**NHS Lanarkshire**

Organisational Change

Process and Guidance

## Introduction

There is a requirement for NHS Lanarkshire to respond to changes in the economic climate, the agenda of the Scottish Government and to redesign and re-align services in a way that will be sustainable for the future. NHS Lanarkshire of the future must have the capability and ability to be both flexible and agile in service delivery, and be able to adapt as an organisation and with pace.

It is important that all Organisational Change is taken forward consistently, with appropriate governance arrangements in place, and follows process which complies with the NHS Scotland’s Staff Governance Standard, employment legislation, NHSL’s policies and values. All Organisational Change will be taken forward in Partnership.

This guidance must be applied in accordance with NHS Lanarkshire Organisational Change Policy and NHS Circular [PCA(AFC)(2022)01](https://www.sehd.scot.nhs.uk/pcs/PCS2022%28AFC%2901.pdf)

## Definition

Organisational change can be broadly defined as any structural or managerial change in the organisation of health service provision.

Where staff are affected as a result of organisational change NHS Lanarkshires Redeployment policy will be followed. Where there are significant staffing changes as a result of organisational change a detailed Human Resources Plan will be developed in partnership with staff side representatives. If this plan includes redeployment, then NHS Lanarkshires Redeployment policy will be followed.

The key considerations are:

* + Does the change impact on the core delivery of the work
	+ Is the change likely to impact on the job evaluation outcome for a post
	+ Does the change impact (e.g. working pattern, duties, salary) on one or more current staff members within a department.

When a manager feels that new or evolving service requirements will generate a change within their department, early engagement with Partnership colleagues and advice from HR should be taken.

Any proposed Organisational Change should be shared at the outset with the appropriate management meeting (e.g.HMT, DMT, CMT). The group will consider the proposed change and provide feedback on the level of governance required to oversee the change and the ongoing reporting expectations.

## Summary of Process

Organisational Change in NHS Lanarkshire is based on the nationally agreed model of partnership working which is as follows.

1. Formulation - Management should engage with staff and their Staff Side Representatives on changes that might impact on staff such as a review of current service provision or a proposal for a new approach in service delivery. Engagement should occur at as early a stage as possible to enable the free exchange of ideas and views in developing the proposals further.
2. Formal Staff engagement/Consultation - This is the part of the process where NHS Lanarkshire formally issues Staff Side the proposals for change emerging from the formulation stage. NHS Lanarkshire also enters into a period of consultation with Staff Side and with directly impacted staff, inviting comments and feedback on the proposals and responding to queries raised.
3. Implementation - Stakeholders, including Trade Unions are jointly responsible for supporting the effective implementation of change.
4. Evaluation - This process should include the review and monitoring of implementation and should include specific feedback from staff, through the Partnership Forum.

## Staff Engagement/Consultation Process Preparing for Staff Engagement/consultation

The manager leading the Organisational Change process will prepare a Staff Engagement /consultation document on the proposed Organisational Change, having gathered information to support the need for change. The manager should link with Partnership representatives and HR in the development of this document.

The consultation document will be presented to the relevant management structure, e.g. HMT, CMT, DMT. It will be agreed through this process if the change presented is accepted by the organisation.

## Involvement of Staff Side

Each Organisational Change process will have a staff side lead, working in partnership with managers and HR to ensure process is followed and ensuring meaningful consultation. Staff side leads should not be personally affected by the proposed changed. In addition to the staff side lead, additional trade union representatives/professional bodies may be involved if required.

## Staff Engagement/Consultation with Staff

A collective Staff Engagement/consultation meeting will be arranged with all staff effected by the Organisational Change to advise of the proposed change and explain the consultation process which will follow. At this meeting it is important a register of attendees is recorded.

[Meet with the staff in a group or groups](http://intranet.lothian.scot.nhs.uk/HR/SupportForManagers/changemanagement/organisationalchangeprocess/Pages/GroupMeetings.aspx), invite the appropriate Trade Union / Professional Organisations’ and HR representatives so that you can update and consult on the proposed plan and timelines, how staff will be involved and how you will continue to communication with them.

All staff affected by the organisational change will be provided with a copy of the consultation document, including staff absent from work. All staff will be offered the opportunity to discuss the documentation further. Should staff wish an individual meeting to discuss any concerns they have around the proposed structure, and/or their personal circumstances this will be arranged.

Updates will be circulated to staff throughout the formal consultation period. Staff will be encouraged to discuss their concerns and queries with the manager leading the Organisational Change process, their line manager and staff-side representative.

It is often useful to compile a briefing sheet which addresses the issues that staff have particular concerns about as well as informing them of the key milestones, timescales, etc. Sometimes a question and answer sheet is the format that staff find most useful and a template has been developed, which you can amend for your own situation.

Sufficient timescales for meaningful consultation should be built into the planning process for the Organisational Change. In most cases, this should be a minimum of 21 calendar days.

Where required the Organisational change lead, HR Representative and partnership representatives will hold a joint discussion to determine the cohort affected by the changes. This should confirm:

* posts within the structure which remain unchanged;
* posts within the structure which no longer exist or have significantly altered responsibilities;
* staffing numbers and profile required to provide the new service;
* the profile of existing staff and their current responsibilities.

(You should have gathered most of this information together as part of your SBAR and in the process of developing the proposal.)

## End of Staff Engagement/Consultation

At the end of the consultation period, full consideration will be given to all comments received from staff and staff side. A decision will be made on whether any changes are required to the consultation paper based on the comments. Any revision to the paper will be shared with staff and the appropriate management / governance meetings.

## Filling Posts within the New Structure

The nature of the Organisational Change will determine the process arrangements that are implemented for filling posts within the new structure.

It is anticipated that in the majority of Organisational Change scenarios, the changes required do not significantly affect job content and this will be established in the consultation paper.

This will be the case where the job description used for the new post is either the same or has been evaluated by the Job Evaluation Process to be the same band, using the same job profile as the staff member’s existing post. These posts will be considered to be a direct match.

Any new posts that are developed during organisational change will have an appropriate job description drawn up and an evaluation band determined in accordance with the Board’s job evaluation process

Where posts are not a direct match, as outlined above, the consultation paper should detail the significant changes to the posts and how this will effect substantive posts. Banding of posts will be identified through a job evaluation led process.

If a post is evaluated higher than existing posts within a structure it will be deemed to be a new post and, the post will be available to the affected cohort under limited competition.

If there is no appointment from this process the post will go through the normal recruitment process, i.e. redeployment and if there is no suitable match will be the new post will be advertised in line with the NHS Lanarkshire Recruitment policy current at that time.

**The cohort**

Where a post is unchanged and there is a current staff member on a substantive contract, this post and the postholder should be excluded from the cohort.

All other staff will be deemed to be within the cohort and all opportunities related to the change will be restricted to this cohort.

If there is no appointment from this process the post will go through the normal recruitment process, i.e. redeployment and if there is no suitable match will be the new post will be advertised in line with the NHS Lanarkshire Recruitment policy current at that time.

## Matching Process

Where staff can be matched directly to the revised post(s), this will be done.

If there are a number of posts available, staff will be asked to complete a profiling form and will identify their post preferences. Should staff wish an individual discussion around their personal situation in relation to their preferences, this will be arranged. The meeting will be led by the Organisational Change lead, with support from HR. The staff member can be accompanied by their trade union representative, a colleague or the Staff-side lead. Key points of the discussion will be noted on the preference form.

Once all preferences have been received, a panel consisting of the Organisational Change lead, HR representative and Staff-side lead and other key stakeholders identified, will meet to review all preferences and match staff to posts in the new structure.

**Procedure for Matching/Allocating Posts**

Matching staff members to proposed posts must be done in partnership with the Organisational Change lead, HR Representative, Staff Side/professional body representatives (Matching/Allocation Panel).

By the end of your joint discussion on how posts should be allocated there should be agreement for each employee as to whether:

* They have a proposed post in the new structure
* They will be redeployed and there is an alternative vacant post
* They will be redeployed but there is no post vacant for them immediately

You will then be able to write to each employee formally to:

* Confirm the organisational change, the date and the change process
* Whether there is a surplus staffing and therefore they can volunteer for redeployment
* Confirm pay protection details, if applicable
* Offer an individual meeting if they wish to discuss their position.

Where there is a reduction in the overall number of posts, or of posts at a particular grade seek volunteers for redeployment to reduce the numbers in the cohort to the equivalent number required.

Matching to roles within the new structure will be on the basis of job function and current pay band/grade, that is, the core activities of the new role and existing pay band/grade.

This process assumes that all staff are considered to meet the performance standards within their current post.

Criteria for assessing eligibility for inclusion in a cohort for a new post:

1. The employee’s existing post is directly affected by the organisational change.

*and*

2. The employee’s experience, skills and competencies are broadly comparable with those required in the new post.

*and*

3. There is a significant degree of commonality between the old and new post in terms of job content.

**Apply Knowledge, Training and Experience (KTE)**

Staff covered by Agenda for Change will be assessed by consideration of the Knowledge, Training and Experience (KTE) as outlined within the Job Description and their most recent assessment against the KSF Outline factors. The use of the assessment against the KSF outline will apply where the outline remains the same for the existing role and the new role, otherwise the assessment may not reflect the requirements of the new role.

Where there is insufficient staff with the full competencies, agreement should be reached with the parties overseeing the process as to what factors are preeminent for the role to determine whether this separates the cohort.

**Limited competition basis**

Where all the above factors are objectively determined to be equal allocation to posts will be on a limited competition basis.

If the skills and qualification requirements for the post are met, the individual would be guaranteed an interview.   Where there are no other applicants and the displaced member of staff is considered to meet the criteria for the post, the employee may be offered the post. Where competition for posts is required normal NHS Lanarkshire policies and procedures related to recruitment will apply.

## Successful Employee

Following completion of the matching and limited assessment processes a formal letter confirming the matched job role within the new structure.

## Training

Where the change means that new or additional skills or competencies are needed by staff, training needs will be identified by staff and managers and appropriate training plans developed.

## Displaced Employees

Those staff whose posts are displaced and who are not successful in obtaining a post in the new structure under matching or limited assessment arrangements may still be required to continue to work in that role for a period of time which will be confirmed by letter as part of the matching / limited assessment outcome. The Redeployment Policy will be utilised to support identification of a suitable alternative role for the staff member. The member of staff will have access to internal vacancies and will be considered for all appropriate roles, including, temporary work assignments.

## Employee Support

Organisational Change can be a difficult and daunting time for staff. Staff will be supported throughout the process, with appropriate support mechanisms identified through the workplan developed to support the change process. Referral to Salus Occupational Health can be considered and signposting to NHSL Staff Care & Wellbeing to support staff during this process.

## Protection Arrangements

For the purposes of pay protection, Organisational Change is defined as a management or Organisational Change which impacts on an individual’s contractual earnings or where the individual is redeployed into a lower banded post. In these circumstances, Organisational Change protection will apply on a no detriment basis. Organisational Change Pay Protection will be applied in accordance with NHS [Circular: PCS(AFC)2022/1](https://www.sehd.scot.nhs.uk/pcs/PCS2022%28AFC%2901.pdf)

## Appeals/ Grievance Process

Staff have the right to appeal against the process followed, but not the outcome of matching or limited assessment. Any appeal should be lodged at the appropriate management level and information on this will be set out in writing.

At any time during this process should any member of staff have concerns or feel that they have been treated unfairly they will have recourse to use the NHSScotland Grievance Policy.

1. **Completion of the Process**

A record of the Organisational Change process exercise must be maintained, including the documents the process followed, the rationale for the selection of the Cohort, allocation to posts and individuals who are subject to protection.

Staff that are allocated to posts on the basis of protection need to be identified and considered for posts which subsequently become available at their substantive grade. The Redeployment Team, in addition to the local Manager, will maintain a record of individuals in this position for allocation to posts at their substantive band.

# NHS Lanarkshire

**Appendix 1 – Roles and Responsibilities**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Step** | **Action** | **Management Role** | **HR Role** | **Staff Side Role** |
| Identify change needed e.g.national strategy, NHSL development, local need | Write consultation document (SBAR) to presentat Management Meetings e.g.HMT, CMT, OMT. | Write and present paper | Provide guidance on process | Provide support on process (if required) |
| Identify staff side rep to supportprocess | Request representation from EmployeeDirector | Link with EmployeeDirector | Provide guidance onprocess | Provide support andguidance on process |
| Contact HR for representativeto support process | Request representation from Head of HR | Arrange with Head of HR | Assign HR Advisor |  |
| Arrange consultation with staff | Arrange meeting with staff to discuss the changes. Where possible address any questions on the reasons for change. Consider any comments or view on the consultation document including any alternative proposals and costings before determining any final decision to proceed. Clarify any change processes and timeframe specific to theproposed change. | Arrange and lead meeting | Support meeting, Provide guidance on process and Terms and Conditions | Support meeting to ensure policy/ process is being fairly applied |
| Develop action plan to support change | Identify key steps within the process and involvement required | Lead on Action Plan,arrange meetings relating to this | Confirm HR processes andensure realistic timeframes in relation to these | Support manager in development if required |
| Establish if Q&A is required for staff | To provide general answers to shared concerns | Lead on development of document/ arrange sessionif required | Provide responses to HR issues | Support drafting Q&A. Ensure in line with Policy/Process |
| Confirm impact on staff role | Issue details options available. Offer one to one meetings were these are specifically needed | Identify options available, issue details, collate responses, arrange meetings to review preferences, provideoutcome to staff | Provide guidance | Provide support to staff at one to one meetingsSupport Manager |
| Arrange one to one meetings | Identify staff who require one to ones due tospecific/ personal issues | Arrange meetings/ leadmeetings | Support process | Support process |
| Issue Consultation Documentand letters | Notify staff formally of changes to be made | Issue document and letters | Provide draft/ templateletter if required | Provide advice/ supporton letters prior to issue |
| Process changes to contract | Ensure staff are located correctly and all termsand conditions to contract issued | Update eESS/HR File | Support manager in process |  |

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| --- |
| **Organisation Change Checklist** |
| **Formulation** | **Step 1 -** Proposal Development in Partnership |
|  | **Yes** | **No** | **N/A** |
| * Must detail what the proposed changes are
 |  |  |  |
| * Why the changes are necessary
 |  |  |  |
| * Benefits by making change to service
 |  |  |  |
| * Financial costs/ modelling
 |  |  |  |
| * Who will be affected by the change
 |  |  |  |
| * What are options for staff affected
 |  |  |  |
| * What were alternatives and why been discounted
 |  |  |  |
| * Next steps of the process
 |  |  |  |
| **Step 2 –** Approval |
| Paper presented to management/ governance meetings to seek approval to commence consultation on proposed changes |  |  |  |
| **Formal Staff Engagement /Consultation** | **Step 3** – Staff Engagement/Consultation |
| * Paper circulated to all affected staff
 |  |  |  |
| * Group meetings held advising of changes and consultation process – opportunity to ask questions and seek clarity
 |  |  |  |
| * Consultation period agreed
 |  |  |  |
| * Staff have opportunity to put forward views, comments and/or alternative proposals and returned
 |  |  |  |
| **Step 4** – Comments/ Alternatives Considered |
| * Group meet to consider comments received and whether or not alters original proposal
 |  |  |  |
| * Agree way forward as per original proposal or if alters why and amend paper
 |  |  |  |
| * Communication developed detailing process, outcome and way forward
 |  |  |  |
| **Step 5** – Approval to Proceed |
| * Final approval sough from appropriate management

structure – HMT, CMT, OMT / governance seeking approval to proceed to implementation |  |  |  |
| **Implementation** | **Step 6** – Implementation |
| * Communication to staff on way forward – group and individual meetings
 |  |  |  |
| * Staffing implications managed in accordance with Organisation Change Process and Guidance Document, Redeployment Policy and NHS Scotland Circulars
 |  |  |  |
| **Evaluation** | **Step 7** - Review |
| * Review and monitoring of implementation
 |  |  |  |
| * Lessons learned
 |  |  |  |
| * Continuous improvement
 |  |  |  |

PROFILING QUESTIONNAIRE FOR ORGANISATIONAL CHANGE SECTION 1:

PERSONAL INFORMATION

|  |  |  |  |
| --- | --- | --- | --- |
| Forename |  | Surname |  |
| Title |  | Pay Number |  |
| Home Address |  | Work Tel |  |
| Home/ Mobile Tel |  |

SECTION 2: CURRENT POST & SUMMARY OF PREVIOUS POSTS

|  |  |  |  |
| --- | --- | --- | --- |
| Post Title |  | Substantive Band/Grade |  |
| CurrentWard/ Department |  | Current Contracted hours |  |
| Shift Pattern |  |  |  |

|  |
| --- |
| **Employment History** |
| List your most recent job first then work down page.  |
| **Job Title and Grade** | **Employer** | **Dates (from)** | **Dates (to)** |
|  |  |  |  |
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|  |  |  |  |
|  |  |  |  |

SECTION 3: FUTURE HOURS OF WORK

|  |  |
| --- | --- |
| Do you wish to discuss a change to your current contractual hours? | YES / NO |
| How many hours a week do you wish to work? |  |

\*Any requests for a change of contracted hours will be discussed on an individual basis and can only be accommodated if service needs will allow\*

\*\* Voluntary reduction in hours would not attract salary protection, please be aware that this can have an impact on your salary.

SECTION 4: PREFERRED OPTIONS

Please rank all options

|  |  |
| --- | --- |
| Work Area / Role | Ranking |
|  |  |
|  |  |
|  |  |
|  |  |

SECTION 5: TRAINING REQUIREMENTS

Please detail any training you will require to support you through this change:

SECTION 6: DOMESTIC CIRCUMSTANCES

Please detail any domestic/personal circumstances which you wish to be considered:

SECTION 7: ONE TO ONE MEETING

It is not compulsory to request or participate in a one to one meeting in advance of completing this questionnaire.

Where a one to one meeting does take place, the form will be submitted as part of the meeting

Details discussed during meeting:

SECTION 8: STAFF MEMBER STATEMENT

I confirm that I have provided the foregoing information.

I am aware that the details will be used for the purposes of assisting with my future employment options in relation to the current Organisational change process at NHS Lanarkshire.

|  |  |  |  |
| --- | --- | --- | --- |
| PRINT NAME |  | SIGNATURE |  |
| DATE |  |  |  |