

Faculty of Health & Life Sciences

Managing Change: Project SHAPE Phase 2 Amended Proposals

1.0 INTRODUCTION

This paper follows on from the Business Case submitted to the Joint Trade Unions on 13/1/21, “Shape Phase 2 Business Case FINAL 120121”, which outlined proposals to change the Faculty’s academic profile in order to achieve the objectives of Project SHAPE; namely to attain a sustained improvement in the faculty’s overall research performance to achieve better alignment with the priorities of our healthcare partners and stakeholders, and to create the headroom necessary for investment in the faculty’s key strategic priorities for research and teaching. The business case outlined a proposal to select individuals for redundancy, detailing the proposed selection criteria and terms of a voluntary severance scheme for those deemed to be potentially at risk.

2.0 CURRENT POSITION

The University has engaged in formal collective consultation with the Joint Trade Unions since 27/1/21 in order to discuss the proposals set out in the business case. Whilst the objectives of the original business case and rationale for change remain the same, the changing financial landscape has brought into much sharper focus the need to achieve the proposals of Project SHAPE. We now have a need not just to invest in consolidating and growing the faculty’s strengths, but also to address the unprecedented financial deficit that the University will experience as a result of the coronavirus pandemic.

The University is committed to engaging in meaningful consultation and as such, the concerns raised primarily by UCU and the BMA within the consultation meetings have been noted and been given careful consideration by the Faculty. Consequently, a thorough appraisal of the proposed selection criteria and process, and a review of the terms of the proposed VS scheme have informed the faculty’s decision to revise the original proposals, and these revisions are set out in this paper.

3.0 REVISED PROPOSALS

3.1 Selection Process

Under the revised proposals, the pool of individuals who are potentially at risk of redundancy has been reduced, from 47 to 32. This pool has been determined through consideration of both quantitative and qualitative information, to achieve a rounded assessment of individual contribution.

This assessment has been conducted by an Assessment Panel (for membership see below). This initial assessment is regarded as provisional and has identified individuals provisionally at risk of redundancy.

For the quantitative assessment, the faculty Assessment Panel sought to assess, on an anonymised basis, the value of average research income for colleagues on Teaching and Research contracts. However, this has now been benchmarked against the appropriate HESA cost centre, rather than the REF Unit of Assessment as was outlined in the previous proposal. This change takes on board concerns expressed by UCU over Units of Assessment as a reference group.

The qualitative assessment of the contribution to exceptional research outcomes included an evaluation of research publications, leadership of impact case studies, and knowledge exchange activity by an Assessment Panel. This element is intended to identify individuals who may

nevertheless be making an exception contribution to research, despite having very little research income.

In order to undertake this assessment, each panel member reviewed individuals from their own institute, with validation provided by an APVC assigned to each institute. Individual assessments were brought to the panel for discussion and decision-making. Colleagues deemed not to have made a substantial contribution to two or more exceptional research contributions remained at risk.

In addition, the Assessment Panel also considered:

- Evidence of significant non-research income (from CPD, consultancy or commercial activity)
- Known substantial contribution to teaching delivery, 80% or more teaching load or programme leadership

For the avoidance of doubt, consideration of Field Weighted Citation Index scores is no longer part of the process.

The same mitigations that were outlined in the previous business case, relating to leadership roles and responsibilities, and personal circumstances have then been applied.

This process resulted in a reduced number of individuals considered, provisionally, to be at risk of redundancy if the proposals proceed, with the provisional pool now comprising 32 people, down from 47 people in the original proposals.

Individuals considered to be at risk will be notified, and invited to individual consultation meetings. They will be given the opportunity to submit further evidence to demonstrate a substantial research contribution which meets or exceeds the criteria for selection, as well as relevant information relating to their teaching contribution, and/ or additional mitigating circumstances they believe may not have been considered in the provisional assessment.

Following the individual consultations, a further meeting of the assessment panel will be held, to review new information. This panel will make the final assessment, and will therefore be the body responsible for making redundancy decisions. Where an individual is selected for redundancy, they would have a right of appeal against their dismissal, and would be notified of this at the time the decision is confirmed.

The provisional assessment process is overseen by a panel consisting of the HLS Faculty Leadership Team.

3.2 Voluntary Severance Scheme

Taking into account strong representations made throughout the process by UCU and the BMA, and in an effort to avoid the need for compulsory redundancy if at all possible, the University has reviewed the terms of the Voluntary Severance scheme that had previously been communicated, and is able now to offer an improved scheme to those considered to be provisionally at risk of redundancy under the revised proposals.

Voluntary severance terms would be on the basis discussed previously with payments capped at a sum equivalent to 12 months' salary. However, in order to reflect discussions with the trade unions about the enhancement of these terms, the University will offer an additional 20% for those staff identified as being potentially at risk, still subject to the overall cap at 12 months' pay. The 20% enhancement will be time-limited, and will require individuals to express their interest in the scheme by 26 May 2021. Individuals will be informed of this directly, and will be invited to discuss the option should they wish to do so.

3.3 Selection Criteria

Activity	Data Source	Parameters																								
<ul style="list-style-type: none"> Removal of all T&R staff with an FTE ≤ 0.2 Removal of all T&R staff appointed to the University on or after 1/1/2017 Removal of all T&R staff promoted within the University on or after 1/1/2017 	CoreHR	Snapshot																								
Rounded Assessment:																										
<p>Quantitative element</p> <p>Removal of all T&R staff whose average research income pa exceeds the HESA Russell Group Average 25th percentile, reduced to 20% for Lecturers</p> <table> <tr> <td>101 Clinical Medicine</td><td>£187,000</td><td>(£37,312 Lecturer)</td></tr> <tr> <td>102 Clinical Dentistry</td><td>£32,000</td><td>(£6,472)</td></tr> <tr> <td>103 Nursing & AHP</td><td>£35,000</td><td>(£7,097)</td></tr> <tr> <td>104 Psychology & Behavioural Science</td><td>£38,000</td><td>(£7,619)</td></tr> <tr> <td>106 Anatomy & Physiology</td><td>£26,000</td><td>(£5,256)</td></tr> <tr> <td>107 Pharmacy & Pharmacology</td><td>£89,000</td><td>(£17,779)</td></tr> <tr> <td>109 Veterinary Science</td><td>£88,400</td><td>(£17,685)</td></tr> <tr> <td>112 Biosciences</td><td>£147,000</td><td>(£29,390)</td></tr> </table>	101 Clinical Medicine	£187,000	(£37,312 Lecturer)	102 Clinical Dentistry	£32,000	(£6,472)	103 Nursing & AHP	£35,000	(£7,097)	104 Psychology & Behavioural Science	£38,000	(£7,619)	106 Anatomy & Physiology	£26,000	(£5,256)	107 Pharmacy & Pharmacology	£89,000	(£17,779)	109 Veterinary Science	£88,400	(£17,685)	112 Biosciences	£147,000	(£29,390)	<p>HESA cost centre descriptions</p> <p>Heidi Plus</p> <p>IRIS</p>	<p>HESA website</p> <p>2018 – 19 RG Data</p> <p>1/8/2015 – 31/1/2021</p> <p>Total Funder Contribution</p> <p>% split on IRIS</p>
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<p>Qualitative element</p> <ul style="list-style-type: none"> Removal of T&R staff with a substantial contribution to two or more exceptional research contributions including: <ul style="list-style-type: none"> 2 or more publications of a standard assessed world-leading in terms of originality, significance and rigour as Lead, Corresponding or Senior Author REF Impact Case Study Lead Evidence of significant non-research income (from CPD, consultancy or commercial activity) Known substantial contribution to teaching delivery, 80% or more teaching load or programme leadership The panel considered the range of information available to decide whether individuals are making a significant contribution to world-leading research. Each panel member reviewed individuals from their own institute, with validation provided by an APVC assigned to each institute. Individual assessment was brought to the panel for discussion and decision-making. 	<p>PubMed, WoS, Google Scholar</p> <p>HLS Records</p> <p>Agresso</p> <p>ED knowledge</p>	<p>1/1/15 – 31/3/21</p>																								

<p>Mitigation element</p> <ul style="list-style-type: none"> Removal of T&R staff with an organisational leadership role: <ul style="list-style-type: none"> Dean, HoD, Research Lead, PGR/DTP Lead External role – REF panel member, Council Member, national funding body panel member Newly awarded grant not yet captured on IRIS, as PI with projected research contribution above the lowest RG quartile Clinically active professional with specialist status Research scientist facilitating published research Removal of T&R staff with known personal circumstances that meet proposed mitigation criteria: <ul style="list-style-type: none"> Maternity/Adoption/Parental/Carers’ leave/Protected Characteristic/ Long term sickness absence 	<p>Institute records</p> <p>ED knowledge ED Knowledge ED knowledge</p> <p>ED knowledge ED knowledge</p>	<p>1/1/2015 – 31/3/21</p> <p>Core HR</p>
<p>Individual Consultations</p> <p>All T&R staff remaining scope after the full rounded assessment will be invited to provide evidence of further mitigation including personal circumstances, teaching contribution and contribution to world-leading research</p> <ul style="list-style-type: none"> Removal of T&R staff with outputs considered by the panel as meeting the criteria for world leading research Removal of T&R staff demonstrating a significant contribution to teaching delivery Removal of all T&R staff who present evidence of personal circumstances meeting the mitigation criteria 		
<p>Panel Decision</p> <p>The assessment panel will reconvene to hear the outcome of individual consultations and will make decisions on selection for compulsory redundancy.</p>		

4.0 **IMPACT OF AMENDING PROPOSALS**

The Faculty believes the amended process and criteria outlined above demonstrates a positive response to the concerns raised by UCU and the BMA during the course of collective consultation. Whilst the final number of individuals to be made redundant will not be known until the process has been fully completed, the initial qualitative and quantitative assessment indicates that 32 individuals remain at risk of potential compulsory redundancy, which is a considerable reduction from the 47 individuals under the original proposals, and demonstrates positive movement from the University, alongside the modifications to the redundancy criteria both in respect of research income (now to be benchmarked against HESA cost centres rather than Units of Assessment) and the move away from the use of Field Weighted Citation Index scores, as well as the increased Voluntary Severance offer.

5.0 **CONSULTATION PROCESS**

The Faculty remains committed to engaging in meaningful consultation with the joint trade unions, and would wish to extend the consultation period to enable sufficient time to discuss these revised proposals.