

MANAGEMENT OF ORGANISATIONAL CHANGE (UK CAMPUSES)

Overarching Policy
October 2016
Refreshed December 2021

Approving authority:	UE
Consultation via:	PSLB, CJNCC, UE
Approval date:	October 2016
Effective date:	October 2016
Review period:	Five years from date of approval
Responsible Executive:	Global Director of HR
Responsible Office:	HRD

HERIOT-WATT UNIVERSITY

MANAGEMENT OF ORGANISATIONAL CHANGE OVERARCHING POLICY

CONTENT

Contents

INTRODUCTION.....	3
KEY PRINCIPLES	3
SCOPE	4
METHOD AND PROCESS FOR CHANGE	4
PROCEDURES FORMING PART OF THIS POLICY	5
MONITORING AND EVALUATION.....	6
FURTHER HELP AND ADVICE	6
POLICY VERSION AND HISTORY	6

1.	INTRODUCTION
	As part of delivering the University strategy, the University aims to continue to develop as a high performing, rapidly growing, and financially sustainable university and through careful forward planning to safeguard the current and future employment of all staff through the changes ahead. It recognises that a period of change can be a difficult one for all colleagues and will endeavour to ensure appropriate support both to individuals affected by a change process and managers implementing change. The University is committed to managing any change situation with care and sensitivity to all staff, in line with the Spirit of Heriot-Watt Values and in accordance with the principles set out in the University's Equality and Diversity Policy. This Overarching Policy and suite of supporting policies and procedures has been drawn up to ensure appropriate mechanisms are in place to identify the need for change and to manage effectively any transition: • Consultation on Avoidance of Redundancy • Redeployment Policy and Procedure • Voluntary Redundancy Policy and Procedures • Redundancy Selection Policy and Procedures • Severance Payments Policy If there is any possibility that a change process may impact on the employment contracts and/or terms and conditions of colleagues, then the matter must be referred to HR at the earliest opportunity. HR will advise on the process to be followed including providing guidance on communicating change. There is a guidance document available for managers which clarifies the procedures which should be followed during a change management process.
2.	KEY PRINCIPLES
	The University recognises that working in partnership with staff and the campus Trade Unions with a common problem-solving approach is the most effective way of managing change. The University, in consultation with the recognised Trade Unions, will endeavour to manage change through voluntary measures as outlined below and through the application of the supporting policies and procedures. The key principles underpinning this suite of policies are to ensure: • Full open consultation with staff and trade unions at the earliest stage • Clear communication processes • Compliance with the University Charter, Statutes and Ordinances • Compliance with employment law • Commitment to our Equal Opportunities Policy Where a potential change/restructuring situation arises, the University, in consultation with the recognised Trade Unions, and by seeking to implement the measures contained in the policy on Consultation on Avoidance of Redundancy, will seek to ensure that: • The processes comply with all employment legislation and University policies including equality and diversity • An Equality Impact Assessment is conducted as early as possible on the proposed change/restructure

	• Employees and, where appropriate, their representatives are fully consulted on any proposals and their implementation • Reasonable support and advice is offered to employees who wish to consider redeployment or who volunteer to take redundancy to help them find suitable work when their employment is coming to an end Where the magnitude of change is such, and all voluntary measures have been exhausted, the University may need to consider compulsory redundancy as a last resort. If this is the case, before doing so the University will informally consult with the campus Trade Unions, in accordance with the requirement to avoid the possibility of redundancies, in order to minimise and mitigate the consequences of compulsory redundancies, in advance of formal collective and individual consultation.
3.	SCOPE
	The Suite of Policies and Procedures apply to all UK-based University employees and are designed to ensure that the University's approach to change/restructuring is fair and consistent. Employees not based in the UK will normally have a separate policy and process due to differing local labour laws, however the principles of the policies will apply as far as possible. This suite of policies does not form part of employees' contracts and may be amended from time to time. The policies and procedures will apply to staff in areas where the need for savings or reductions in staff numbers have been identified; or in situations where business requires a different skillset; or where restructuring is required to improve business effectiveness.
4.	METHOD AND PROCESS FOR CHANGE
	The need for change will be identified and discussions with Trade Unions will start at the 'thinking' stage. Impetus for change may come from: • The need for the University to meet its strategic objectives. • The need to respond to changes in demand for courses. • The need to respond to technological or academic developments. • The need to manage more effectively and efficiently. • The need to make financial savings. A plan will be formulated which determines the change required. This business case will be formulated by University Management in consultation with the appropriate level of management and stakeholders, (including Trade Union colleagues), taking account of potential people implications and communication strategy. Where a potential change is identified which may affect people's roles e.g., a reduction in staffing, change of structure, change to roles and/ or terms and conditions, informal consultation will continue with the Trade Unions on this basis. Where possible both the current and proposed organisation structure will be produced for discussion however on occasion the discussion may commence before the details of the proposed structure are fully known. Ideally the proposal should be sufficiently detailed and outline the number of posts and anticipated grades in the new structure. If change is necessitated by the need to make financial savings, the need for a reduction in staffing will only be identified after all steps have been taken to make

	savings under other budget headings. Any material bearing upon that position, unless in the opinion of the Principal particular issues of sensitivity or confidentiality arise, will be made available both to the School/Professional Services and to the Trade Unions. Both the School/Professional Services and the staff representatives will be invited to comment. The University will work in partnership with the Trade Unions to make all reasonable efforts to avoid recourse to compulsory redundancy, in line with the Policy on Consultation on the Avoidance of Redundancy. These include consideration of all of the following: • Natural turnover (i.e., via resignations, retirements). • Restricting the external recruitment of staff and instead competitive filling of vacancies with existing members of staff (where practicable). • Voluntary transfer of members of staff to vacancies which may exist elsewhere in the University. • Actively supporting opportunities for secondment, sabbaticals, and career breaks • Limiting overtime wherever possible • Training/retraining and/or re-deploying employees whose work is genuinely redundant for different work for which there is a requirement. • Permanent or Temporary voluntary variation in hours (i.e., transfer from full-time to part-time) • Encouragement of job-sharing opportunities The University will also consider the application of the provisions on flexible retirement as set out in the Flexible Working Policy and any relevant Voluntary Redundancy Scheme in operation to enable change to be managed as far as practicable by voluntary means. The University will offer outplacement support where appropriate. Exhaustive consideration of the above will be carried out before formal consultation and discussions are entered into with regard to managing any staffing reduction through selection for compulsory redundancy. If it is deemed necessary to take recourse to compulsory redundancy, the Redundancy Selection Policy and Procedure will be followed.
5.	PROCEDURES FORMING PART OF THIS POLICY
	For each stage in the Managing of Change process there is a supporting procedure, which sets out how the policy should be applied, lines of responsibility and any other action required. • Organisational Change – Guidance for Managers • Consultation on the Avoidance of Redundancy • Redeployment Policy and Procedure • Voluntary Redundancy Policy and Procedure • Redundancy Selection Policy and Procedure • Severance Payment Policy https://www.hw.ac.uk/services/human-resources/human-resources-policies.htm These policies can be viewed under Change Management at the above link The University will also follow the Heriot Watt Project Management methodology.

6.	MONITORING AND EVALUATION			
	This Policy and related Procedures will be reviewed every five years from the date of implementation, or earlier if legislation dictates. Any amendments will be notified to employees through the normal communication channels and/or e-mail. This Policy and related Procedures will be maintained on the Human Resources Website and Intranet pages. Records and information obtained under this Policy and the related Procedures will be kept held and reported on in line with the Data Protection Act 2018 and the University's Records Retention Policy and in line with the Staff Privacy Notice General statistics are maintained and reported for equal opportunities monitoring, Athena SWAN and other accrediting bodies, Freedom of Information requests and key performance indicator purposes.			
7.	FURTHER HELP AND ADVICE			
	Please contact HR helpdesk for queries regarding this Policy and linked Procedures			
8.	POLICY VERSION AND HISTORY			
	Version No	Date of Approval	Approving Authority	Brief Description of Amendment
	V. 1	October 2016 refreshed December 2021	UE	Reviewed as fit for purpose; links updated