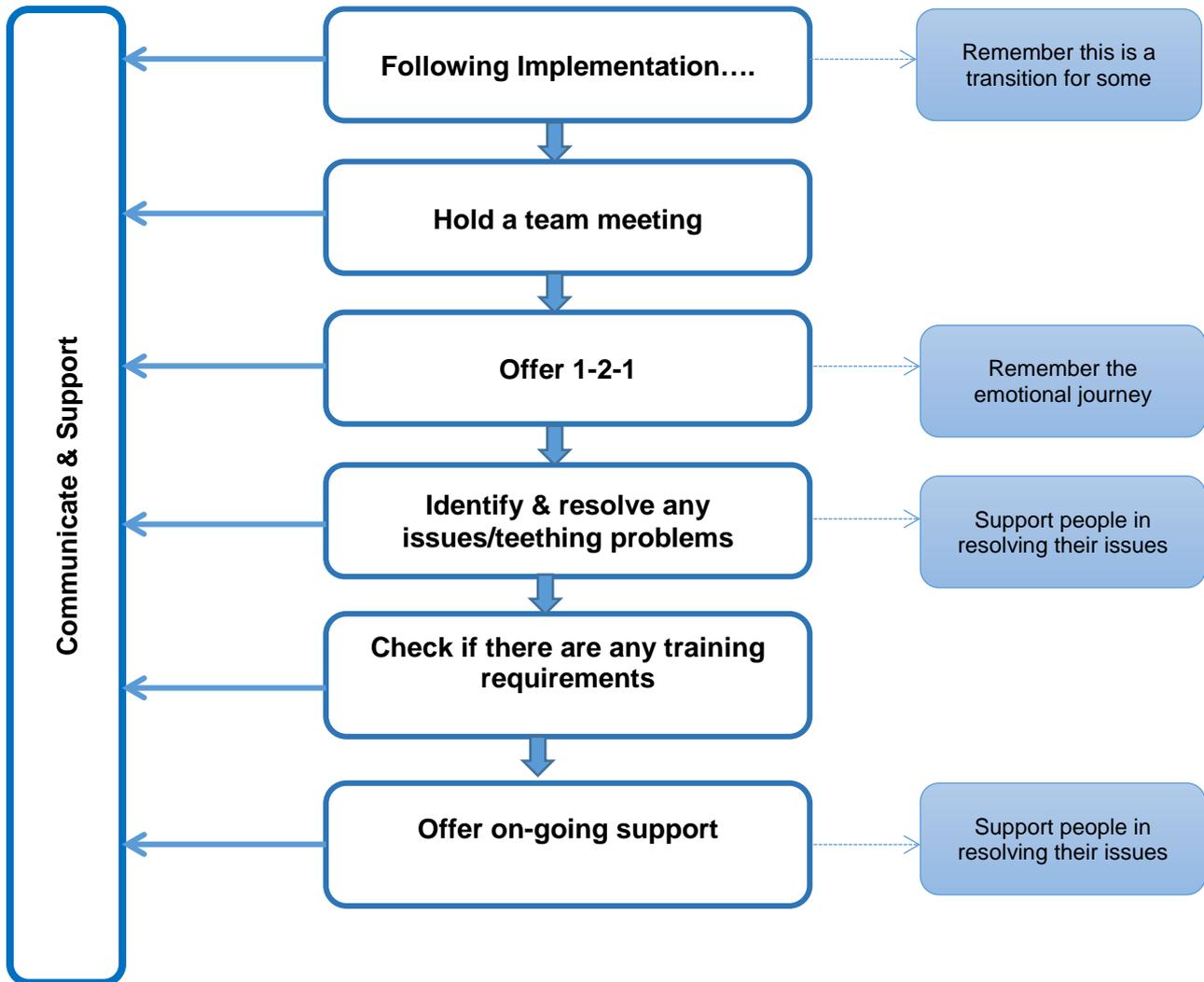
Conclusion:

Summary of discussion with postholder:

Signed (Head of Panel): _____ Date: _____

Step 7 – Embedding Change

Overview of Procedure



Support people in the transition

Communication and support is key to embedding the change. There may be some teething difficulties and staff may feel unsettled. You should continue to communicate and identify if there are any issues that can be resolved quickly.

Offer to meet with people on an individual basis, check how they are doing and offer any support. Some people may have transitioned into a new role and have some training requirements, support them through the identification and provision in a supportive way.

TOOLS TO SUPPORT CHANGE

Change Readiness Assessment

A change readiness assessment will provide some initial information on how ready you and your team are for change.

A template is available [here](#).

Forcefield Analysis

A Forcefield Analysis is used to identify the forces for change and forces against the change. The purpose of the tool is to enable the lead manager to strengthen the forces for the change and weaken the forces opposing it, thus giving the successful implementation of the change a better chance of happening.

A template is available [here](#).

SWOT Analysis

A SWOT analysis is similar to the Forcefield Analysis in terms of identifying **S**trengths and **W**eaknesses but also considers what the **O**pportunities and **T**hreats might be. Again it is useful for managers to undertake this exercise to enable them to communicate why the change is necessary, what the benefits of the change will be and the opportunities it could create for the individual and the University. It is also useful to identify the weaknesses and the threats, as these can then be addressed and mitigated to ensure that the change is implemented smoothly.

A template is available [here](#).

Stakeholder Map

A Stakeholder Map is used to identify key stakeholders and the impact the change is likely to have on them. This is useful to enable managers to understand who they need to be considering in the change and consider ways in which they can effectively manage the impact on each of these groups of people.

A template is available [here](#).

ADDITIONAL SUPPORT/GUIDANCE

Further Reading:

ACAS have developed an advisory booklet: [How to manage change](#).

The [Development Toolkit](#)

Workshop:

Change Management, the schedule is available on the intranet.

Contact:

Your HR Business Partner, contact details are available [here](#).