

**UNIVERSITY OF ULSTER**

**HR STRATEGY**

**2002-2005**

## FOREWORD

Universities are dynamic organisations and as such they must change in order to respond to the needs of their operating environment. The University of Ulster is the largest University in the island of Ireland and thus has regional, national and international imperatives bearing upon its mission. Higher education is a collaborative exercise in which each member of staff of the institution must feel that they have a stake in its future. Therefore, if the University is to realise its published vision, it must have in place a Human Resources Strategy that is comprehensive and forward looking.

Such a strategy must address all of the elements of the human resources function. It must be able to attract and recruit to the University the best people from wherever in the world they can be found; it must create the conditions in which excellence and dedication will be recognised and rewarded; it must place high value on rare skills; it must establish a neutral working environment in which each member of staff is respected, irrespective of gender, age, class, religion or disability; it must help staff to meet the challenges of change through tailored staff development programmes; and it must be a place whereby the IR framework shall be the means by which the University as employer and those who represent the staff will place the continued success of the University and its progression at the heart of their discussions.

The Human Resources Strategy that is set out in the following pages has been developed with this in mind. It recognises that higher education is about people, about students and staff and the wider community. It also takes into account that the University is one of the largest employers in the region and that only a compact between everyone involved in the field of human resources, whether as employer, employee or trades union representative, will allow us to achieve a fulfilled working environment.

The Human Resources Strategy does not and cannot exist in isolation. It is part of an integrated approach to the management and governance of the University, and it is informed by and is irrevocably linked with the strategic approach and policies that govern all the other areas of activity, from teaching and learning and research through outreach to physical and cultural development.

The discipline of human resources management is a dynamic for change and I hope that everyone involved will subscribe to Human Resources Strategy 2002-2005. Northern Ireland is experiencing profound social and political change, side-by-side with the attempt to develop a new knowledge-based economy in the 21<sup>st</sup> century. The University of Ulster is in the forefront of all of this.

In saying this, I would like to acknowledge my gratitude to everyone who has contributed to the development of this Strategy, especially my fellow Senior Officers and my colleagues in the Staff Development Unit and Equality Policy and Practice Unit within the Department of Quality Assurance and Enhancement.

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**THE UNIVERSITY:  
REALISING THE VISION**

## **CONTEXT**

### **(A) UNIVERSITY OF ULSTER: VISION AND STRATEGY**

The University of Ulster's vision is to be 'a model of an outstanding regional University with a national and international reputation for quality'.

To inform the development of its Vision and Strategy to 2010, the University has scanned and analysed the external environment, which will heavily influence its future shape and direction. The University operates in an environment which has regional, national and international dimensions. Regionally, the University aims to help shape policy and influence the direction of the educational, economic, social and cultural evolution both internally and by extending its North–South collaborative links. This will involve the University in helping to develop in Northern Ireland a high knowledge–based economy embracing entrepreneurship and innovation.

Internationally there are opportunities to further expand the University's collaborative arrangements overseas, to deliver programmes through open and distance learning, and, in pursuing its international outreach activities, to contribute to the expansion of the region globally and to help secure inward investment.

The University's strategic objectives underpinning the Vision are:

to support and advance regional development through its innovative *teaching and learning strategy*, which seeks

- ?? to widen access to high quality relevant programmes of study; and
- ?? through strategic partnerships, to enhance the region's knowledge and skills base, develop entrepreneurship and create an inclusive society; and

to pursue a *research, technology and knowledge transfer strategy* which

- ?? identifies and supports key wealth creating sectors
- ?? generates competitive advantage; and
- ?? supports the University's remit with regard to social, economic and cultural development

The University will continue to adopt a corporate approach to planning and managing its overall development in the context of government policy for HE, regional development needs and its own strategic priorities.

### **(B) SUPPORTING STRATEGIES**

As a further aid to implementing the University's Vision and Strategy, a range of supporting structures and strategies are being developed and refined:

- ?? Information and Communication and Information Systems Strategy (SUCCINCT)
- ?? Estates Strategy
- ?? Public Affairs
- ?? Student Affairs

- ?? Human Resources
- ?? Staff Development Strategy
- ?? Finance
- ?? e- Learning
- ?? Marketing Strategy
- ?? Communication Strategy

## **(C) REVIEW OF SENIOR PORTFOLIOS**

In August 2000 the Senior Management Portfolios of the University were reviewed and changed to better position the University to meet the challenges, regionally, nationally and internationally which the University now faces and will continue to face over the next ten years.

The University's *Vision and Strategy* document clearly outlines where the University is headed and so the revised portfolios of the senior management team is a positive step in achieving that Vision in a practical sense. Each of these senior portfolios incorporates an integrated approach to the University's key strategies and its management at the most senior level as outlined above.

## **(D) RESTRUCTURING FACULTIES AND DEPARTMENTS**

In addition to the review and change of senior management portfolios the University is currently undergoing a radical restructuring programme of its Faculties and Central Departments.

Currently there are six Faculties and whilst a number of Faculties will remain unchanged, the activities, size and complexity of the Faculties will change significantly; at the end of this process there will be an increase in the number of Schools from twenty to twenty seven.

In order to support the work of the Faculties and Schools the University is also currently reviewing its Central Administrative Departments to ascertain how these Departments will support the new Faculties and Schools and how in particular the Administrative Departments will add value to their work.

Central to this review will be the apportionment of staffing and financial resource to enable the University to progress its aims and objectives and in particular to position the Faculties to respond to the educational and entrepreneurial needs of the community, including the business community.

## **(E) HUMAN RESOURCE MANAGEMENT IN THE UNIVERSITY**

Human resource management in the University is a responsibility at all levels of the organisation and within the remit of all staff with supervisory responsibilities. In this, they are supported centrally by professional human resource specialists. In their conduct of

human resource management and activities, management/supervisors are guided by four principles:

- Quality:** *To work against clear measurable standards of practice*
- Staff Focus:** *To work with staff in a way that is collegial, flexible and responsive*
- Equity:** *To apply principles of natural justice, fairness and merit to all human resource issues*
- Accountability:** *To work to clear purposes and defined outcomes within defined resource parameters*

Therefore, these principles must operate within the context of the University's core values, which are:

- ~~///~~ **academic freedom**
- ~~///~~ **excellence**
- ~~///~~ **adaptability and innovation**
- ~~///~~ **intellectual integrity**
- ~~///~~ **ethical standards**
- ~~///~~ **evaluation and review**
- ~~///~~ **decision-making and accountability**
- ~~///~~ **educational and research principles**

## **(F) HR DEPARTMENT AND UNIVERSITY STRATEGY**

The University is taking a strategic approach to human resource management in order to develop the high performance culture necessary to achieve its objectives. This requires an integration of organisational objectives with individual expectations and HR policies and practices with the University's culture, structure and strategic directions (refer to Section 5, Page 34, para 5.1).

The University has determined that it will focus on maintaining and building upon its reputation as a high quality, internationally competitive institution, focused on growth and continuous quality improvement. HR policy within the University must reflect this orientation through strategies directed towards the creation of a high performance culture, the extension of flexible employment arrangements, and on-going skills development.

To the extent that quality staff are central to the achievement of the University's goals, the human resources function is a core activity for all managers and supervisors. The HR Department therefore must act as a partner to progress the teaching, research and

community outreach activities of the University. Increasingly this is being reflected in a dual role for the HR Department through direct service provision and consultancy.

## (G) ROLE OF THE HR DEPARTMENT

It is the role of the HR Department to contribute to the development of the University as a world-class, high quality institution through the development and implementation of human resource policies and programmes aimed at enhancing both individual and organisational effectiveness.

HR staff offer a professional service to the University in accordance with three key strategies:

- (1) **Service provision**
- (2) **System management**
- (3) **Quality assurance**

HR management activities are located and performed centrally only where there is added value in doing so, e.g. integrated HR/Payroll and industrial relations require specialist knowledge and skills. To locate these activities in Faculties would curtail the research and teaching roles of these areas. On the other hand, it is most appropriate for recruitment and selection processes to be a local responsibility conducted in accordance with University-wide policy and guidelines that are part of a quality assurance strategy.

## (H) KEY STRATEGIES AND RESULTS AREAS FOR HR

Key Strategies	Key Results Areas
<b>Service Provision:</b> to provide staffing programmes responsive to the needs of the University and delivered to the highest possible standards of quality.	1. Personnel and Employee Services 2. Staff Development Programmes
<b>System Management:</b> to provide human resource infrastructure, planning and consultancy support throughout the University to help achieve organisational improvement	3. Strategic Policy, Planning and Co-ordination 4. Consultancy, advice and Support
<b>Quality Assurance:</b> to ensure that the University fulfils its statutory and audit requirements and has in place, means to monitor performance	5. System monitoring 6. Performance management of staff

## (I) HR SERVICES AND ACTIVITIES

Following a re-structuring of Administrative Departments and senior staff portfolios in August 2000, the HR Department currently provides the following services:

- ✂ Human Resource Services (Recruitment and Selection)
- ✂ Human Resource Administration (HR Database and Management Information)
- ✂ Employee Relations (Policy, Reward and Industrial Relations)
- ✂ Health and Safety (Policy, Maintenance and Occupational Health Services)
- ✂ The Staff Development Unit and the Equality Policy and Practice Unit are based within the Department of Quality Assurance and Enhancement

*(further information on how HR services are provided is contained in Appendix 1)*

## (J) LONGER TERM AIMS OF THE HR FUNCTION

The HR Department together with the Senior Management and the Faculties and Central Departments will be responsible for the implementation of the HR Strategy. The HR Department has a key role to play therefore in supporting the Faculties and Departments in this and in helping the University to achieve its overall vision and core strategies.

**N.B.** The HR Department has identified five key goals that require implementation to achieve this vision and ensure the success of the HR Strategy and are directly linked to the HEFCE requirements under the *Rewarding and Developing Staff Initiative*.

- |              |   |
|--------------|---|
| Alignment:   | The University needs to ensure the goals and behaviours of individual employees are aligned with the University and Faculty/Dept goals. |
| Commitment:  | The University needs to introduce commitment to University and Faculty/Dept goals and values.   |
| Competence:  | The University needs to ensure it has the knowledge, skills and abilities to accomplish current and future plans and goals.             |
| Versatility: | The University needs to ensure that its employees can adapt to meet changing needs.   |
| Well-being:  | The University needs to ensure that it is an attractive employer for current and potential employees.                                   |

## **Success Factors for Five Key Goal Areas**

### **Alignment/Commitment**

- ?? Ensure that all employees develop performance plans that are linked to University and Faculty/Department goals (HEFCE Priority E)
- ?? Ensure that meaningful performance measures are developed for all employees (HEFCE Priority E)
- ?? Provide regular communication to employees about University and Faculty/Department priorities and goals (HEFCE Priorities C, E and F)
- ?? Establish appropriate recognition and reward initiatives to attract, retain and motivate employees (HEFCE Priority A)
- ?? Ensuring that principles of equality are central to the University's decision-making processes (HEFCE Priority C)
- ?? Encourage high performance and commitment to excellence in all aspects of service delivery (HEFCE Priorities E and F)
- ?? Seek annual feedback from employees on aspects of the University work environment (HEFCE Priority A)

### **Competence/Versatility**

- ?? Use competencies as a tool in selection, targeting development and assessing performance for all employees (HEFCE Priority B)
- ?? Use targeted marketing/recruitment strategies to attract quality employees to the University (HEFCE Priority A)
- ?? Participate in work experience and co-operative programmes involving schools/colleges and community initiatives (HEFCE Priority B)
- ?? Introduce targeted learning strategies for different staff categories in the University (HEFCE Priority B)
- ?? Promote awareness within the University of leadership/management training programmes for senior staff (HEFCE Priority B)
- ?? Provide coaching/mentoring support for leadership/management development (HEFCE Priority B)
- ?? Develop human resource planning in each Faculty/Department of the University including leadership/management strategies to ensure continuity (HEFCE Priority D)

### **Well-Being**

- ?? Faculties and Departments to establish formal links to HR Department as part of the Managing Absence Policy (HEFCE Priorities F and G)

- ?? Enforce and reinforce safe working practices throughout the University (HEFCE Priorities F and G)
- ?? Take proactive steps and involve employees/trades unions representatives in managing health and safety issues (HEFCE Priority G)
- ?? Regularly assess the organisational climate and introduce strategies to respond to employee issues or suggestions (HEFCE Priority A)

**(K) INDICATIVE COSTS**

Where costs are given these are estimated and are intended to include consultancy, recruitment, direct reward, development and enhancement of systems, policies.

## **1.0 SECTION 1: RECRUITMENT AND RETENTION**

### **1.1 Issues**

The HE sector in general is becoming a highly competitive environment locally, nationally and internationally. External pressures have created an environment characterised by:

✂ an increasingly competitive labour market for all categories of staff employed in the HE sector (Ref. Recruitment and Retention of Staff in UK Higher Education 2001: HEFCE, SCOP, UCEA and UUK)

✂ continuing financial constraints resulting from government funding approaches (MASN Cap)

✂ increased requirements for accountability; and

✂ the impact of technology

In this context significant issues have emerged for the University in its goal to become an outstanding regional university with a national and international reputation for quality. To reach this objective will require continuous improvement of quality and productivity, particularly in human resource management.

### **1.2 Employment Law in the Northern Ireland Context**

It is widely recognised throughout the UK that Northern Ireland can be a particularly harsh environment for employers to operate in, given the employment legislation which exists here (refer to Section 3, Page 23, para 3.2) and the way in which it is interpreted and enforced by the Industrial and Fair Employment Tribunal system. The harshness of this operating environment is compounded by the fact that the legal profession has become embedded in the tribunal process and therefore the process is slow and costly. In addition, the indigenous population is viewed as being highly litigious and the fact that trade unions and/or the Equality Commission are regularly prepared to provide assistance to applicants wishing to take cases to tribunal adds further to the problem.

The result is that the University, like many other local employers, has attempted to operate its recruitment and selection processes in such a way that the overall priority is to protect itself from potential litigation, sometimes at the expense of losing quality applicants through inflexibility in the system. The University therefore is in the process of devising a new recruitment and selection system, which will address these issues and will also necessitate the training and development of staff in the use of this system. (Refer to section 2, Page 21).

### **1.3 Recruiting High Quality Staff**

In this highly competitive and combative environment it becomes ever more difficult to recruit high quality staff, especially in the global academic labour market, and particularly in emerging disciplines. Currently the University experiences difficulty in recruiting professors in specialist areas and other academic staff in the areas of IT, Nursing, PAMS, Science; this is reflected nationally in the recent UCEA survey report into recruitment and retention of staff in UK higher education, but is also reflected in Northern Ireland and is

evidenced by the recent problems in recruiting academic staff for IT posts whereby only one person was able to be selected from a pool of 21 applicants for a total of four posts. Further evidence of the difficulties in recruiting professional and technical staff was manifested by the fact that the University had to headhunt an electrical engineer having already advertised this position on seven separate occasions.

Also the University has on occasion had difficulty in recruiting support staff such as academic-related and technicians, again in specific areas such as IT. In addition the University experiences difficulties in recruiting manual categories of staff such as cleaners, porters, security and crafts. Again the difficulties associated with these categories in particular is reflected nationally. In the recent survey report 44% of institutions indicated they had significant recruitment problems.

The reasons for this vary with the categories, but generally speaking the University competes globally for academic staff and locally for academic-related and technician categories of staff. Also, the Northern Ireland economy is still very much dependent upon the Government/public sector and therefore competition for certain types of staff, including manual staff, is difficult. In addition the proximity of the Celtic Tiger economy of the Republic of Ireland causes significant hardship in the recruitment of professional and skills/crafts staff because of the significantly higher wages that are on offer, e.g. general labouring staff can earn the equivalent of Stg£500 per week on construction sites and technical staff can earn sums equivalent to professional staff. Increasingly the University experiences high turnover rates amongst the manual categories and because of the difficulties in recruiting these types of staff as illustrated above it is also proving increasingly difficult to obtain these staff even via recruitment agencies. The University therefore is currently reviewing sources of provision.

The University also has unique recruitment issues, given that it currently operates on four geographically dispersed campuses (with another scheduled to come on stream in 2004/5). Again manual staff types are difficult to recruit from the surrounding hinterland of each of the campuses because of the poor public transport infrastructure and because of the relatively low pay in comparison to NHS rates and Local Government rates which have outstripped University rates in recent years. Also the uniqueness of the Northern Ireland Fair Employment Legislation adds additional problems (Refer to Section 3, Legislation Page 23, para 3.2) whereby employers must actively try to achieve a balanced workforce in terms of religious composition. Unfortunately the segregation of parts of Northern Ireland because of the 30 years of civil unrest does not always allow for this to be achievable.

Recently, to overcome some of these 'unique' problems, the University has tried a variety of creative approaches to establish a pool from which to try and fill some of these vacancies. For example, the University has only one female member of security staff and so Management has drawn up an in-house training programme to equip those staff with no security background experience with the requisite skills so that they can apply for vacancies as and when they arise. Also, through the office of the Provost at the Jordanstown campus, the University has begun to engage with local women's groups in the surrounding area on return to learn programmes and to advise them of job opportunities. The University has also entered into an arrangement with one of its recognised trade unions, UNISON, to allow certain categories of staff, mainly cleaners, porters, and catering assistants, to avail of Return to Learn programmes, particularly those which deal with numeracy and literacy problems.

Overall, however, the main issue for the University and the sector as a whole is that of pay, both in relation to recruitment and retention.

The University, therefore, requires effective human resource management that optimises the use and investment of the salary pound, which in turn requires the effective use of the flexibility within existing remuneration structures (salary bands, discretionary points, allowances). In addition, recruitment and retention requires the introduction of proactive search strategies for various categories of staff, especially academic and contract research (CRS). Also, the University is considering the introduction of a range of non-salary incentives as part of the Recruitment and Retention Strategy, such as: clerical support; 'free days' for consultancy work; £x for attending courses and conferences.

#### **1.4 Flexible Employment**

The demands on the University are changing rapidly, placing new requirements on teaching and research. Responsiveness to this requires that work arrangements support flexibility while, at the same time, protecting the interests of staff. Key to all of this is the industrial relations framework operating within the University, which can be a useful tool to develop this flexibility. To achieve this, the industrial relations framework must change to encompass:

- ✍ supporting high performance teaching and research
- ✍ improving University efficiency and effectiveness
- ✍ providing a working environment conducive to quality output
- ✍ reviewing conditions of employment to ensure equity and flexibility; and
- ✍ addressing under-performance and absence (Refer to Section 6, Pages 37 and 38)

#### **1.5 Performance Management**

Working to best practice standards requires that all staff perform at a high level. Formal links between individual and institutional performance objectives as identified in individual Faculty/Department objectives and the University's strategic plan are supported through Staff Development initiatives and the appraisal systems (Refer to Section 2, Page 18 and Section 6, Page 37, para 6.2). Performance management therefore is an important part of the University's recruitment and retention objective and will require benchmarking of performance expectations and an increased emphasis on performance-based rewards.

#### **1.6 Skills Development**

The rapidly changing knowledge base in academic disciplines, the competitive research environment and greater liaison with the community now demanded of the University, requires ongoing staff development beyond that needed to simply maintain high level teaching skills. The introduction of new technology means that training programmes also need to be readily available to all staff in order to make productive use of new systems. The University faces special challenges internally in developing leadership/management skills, given the primary commitment of academic staff in particular to the pursuit of academic careers (Refer to Section 2, Page 17 and Section 4, Page 32).

## 1.7 **Strategic Objectives: Recruitment and Retention**

- ✍ To recruit, retain, develop and reward quality staff to support the University's Teaching and Learning, Research, Business and Community Outreach, and e-Learning/Lifelong Learning Strategies so as to enable the University to become an outstanding regional university with a national and international reputation for quality.
  
- ✍ To enable the University to develop as an organisation which is recognised regionally, nationally and internationally as a quality employer in terms of pay, working environment, leadership and creativity, thereby attracting and retaining good quality staff.

### 1.8 Priority goals to support the Recruitment and Retention Strategies

Goals	Timetable	Targets	Outcomes
1. Devise and implement a new recruitment and selection system	2002 – 2003	Universal	New Recruitment and Selection System: <ul style="list-style-type: none"> <li>- complete by 01/03. Approx 300 managers trained in new procedures by 12/03</li> <li>- improved selection of quality candidates</li> <li>- reduced number of IT cases (15-20 by 2004)</li> </ul>
2. Develop and implement search systems for Senior Management and Academic Appointments within Faculties/Departments (search committees to help target potential applicants)	2002 – 2003	All Faculties/ Departments 2002	<ul style="list-style-type: none"> <li>- Each Faculty and School has established Search Committee for specialist subject area by 01/03</li> </ul>
3. Advertise internationally for posts of Senior Lecturer level and above, and for specific research posts	2002 – onwards	All areas	<ul style="list-style-type: none"> <li>- SL/Reader and Prof posts advertised internationally and targeted, using Web and Specialist Journals and knowledge of Search Committees</li> </ul>
4. Introduce flexible employment arrangements through the industrial relations framework, e.g. flexible contracts, flexible hours, crèche facilities and child-care voucher schemes	2002 – onwards	All staff	<ul style="list-style-type: none"> <li>- Introduction of flexible contracts for new staff and option to transfer to existing staff by 01/03</li> <li>- Pilot new Contracts of Employment in ISD by 01/03</li> </ul>
5. Renegotiate industrial relations framework arrangements to evaluate HR issues re high performance, quality output, equity and flexibility	2002 – 2003	All Trade Unions	<ul style="list-style-type: none"> <li>- Established UU position on IR framework 12/02</li> <li>- communicate and agree new framework with Joint TUs by 06/03</li> <li>- UU position becomes central priority for all negotiations/consultation</li> </ul>

### 1.8 Priority goals to support the Recruitment and Retention Strategies (Contd.)

Goals	Timetable	Targets	Outcomes
6. Carry out a comprehensive review of the Annual Rewards Process (ARP) re: promotions, discretionary points, accelerated increments and performance bonuses	2002 – 2003	All staff	- Employees respond positively to new ARP processes via Staff Opinion Survey (50% positive response @12/02 ; 75% positive response @12/03)
7. Review salary packages in the light of above re recruitment and retention strategy (Market Premiums, Research Allowances, Development of e-Learning Modules = Royalties	2002 – onwards	Limited	- Reduced turnover in various categories of staff (50% reduction in manual category by 06/03 - Nil turnover in A-R category by 06/03 for Dept of Physical Resources - Royalties package for e-learning/IP etc communicated to academic staff by 06/03
8. Design a reward strategy for Contract Research Staff	2002 – onwards	All CRS	- All Contract Research Staff (CRS) aware of new ARP 09/02 - Outcomes of first implementation phase 01/03
9. Extend succession planning model from BAWG/FPWG to faculties and departments	2002 – 2003	All facs/depts	- All Faculties and Schools to have rolling 3 year staffing plans by 12/02 - specific Facs and Schools with age and grade bulge have replacement and search plans in place by 03/03
10. Develop a range of non-salary incentives to aid the recruitment and retention of quality staff, e.g. BUPA; Tailored Staff Development Programmes; Secretarial Support, Funding to attend Courses and Conferences; Reinvesting earned income into research	2002 – onwards	Senior Academic Posts; Research Posts; Senior Mgmt Posts	- package of non-salary incentives available 06/03 - guidance on applicability of non-salary incentives for line managers with retention issues available 06/07

(Additional goals in respect of development are addressed in section 2)

## 2.0 SECTION 2: STAFF AND ORGANISATIONAL DEVELOPMENT

Staff Development is an important activity for any institution; it is especially so during times of continuous change, whether this is as a result of internal or external changes/pressures.

All the following staff development priority actions relate directly to the core values of the institution:

- ?? Entrepreneurship and Innovation
- ?? Innovative Teaching and Learning
- ?? Widening Access
- ?? Quality/Excellence

### 2.1 The History

The University first established a Staff Development Unit in 1994. At this time a simple strategy was formulated to lay the foundations of a structured approach to what was then *ad hoc* staff development activities which primarily focused on academic staff. This strategy was reviewed in 1997 to determine progress and to develop plans for the future. The post 1997 strategy included recommendations regarding, inter alia, the clarification of roles and responsibilities, the development of an overall Staff Development policy, the initiation of accreditation of training programmes. (see Appendix 2 for summary document)

A number of key achievements followed:

- ✍ A formal mechanism for the identification of development needs – this is carried out using an audit tool that was designed (also enhanced each year) to encourage need identification in line with corporate strategies and priorities across all categories of staff. The output of this audit process is the compilation of School/Administrative Department and Faculty development plans with projected costings.
- ✍ The move from a culture of promulgating training courses via a brochure to that of more tailored provision. In fact only 20% of the development provided internally is in line with the open course brochure which really now serves as a general awareness-raising vehicle.
- ✍ The redesign and extension of staff appraisal schemes for academic/academic-related, research, and clerical and technical staff categories.
- ✍ The completion of the Postgraduate Certificate in University Teaching (PGCUT) for full-time permanent academic staff, with insufficient tertiary level teaching experience, during probation.
- ✍ The development of not only corporate induction but also specially tailored programmes for individual staff categories. This includes programmes supporting newly appointed Heads of School, research staff, part-time lecturers and postgraduate students.
- ✍ A co-ordinated approach for the provision of IT development resulting from the introduction of a common desktop environment.

- ~~///~~ An extensive programme of health and safety and equal opportunity programmes has been run for all appropriate staff.
- ~~///~~ Evaluation of development in terms of internally provided provision was formalised by an evaluation sheet that mirrors the student questionnaire used to assess the student learning experience.
- ~~///~~ The introduction of an Institute of Leadership and Management Introductory Award for staff with supervisory responsibilities.

## **2.2 The New Strategy**

A review of staff development activity commenced in June 2001 and is almost complete. The objective was to produce a general strategy that underpins and supports all the core activities of the University; a range of 'supporting staff development approaches' attached to each of the University strategies would then be developed. In identifying key priorities, the Staff Development Strategy is not in itself the institutional development plan or programme, but rather provides a framework for further discussions and the production of related 'development plans', supporting each institutional strategy.

The new strategy (Appendix 3) aims to build on the previous work and to underpin the move to organisational development as is demonstrated by the medium to long term priorities identified. It also seeks to encourage the development of a 'learning culture' throughout the institution.

While there has been substantial progress made in the past four years, there are still major improvements to take place if staff development activity, and the supporting infrastructure, is to support the institutions mission, values and business objectives; hence the 2001/02 review of the staff development strategy

## **2.3 Strategic Objectives: Staff and Organisational Development**

In order to provide a framework for allowing appropriate development opportunities that are designed to improve the knowledge, skills and behaviours of staff. This will enhance personal growth and effectiveness of individuals, teams and the University in the pursuit of excellence in all of its activities and strategies. It will:

- ~~///~~ facilitate the process of change
- ~~///~~ promote a developmental ethos
- ~~///~~ outline various staff development support plans for each institutional strategy
- ~~///~~ embed all staff development activity into the University's academic calendar
- ~~///~~ promote strategic leadership and management throughout the institution

## **2.4 Key Challenges for the Strategy**

- ~~///~~ The sporadic use of the appraisal system
- ~~///~~ The linkage of learning into the workplace
- ~~///~~ Understanding by leaders/managers of their roles in development

## 2.5 Priority Goals to support the Staff Development Strategies

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting the professional development of those in management roles within the University of Ulster	(a) New HOS programme covering all aspects of leadership and management	Implement Academic year 2002/03	All new HOS attend in semester one of their first term
	(b) Develop and implement support programmes for Assoc. Deans and Assoc. Heads of School	2002 and ongoing	Programme designed and running with all attending within 12mths of their appoints
	(c) The design and development of a programme of support for all managers at Academic Related Grade 5 level	Programme Designed 2002/2003; delivered in 2003/2004	25% attend first year with 50% year two. Complete year three
	(d) The design of a Management Skill and Competence Profile for UU, followed by programmes which develop managers to meet that profile	Profile developed 2002/2003 integrated into Programmes 2003/2004	Framework endorsed by senior management. Integrated into appraisal reviews 2003/2004
	(e) Run ISM intro award 2002/2003 and re-develop programme for ILM by end 2002/2003	New programme Running end of 2002/2003	Evidence from action plans agreed with line managers demonstrates application to workplace

## 2.5 Priority goals to support the Staff Development Strategies (Contd.)

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting managers in addressing performance issues	<p>(a) New appraisal training for staff involved in appraising staff and in setting performance targets at individual, School, Faculty and Department levels</p> <p>(b) Train all managers including Senior Officers in dealing with under performance. Include in induction training for all managers</p>	<p>End of 2003/2004</p> <p>2002 onwards</p>	All staff involved trained end of 2003/2004
Supporting staff in the professional development of lecturers and researchers.	<p>(a) To design and make transparent a full range of flexible CPD for staff engaged in student learning. This will include programmes for part-time lecturers and PGTA's which are accredited and are also approved by ILT</p> <p>(b) To design and deliver programmes of support for staff involved in course management roles under the new management framework</p>	<p>To commence Articulation of Framework and Programmes of Support in 2002/2003</p> <p>Full delivery of suite of opportunities to commence 2003/2004</p> <p>To be designed 2002/2003 and rolled out end of same period</p>	<p>Staff are aware of all CPD routes available in relation to Teaching and Learning. Evidenced through two year employee survey and also annual staff development audit and improvements made in relation to teaching quality measurements in place and those under development. Where approp. Codes of Practice developed</p> <p>Course management Handbook (on web) Developed to support Delivery</p>

## 2.5 Priority goals to support the Staff Development Strategies (Contd.)

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting e-learning activity	<p>(a) To support multi-media resource-based learning with Lifelong Learning (WEB CT and other media)</p> <p>(b) To develop a full programme supporting staff in the pedagogy of learning using an on line environment</p>	<p>Roll out ongoing Prioritised by Faculty e-learning Strategies</p> <p>Project plan Developed with roll- out commencing Oct 2002 /2003</p>	<p>Evidenced by Faculties/ Subjects meeting their targets within e-strategies</p> <p>Programme schedule Articulated and Disseminated to staff via web and online SD brochure</p>
Supporting staff in the context of a changing IT environment	<p>(a) To provide on-line ECDL for 100 staff 2002 / 2004</p> <p>(b) To establish test centres as appropriate throughout the institution</p> <p>(c) To explore the use of MOUSE as alternative route of accreditation of current in-house courses</p>	<p>By end 2004</p> <p>To commence 2003 /2004</p> <p>To commence 2002 /2003 (possible roll out end 2003 /2004)</p>	<p>100 staff awarded certificate</p> <p>Two test centres Established end 2003/2004</p> <p>Viability report produced with project plan for pilot in place by 2003</p>

### 2.5 Priority goals to support the Staff Development Strategies (Contd.)

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting the professional and technical development of non academic staff	<p>(a) To provide support for clerical staff via the NIOC accredited programme</p> <p>(b) To provide support for manual staff via EDEXCEL accredited programme</p> <p>(c) To design and develop suite of programmes for students placed within the University of Ulster and also postgraduate employees</p> <p>(d) To develop support programmes for technical and specialist staff</p>	<p>Roll out in 2002/2003</p> <p>Roll out in 2002/2003</p> <p>Design to Commence 2002/2003</p> <p>Design to Commence 2002/2003</p>	<p>20 staff awarded end 2002/2003. Line managers perceptions/value evidenced empirically</p> <p>20 staff awarded 2002/2003</p> <p>Evidence of improved Performance of students in Workplace sought from line Managers</p> <p>Staff and line manager Perception of programme and impact on performance positive when sought by empirical means</p>
Supporting staff involved in marketing of the institution	Appropriate programmes to be identified and developed in line with institutional strategy. Internal and external providers will be used	Commence design with delivery second half 2002/2003	Range of programmes Articulated with Performance measures built in for evaluation of learning and impact on institution improvements. Evidenced also in Stakeholder surveys

## 2.5 Priority goals to support the Staff Development Strategies (Contd.)

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting staff in the move to a more commercial operating environment	To develop programmes in relation to Business Planning and Risk Assessment	Design of University of Ulster Tailored programmes 2002/2003 (mid-end) for delivery 2003/2004	Quality of Business Plans to Planning improved. Senior Management perceive improvements
Supporting staff in Technology and Knowledge Transfer	(a) To deliver programmes on Intellectual Property Rights to all academic staff	Design and delivery in 2002/003	All academic staff given Opportunity to attend Programmes and gain Information via online staff Handbook
	(b) To deliver programmes articulating staff roles in consultancy, commercialisation of knowledge	Design and delivery 2002 /2003	Staff aware of Responsibilities; subjects meet performance targets
Supporting staff amidst the current climate of rapid internal /external changes	(a) To design and deliver appropriate Policy Led programmes of support e.g. Recruitment and Selection in view of new procedures being developed. Special training for panel chairs, leading to improved Recruitment and Selection practice	Delivery end of 2002/2003	(a) All SOs and all Lay Members of Univ Council trained in new procedures by 03/03. - 300 University line mgmt staff trained in new procedures 12/ 03 - detailed guidance notes and training for panel Chairs completed 06/03
	(b) Integrate 'Change Management Skills' into all management development programmes	2002 and onwards	(b) Management of change Embedded in new IR Framework with Joint TUs 06/03 - Blueprint for Managing Change embedded in <u>all</u> restructuring exercises and training programmes for line managers 12/04

## 2.5 Priority goals to support the Staff Development Strategies (Contd.)

Priority Goals	Staff Development Goal	Timescale	Outcomes
Supporting the more effective communication of appropriate information and knowledge to all members of staff in a timely and appropriate way	(a) Complete a tailored Corporate Communications survey using MORI (allowing benchmarking with other organisations)	Design prior Dec 2002 – dissemination end of 2002 / 2003	Stakeholders surveys Completed in line with Staff Opinion survey. Action Plans in place for 2003/2004
Supporting the establishment and dissemination of institutional core values	(a) Complete a tailored Employee Opinion survey using MORI (allowing benchmarking with other organisations)	Design prior Dec 2002 – Dissemination end of 2002/2003	First survey completed by staff end of 2002/2003 Action plan in place for 2003/2004
	(b) To design and deliver a cohesive institutional development programme to support Equality policies and their implementation	Section 75 Policy Training  Delivery of Training on Legislation 2002 onwards	All staff received Awareness of Section 75. Approp staff trained in EIA's according to project timetables  Revised prog Incorporated into management Programmes. All staff aware of revised policies when in place; tailored programme on equality for each Faculty/Department developed in support of their equality action plans
	(c) To review Induction processes for all staff both corporate and local. Develop interactive Online programme for staff with access to PC's with local and corporate responsibilities clearly articulated	2002 onwards	Staff and line managers perceive new induction programme aids staff to reach acceptable performance standards

### 3.0 SECTION 3(i): DEVELOPING EQUAL OPPORTUNITIES TARGETS

#### 3.1 Introduction

The University has recently established an Equality Policy & Practice Unit within the Department of Quality Assurance and Enhancement. Prior to 2000 the Equality remit was within the Department of Human Resources and was responsible for equal opportunities issues for staff. The new Unit has a remit for equality for both staff and students and as such reflects the holistic approach the University seeks to take in regard to equality. It also incorporates the University's mission and strategic objective in regard to widening access and participation in Higher Education. The Government target of 50% participation for under-35s in Higher Education has clear implications for staff development. This is addressed in Section 2 of the Strategy.

#### 3.2 Legislation (Refer to Section 1, Page 9, para 1.2)

The University of Ulster, unlike universities in Great Britain, is subject to extensive legislation which applies only in Northern Ireland, namely the Fair Employment and Treatment (NI) Order 1998 and the Northern Ireland Act 1998. Both pieces of legislation are vigorously enforced, frequently through the courts and tribunal system.

The Fair Employment legislation places a duty on the University to:

- ~~///~~ Monitor workforce composition
- ~~///~~ Review composition and recruitment, training and promotion practices at least once every three years (known as the Article 55 Review)
- ~~///~~ Take affirmative action if fair participation is not being secured by members of the Protestant and Roman Catholic communities
- ~~///~~ Set goals and timetables as part of affirmative action

The University has therefore been monitoring its workforce and applicants since the Fair Employment (Monitoring) Regulations (NI) came into effect in 1989. The University took the decision at that time also to monitor gender, race/ethnic origin and disability.

##### 3.2.1 **Section 75 of the Northern Ireland Act 1998** requires public authorities in carrying out their functions relating to Northern Ireland, to have due regard to the need to promote equality of opportunity:

- ?? Between persons of different religious belief, political opinion, racial group, age, marital status or sexual orientation;
- ?? Between men and women generally;
- ?? Between persons with a disability and persons without; and
- ?? Between persons with dependants and persons without.

The Secretary of State for Northern Ireland has deemed the universities to be public authorities for the purposes of the Act. The University is also therefore required to produce an **Equality Scheme** stating how it proposes to fulfill these duties. The University is required to screen all its policies and to produce a full screening report for consultation. It must also carry out **equality impact assessments**. An equality impact assessment is a thorough and systematic analysis of a policy, whether or not that policy is written or unwritten, formal or informal, to determine the extent of differential impact upon the relevant groups (as listed above) and to determine if the policy is having a negative impact on groups or individuals. Equality Impact Assessments need only be carried out

where initial screening indicates that there is cause for concern in relation to the impact of a particular policy.

Section 75 will also have major implications for the University in relation to staff development and training. Within the Equality Scheme the University is required to make a commitment to ensure that **all** staff receive appropriate training. Whilst this will involve awareness training for certain categories of staff, a much greater level of development will be required for those who are supervisors and managers, who will be responsible for carrying out policy screening and impact assessments.

In this context therefore, the University has already undertaken extensive work in the process of monitoring and auditing its workforce, and indeed in setting goals in relation to specific groups of staff. However, Section 75 will require the University to extend its monitoring processes to include other categories which are not currently monitored. In agreeing a way forward with this the University is working closely with the other Higher Education Institutions in Northern Ireland and with the Department of Employment and Learning to ensure that a consistent approach is taken.

- 3.2.2 The Northern Ireland Assembly has also indicated its intention to introduce a **Single Equality Bill** into the province. Initial consultations have already been carried out and it is likely that legislation will be drafted in the near future. There will obviously be major implications for the University and for the Unit when such legislation is enacted. It is anticipated that the Bill will go well beyond the existing legislation (in relation to sex, religion, race and disability) and will incorporate pending European Directives. The University will be required to review all of its existing equality and HR policies and procedures to ensure compliance and best practice. In addition there will be further training/development implications, which will impact across the whole university.

The University has also been a member of the *Opportunity Now* (previously *Opportunity 2000*) campaign since its inception in Northern Ireland and had set goals in relation to the proportion of female staff in different categories. The University is also an active member of the Employers' Forum on Disability in Northern Ireland, and is proactive in its approach to disability. (See paragraph 3.10 below).

### **3.3 Strategic Objectives – Equality Policy and Practice**

- ?? To develop and promote best practice in equality across the University
- ?? To develop and monitor equality policy and practice across the University
- ?? To ensure the University is in a position to meet its statutory obligations in this area
- ?? To mainstream equality into all the University's functions

In addition to these strategic objectives the Unit also has a number of priority goals which are considered in the following paragraphs.

### **3.4 Recruitment Processes**

Section 1 makes reference to a review of the University's Recruitment and Selection policy and processes. The Equality Unit will ensure that the revised policy and procedures are equality-proofed, and that equality training will be embedded in recruitment training. Recruitment training will be mandatory for all staff involved in the recruitment process. The University will continue to monitor applicant and appointee flows and will seek to address imbalances by appropriate and legal positive action such as encouraging certain groups to apply for posts or offering training to under-represented

groups; furthermore the Equality Unit will initiate a survey of the exit questionnaires over a two year period.

### **3.5 Employment Practices**

The University will ensure that all term-time, part-time and fixed-term staff are in receipt of the same conditions of service, holiday and sickness entitlement (pro-rata where appropriate) as their full-time colleagues in their staff category.

### **3.6 Corporate Planning Processes**

The University will ensure that equality is embedded in the University's planning processes, by carrying out an equality screening exercise of existing processes and an equality impact assessment if necessary. This will include training for all staff involved in the planning processes. Job descriptions and personnel specifications for senior staff will be revised to include a responsibility for equality mainstreaming in their function.

### **3.7 Race/Ethnic Origin**

Race Relations legislation was only extended to Northern Ireland in 1997. (RRAA does not apply in Northern Ireland). Since then the requirements of Section 75 of the Northern Ireland Act will also impact upon race issues. Because this is a relatively young area of equality in Northern Ireland there is a lack of basic data in relation to the ethnic minority community in the province. The University therefore aims to work with the Equality Commission to review its ethnic minority composition, and consider the feasibility of setting goals to increase the number of ethnic minority staff.

When the 2001 census data become available, it will be possible to look at the possibility of setting meaningful targets. However, research indicates that less than 1% of the population of Northern Ireland identify themselves as being anything other than white and it will be necessary to develop goals in this context.

### **3.8 Women and Promotion**

The University will carry out a survey of academic staff to ascertain if there are particular barriers in relation to women and promotion, and if appropriate will agree a programme of training/staff development to address the needs of female staff.

The University set targets in relation to the position of female staff when it joined the *Opportunity Now* (previously *Opportunity 2000*) campaign. These targets were reviewed in 2000 and all had been met. The University currently has over 150 Professors, of whom 32 or 21% are female. This is compared with only 6 female Professors in 1994 (less than 5%) when the target was agreed and 10.8% in 1997 when the target was reviewed. There are six Deans, two of whom are female, five Pro-Vice-Chancellors, one of whom is female, seven Directors, two of whom are female and 27 Heads of School, 9 of whom are female. Targets in relation to the recruitment of female staff will also be considered in the context of the work on Section 75. Currently the University is awaiting a response from the Equality Commission to its Section 75 submission. Following this the University will re-visit its targets in relation to, for example, equal opportunities issues, including gender. As described at paragraph 3.9 below, the University is also currently working with Queen's University, Belfast to address women's development at all levels.

### **3.9 Athena Project**

The University will work with Queen's University Belfast to establish a joint Athena Project within the next year. Funding will be sought from the Athena Project within the Equality Challenge Unit to support this. Some additional funding will be necessary as the ECU only provides a minimal start-up amount of max £1000. The proposal is to establish a Local Area Women's Network (LAWN). In addition the two universities are working together to facilitate specific development sessions aimed at different groups of staff. To date, events have targeted senior female staff and contract research staff. Work in this area is ongoing and will develop over the next few years.

### **3.10 Disability**

The University has been doing extensive work to support staff with disabilities to assist them to remain in employment. This includes making a range of "reasonable adjustments" as defined by the Disability Discrimination Act 1995 (the DDA). It has also agreed an action plan to ensure compliance with Part III of the DDA in relation to access. This has required a detailed plan of work in relation to access to and within the campuses, to ensure that the University becomes a disability friendly environment. This has been undertaken in line with the Estates Strategy, and in conjunction with the Department of Physical Resources. To date action taken includes adapting doors so that they are automatic, installing lifts in a number of buildings, providing dropped kerbs and ramps, adapting toilet facilities, reviewing signage on the campuses, supplying a number of loop systems and a range of other adaptations. In reviewing our action plan (which will take us to 2004/05) we have liaised with outside bodies, (Equality Commission, RNID, RNIB) and with staff and students with disabilities.

The University's objective in relation to staff is to carry out a third staff survey to update the information we hold in relation to staff with disabilities and to encourage staff to liaise with the Equality Unit to address any specific needs they may have in relation to their disability. The last survey was carried out in 1996 after the DDA had come into force, and used the DDA definitions of disability. At that time only 26 staff indicated that they thought they had a disability. However since that time a number of existing staff have approached the Equality Unit for advice and/or assistance and the number who have now identified a disability has risen to almost 50. We recognise that this is still low in comparison with national figures but we must also recognise that a number of staff will not self identify as being disabled unless they require specific assistance. We hope the survey will encourage staff to do this. Our focus therefore in the immediate future is to support *existing* staff with disabilities.

### **3.11 Article 55 Review**

As previously noted the University is required to carry out a major review at least once every three years of its workforce composition and of its recruitment training and promotion practices. Whilst the main focus of the Article 55 review is religion the report will refer also to other equality issues. The fourth such review is due to be carried out in 2002/03. As part of this exercise it will be necessary to review and revise the goals and timetables, which were previously agreed in religion.

### 3.12 Priority Goals to support the Equality Strategies

Goals	Timetable	Targets	Outcomes
Equality proof revised Recruitment & Selection process and train staff.	2002/2003	All staff	Reduced number of successful Discrimination complaints
Carry out Article 55 Review and agree revised affirmative action plan with Equality Commission	2002/2003	All staff	Set and monitor targets
Disseminate Equality Scheme, produce screening report, first annual reports to Equality Commission, consult on reports, and initiate first Equality Impact Assessment	2002/2004	Senior staff, Section 75 Steering Group and HR staff	Produce screening report, complete consultation exercise, complete first Annual report, set up EIA group and Produce report
Ongoing work in accordance with requirements of Section 75	2002 onwards	All staff	Compliance with statutory requirements, and meet commitments within the Scheme
Carry out survey of Exit Questionnaires, set up monitoring system and revise questionnaire.	June 2002 onwards	All staff	Report completed by 06/03 including revised questionnaire and action plan arising out of responses received
Audit of conditions of service for temporary fixed-term, term-time staff.	2003/2004	All staff not currently on full-time permanent contracts	Report completed by 06/03
Carry out survey re attitudes to promotion.	2002/2003	Female staff	Report completed by 06/03
Establish Athena Project (jointly with QUB).	2002	Female staff	Establish LAWN. Hold two joint events in 2002/3 for female staff
Carry out disability survey.	2002	All staff with a disability	Improved accuracy of data on staff with disabilities Report on survey to QAE Committee Follow up action with individual staff by 12/02
Review, revise and communicate Harassment and Bullying Policy and Procedures	2002/2003	All staff	Revised policy to be published by 09/03
			For development outcomes see section 2

**Additional goals in respect of development are addressed in section 2**

### **3.13 SECTION 3(ii): JOB EVALUATION**

#### **3.14 National Situation**

Currently the University's clear understanding is that the HERA Scheme, developed by ECC Ltd and Towers Perrin, attempts to cover all jobs in a typical university. In addition, HERA has some practical drawbacks, not least of which is the length of time it takes to interview an employee about his/her post under the fourteen headings, which is currently estimated at between 2–4 hours.

The HERA Scheme, as it currently stands, is not widely used within the HE sector and would require further refinement and further negotiation with the trades unions. Furthermore, the University understands that currently AUT nationally is in the process of drawing up a scheme for its membership to put to employers and that at this point in time it is still in the process of gathering raw data to ascertain types and numbers of roles both in respect of academic and academic-related posts.

#### **3.15 Local Situation**

Given the national position on job evaluation schemes, the University of Ulster is of the opinion that it cannot simply wait around for something to evolve, and whilst it recognises that having a series of job evaluation schemes covering a variety of categories of staff offers no defence against equal pay claims, it is essential to be proactive in this area so that jobs can be properly evaluated and graded under a fair system pending the implementation of a nationally agreed scheme.

Currently the University operates two nationally agreed analytical job evaluation schemes in respect of:

- (1) Manual Staff
- (2) Technician Staff

Both of these schemes have been in existence since 1990 and have been used by the University in the intervening years to grade jobs appropriately, especially in regard to re-structuring exercises. The University recognises that neither of these schemes is perfect and has concerns that the Technician Scheme in particular has potentially indirect gender discrimination built into it; this issue is being addressed with the relevant trade union through the industrial relations forum within the University. Notwithstanding the above, the University will continue to administer these jointly agreed schemes until either one all-compassing scheme is devised nationally or the University devises its own scheme for these categories of staff.

#### **3.16 Job Evaluation Priorities**

The University recognises the sensitivities within the sector surrounding the job evaluation of academic posts and the size and complexity of this task, and therefore has decided to proceed in the interim with two priority areas for job evaluation:

- (a) Academic-Related Staff
- (b) UCNS Staff (Clerical and Secretarial in the main)

### **3.16.1 Academic-Related Staff**

The University, in recent years, has engaged in detailed discussions locally with AUT regarding the introduction of job evaluation for Academic-Related staff. In brief, the AUT have opposed the introduction of an analytical scheme, but are currently embracing the introduction of a Whole-Job Comparison Scheme which will incorporate a Job Family Approach.

The University has made considerable progress within the information gathering process for the Job Family Approach by examining some 100 benchmark academic-related posts across the academic-related cohort of staff at all of the various grades to identify key responsibilities and commonalties between and across posts. This has resulted in the identification of the following job families:

- ~~///~~ Works and Facilities Family
- ~~///~~ Information Technology Family
- ~~///~~ Library Family
- ~~///~~ Finance Family
- ~~///~~ Human Resources Family
- ~~///~~ Academic Administration, Planning and Support Family

The University has engaged *HAY Consultants* to provide external expertise, helping to draw up the scheme and to ensure that it is underpinned with a rigour and robustness to enable the posts to be evaluated properly and fairly, and free from bias.

It is envisaged that this scheme will provide grading guidelines for each academic-related grade within each of these proposed job families, which will reflect the national pay and grading structure for this category of staff and which will be applied consistently across the job families.

The University intends to devise, agree and implement this scheme during the course of the academic year 2002-2003. Indeed the scheme has been used recently to address equal pay issues as well as grading new academic-related posts and existing posts which have been changed as a direct result of the re-structuring exercise (Refer to page 3, para (D) currently ongoing in the University).

### **3.16.2 UCNS Staff**

In the absence of an all-encompassing nationally agreed scheme the University has decided to devise a scheme for UCNS staff in parallel with the scheme for academic-related staff. The process and methodology will reflect that of the academic-related scheme above.

Job Evaluation Strategy: To have an all-encompassing, jointly agreed, analytical job evaluation scheme covering all posts in the University which allows posts to be properly and fairly evaluated and graded.

### 3.17 Priority Goals to support Job Evaluation Strategies

Interim Goals	Timetable	Targets	Outcomes
(a) Devising and implementing a Job Evaluation Scheme for Academic-Related Staff	2002 – 2003	All Academic-Related Staff	<ul style="list-style-type: none"> <li>- Academic-Related Job Evaluation understood and communicated to all academic-related staff 12/03</li> <li>- JE outcomes result in 5% of academic-related cohort being up-graded</li> <li>- JE scheme used in all restructuring exercises involving new A-R posts or changes to existing A-R posts</li> </ul>
(b) Devising a Job Evaluation Scheme for UCNS Staff	2003 – 2004	All UCNS staff	<ul style="list-style-type: none"> <li>- Amicus-MSF and Univ Management agree and devise JE scheme based on Whole Job Comparison 12/03</li> <li>- JE Scheme communicated to all UCNS staff 12/03</li> </ul>
(c) Implementing a Job Evaluation Scheme for UCNS Staff	2003 – 2004		<ul style="list-style-type: none"> <li>- JE Scheme implemented for UCNS posts <math>\frac{3}{4}</math></li> <li>- JE Scheme used in all re-struct exercises involving new UCNS posts</li> <li>- JE Scheme outcomes result in 10% of UCNS cohort being up-graded</li> </ul>

## 4.0 SECTION 4: REVIEW OF STAFFING NEEDS

The University has recently developed robust processes and practices at the corporate level to review its current workforce as well as its projected staffing needs and the financial resources associated with that, i.e. in terms of numbers and types of staff, skill mix, roles and knowledge/expertise. This need has arisen out of the University's Vision and Strategy 2010 document in terms of addressing the University's future direction and mission, but also out of the radical re-structuring programme underway in the University involving all of the faculties and the central administrative departments (refer to page 3, para (D)).

The University has established two working groups under the chairmanship of the Vice-Chancellor to address the staffing and associated resource needs of the University; these are the Budget Allocation Working Group (BAWG) and the Financial Planning Group (FPG).

### 4.1 Staff Allocation

The BAWG sits bi-monthly to review requests from the faculties and departments in respect of staff resources. BAWG reviews these requests against the medium to long-term plans of the faculties and departments and against the core strategies of the University, i.e. Teaching and Learning, Research, Widening Participation, *et al.* BAWG uses a variety of management information in its assessment, such as age and grade profiles of faculties, e-learning initiatives, part-time hours, research profiles, skills/knowledge profiles, projected retirees, turnover and numbers of staff and cost. This then allows the Group to make strategic decisions regarding the allocation of staff resource and may mean taking resources from one faculty/department and putting it into another area. Staffing resource is only allocated to facilitate the needs of the faculties/departments where this adds value to activities and/or results in income generation for the University.

### 4.2 Financial Planning

The FPG is primarily concerned with the University's budget building process and the allocation of financial resources between areas. It bases its decisions upon detailed analysis of a range of data, including total University income (i.e. block grant, research, consultancy, special projects and other) and expenditure (staffing, recurrent, capital, research and other). It envisaged that the work of these two groups will continue and eventually merge and that staff planning will become embedded in the individual faculties and departments during 2002-03. Indeed as part of that process Faculties and Departments are asked to produce three year staffing strategies for each of their respective areas to address recruitment and retention issues, retirement projections, special project/initiative requirements, e-learning opportunities and potential for early retirements.

In support of staff planning the University already has in place a number of policies and procedures to assist managers.

~~///~~ A blueprint document for managers to help them draw up re-structuring proposals for organisational change outlining the detailed processes which they must consider and the potential effects on staffing, including severance either through early retirement or voluntary redundancy

- /// A Redeployment Principles policy, jointly agreed with the recognised trades unions which incorporates re-training
- /// A Staff Development Strategy (Refer to Section 2, and Appendix 3)

In addition to all of the above the University is also proactively addressing staffing needs in respect of management training and leadership, including staff planning and budget management skills (Refer to Section 2, Pages 17 and 22).

The University currently runs a management programme for new Deans and Heads of School as part of its Staff Development Strategy (Section 2, Page 17). The University also recognises that leadership and communication programmes are essential to the continuing success of the organisation and to recruitment and retention in particular. For example, the University has recently created two new supporting roles in the faculties to ensure continuity and consistency of management approach, i.e. Associate Deans and Associate Heads of School. As part of the bedding-in process the University will recruit a number of these posts during the year 2002-03 and devise a staff development/mentoring programme to facilitate and nurture the necessary management skills to ensure a smooth progression in terms of possible career paths.

Also, the University is in the process of developing and implementing a Management/Leadership programme for Senior Officers as part of its succession planning and staff development strategies (Refer to Section 2, Page 17).

#### **4.3 Strategic Objectives: Review of Staffing Needs**

- /// To ensure the University has the appropriate levels of staff with the knowledge, skills and abilities to accomplish current and future University/Faculty/Department plans and goals
- /// To ensure that staff can adapt to meet the changing needs of the University
- /// To enhance leadership capacity - at all levels of the University - through an integrated and co-ordinated approach that builds a culture of leadership, continuous learning and commitment to excellence

**4.4 Priority Goals to support the Staffing Needs Strategies:**

<b>Goals</b>	<b>Timetable</b>	<b>Targets</b>	<b>Outcomes</b>
Develop and enhance existing HR and Financial Management Information processes and systems for BAWG and FPG	2002 – 2003	HR and Finance Professional staff	<ul style="list-style-type: none"> <li>- BAWG and FPG receive timely, accurate and costed information.</li> <li>- Facs/Schools/Depts receive regular staffing reports showing age/grade profiles, retirement dates/staff turnover ratios, staff costs, on a quarterly basis</li> </ul>
Devise 3-year staffing plans for Faculties and Departments	2002 – 2003	All Faculties and Departments 06/03	<ul style="list-style-type: none"> <li>- Faculties/Schools/Departments receive HR and Finance staff support to develop three-year staffing plans by 12/02</li> <li>- Faculties/Schools/Departments to identify early retirements, replacement posts, as part of 3-yr staffing plan based on HR and Finance information 03/03</li> </ul>

**(Additional goals in relation to development refer to Section 2)**

## **5.0 SECTION 5: PERFORMANCE AND REWARD**

As outlined in Sections 1 and 2 of this strategy document the University will be reviewing a number of its strategies and policies with regard to Performance and Reward which are directly linked to its Recruitment and Retention strategies and its Staff and Organisational Development strategies.

### **5.1 Appraisal**

Currently the University has appraisal procedures for academic, academic-related, technician and clerical/secretarial groups of staff; there is not an appraisal system in place as yet for manual/crafts staff. Whilst these appraisal systems have been in place for a number of years they are not universally implemented across the faculties and departments nor are they consistently applied in those areas which make use of them. Also, currently appraisal is not formally linked to reward.

The University recognises that the existing appraisal systems for academic, academic-related, technician and clerical/secretarial groups of staff need to be reviewed and amended and communicated to ensure full participation by all of these staff at all levels of the organisation. This will better enable managers to implement, monitor and evaluate individual performance and link it with staff development strategies and organisational development. The appraisal systems currently contain two elements, i.e. contribution to University/Faculty/Department objectives and Personal Development; it is essential that these are retained in the revised scheme since they directly link to the strategies for Retention, Staff Development, Equality and Staffing Needs.

The review of the current appraisal process will present the University with a number of other opportunities, notably to examine the possible links to reward, taking full cognisance of the fact that this is a highly sensitive area for the sector overall, vis-a-vis performance-related pay; to develop and communicate clear standards of performance for different categories of staff; to tackle under-performance and absenteeism.

### **5.2 Reward**

Currently the University recognises and rewards excellent performance at two levels. Senior Officers (including the Vice-Chancellor, Pro-Vice-Chancellors, Provosts, Directors, Deans and Professors) are appraised annually and considered under the Senior Staff Salary Review mechanism for reward based on meritorious performance and achievement of objectives set in appraisal which reflect the University's key strategies of Teaching and Learning, Research, Technology and Knowledge Transfer, Widening Access, Entrepreneurship and Social, Economic and Cultural Development of the Region.

All other categories of staff except manual staff are afforded opportunity for reward under the University's Annual Review Process (ARP). This ARP offers advancement to academic staff from Lecturer A to Lecturer B and promotion from Lecturer B to Senior Lecturer or Reader and from Senior Lecturer or Reader to Professor. In addition these staff can avail of discretionary awards such as performance bonuses, accelerated increments and discretionary points on their salary scale, all of which are based on meritorious performance and on the recommendation of management. Academic-related staff, technicians and clerical/secretarial staff can only be considered for the discretionary awards listed above since promotion is not available to them. All of these staff currently are subject to appraisal and it is possible under the current ARP for staff who have a good appraisal report to ask for this report to go forward under the ARP to support their case for

consideration of an award of some kind with the support of the Faculty/Department. The ARP has been in existence in the University for a considerable number of years and has operated effectively. Each year it is reviewed and, where appropriate, refined and is subject to scrutiny from the Equality Policy and Practice Unit for fairness, openness and transparency. With reference to Section 1 (Recruitment and Retention) the ARP is to be reviewed, particularly in relation to promotion for academic staff to make the guidelines and criteria more transparent to staff and to articulate the different pathways for promotion, i.e. teaching and learning, research, or community enterprise including entrepreneurial activities. Additionally, the review will incorporate outstanding performance/contribution to advancing and achieving the University's overall strategic objectives, underpinning its Mission and Vision, as articulated on Page 2 of this document. Also, the University is currently devising a separate and distinct ARP for Contract Research Staff, which will offer the same opportunities for promotion and reward. The proposed Staff Opinion Survey (Refer to Section 2, Page 22) will be used to gauge the opinion of staff in relation to matters such as equity and transparency of the ARP.

The University is also considering the possibility of devising an incentive scheme for manual staff directly linked to productivity and reduced absenteeism, based on team performance rather than individual performance. This also links into Sections 6 and 7, Managing Under-Performance and Managing Health and Safety, respectively. (Refer to Section 6, Page 38 and Section 7, Page 41).

### **5.3 Strategic Objectives: Performance and Reward**

- ~~///~~ To ensure that the goals and behaviour of individual employees are aligned to University/Faculty/Department goals and priorities via an appropriate system of appraisal.
- ~~///~~ The University will compensate, reward and recognise excellent performance by employees based on their contribution to University/Faculty/Department objectives.
- ?? Recognition and Reward schemes will also be used to attract, motivate and retain a quality workforce.

#### 5.4 Priority goals to support the Performance and Reward Strategies

Goals	Timetable	Targets	Outcomes
1. Review existing appraisal systems for academic, research, academic-related, technician and clerical/secretarial staff	2002 - 03		<ul style="list-style-type: none"> <li>- Revised Appraisal Procedures for Academic, Academic Related, Tech and UCNS staff in place 06/03</li> <li>- Revised Guidance for Appraisers in place 06/03</li> </ul>
2. Review Annual Review Process as in Section 1 (Recruitment and Retention) and non-salary incentives	2001 – 02	All staff	<ul style="list-style-type: none"> <li>- Refer to Section 1, Page 5, items 7, 8 and 10</li> </ul>
3. Devise incentive scheme for Manual Staff	2002 - 03	All manual staff	<ul style="list-style-type: none"> <li>- Incentive Scheme in place 03/03</li> <li>- Based on Productivity and Reduced Absence</li> </ul>
4. Agree Incentive Scheme and Productivity Scheme, including reduced absenteeism, with TUs for Manual Staff, and implement	2003 – 04	All manual staff	<ul style="list-style-type: none"> <li>- UNISON and Crafts Unions agree Scheme and Pilot 03/04</li> </ul>
5. Establish clear performance measures and expected outcomes for employees within Faculties/Departments and communicate	2003 – 04	All staff	<ul style="list-style-type: none"> <li>- All employees subject to Appraisal and especially new staff understand and respond positively to appraisal processes via Staff Opinion Survey</li> <li>- All staff know performance measures and outcomes associated with their post</li> </ul>
6. All staff receive annual performance feedback following appraisal	2004 onward	All staff	<ul style="list-style-type: none"> <li>- All staff are appraised annually</li> </ul>

(Additional goals with reference to development are included in Section 2)

## **6.0 SECTION 6: MANAGING UNDER-PERFORMANCE**

Addressing under-performance in the HE sector is an issue of immense importance and one which until now has not been afforded the attention it requires. For example the existing model statute dealing with the issue of 'just cause' for dismissal is recognised by universities as being an over bureaucratic and preventative mechanism when dealing with the most chronic causes of under-performance.

### **6.1 Model Statute**

Currently of course the model statute is being reviewed by universities across the sector however this is likely to be a long and arduous affair and therefore universities need to adapt their own mechanisms for dealing with the various levels of under-performance up to and including dismissal.

### **6.2 Appraisal**

As indicated in Section 5, the University is aiming to review its appraisal processes not only to align individual performance to University/Faculty/Department objectives and to recognise excellent performance and link this to reward but also to address issues of under-performance, if necessary under the University's disciplinary processes.

In reviewing the appraisal processes it has been highlighted in Section 5 that it is necessary to establish clear performance measures and outcomes for staff and to communicate these to staff so that they understand what is expected. Equally important is the issue of making managers at all levels aware of their responsibilities in tackling under-performance and this again is reflected in the University's leadership and management training programmes for Senior Officers and Heads of School (Refer to Section 2, page 18).

### **6.3 Disciplinary Procedures**

The University currently has long established disciplinary procedures in respect of each of its categories of staff and these are applied consistently by the University when the need arises. These procedures cover the entire range of offences and disciplinary sanctions including dismissal.

### **6.4 Probation**

The University has in place probationary processes for each category of staff. These probationary processes are communicated to each new member of staff during University induction sessions run by the Staff Development Department and new Deans, Heads of School and Heads of administrative departments receive formal training in the use and implementation of these procedures during their formal management training programme.

The probationary procedures in particular require University management to interact with staff frequently during the respective probationary period for each of the different categories of staff and it is here very often where under-performance is picked up and dealt with by managers under due process, which guides them on a step-by-step basis supported by the HR Department.

As indicated above the model statute which operates for academic and academic-related staff in relation to disciplinary and especially in relation to just cause for dismissal is an

extremely complicated instrument to use when confronting serious issues of under-performance. On the other hand however the probationary processes for academic and academic-related staff are less arduous and it is this instrument which enables management to remove individuals for serious under-performance issues via due process.

## **6.5 Managing Under-Performance**

Additionally this year the University has introduced a procedure for managing under-performance before it gets to the formal stages of the disciplinary process. The aim of this procedure is to enable line managers at all levels to address under-performance at an early stage. In addition it allows for systematic handling of the process on a step-by-step basis to avoid the formal disciplinary process if possible; but if not, to enter the disciplinary process better prepared and equipped with hard evidence to show that due process has been followed and opportunities given to employees to improve their performance. This procedure takes the form of best practice and also forms part of management training for new Deans, Heads of School and Heads of Administrative Departments.

## **6.6 Absence**

There are of course many different types and levels of breaches which come under the heading of under-performance. The University of Ulster includes absenteeism as such a category in managing under-performance and is currently producing a policy on managing absence in conjunction with its recognised trades unions to deal with this important issue. It is also directly linked to managing health and safety issues (refer to Section 7, Page 41). This policy will help to reduce absence overall in the University resulting in improved efficiency and employee well-being as well as saving financial resources. Again this policy will become part of the University's leadership and management training programmes and will be communicated to all staff under the University's communication strategy. It will of course require the commitment of senior management in terms of implementation and support to managers at all levels in the University but equally it will require the commitment of trade unions so that their members can see the benefits to them. Understanding and commitment is also required from trades unions to deal with the general issue of under-performance in a clear, logical, rational and equitable way and therefore a change in the University's industrial relations framework (Refer to Section 1, page 11) is needed if addressing under-performance is to be successful and contribute to the University's core strategies and its overall mission to be outstanding regional university with a national and international reputation for quality.

## **6.7 Strategic Objectives: Managing Under-Performance**

- ?? To promote the alignment of employee performance management with University and Faculty/Dept goals and priorities
- ?? To enhance leadership/management capacity at all levels of the University to support employee development, address under-performance and strengthen a commitment to service excellence

### 6.8 Priority goals to support the Managing Under-Performance Strategies

Goals	Time-table	Targets	Outcomes
1. Review the model statute for Academic and Academic-Related staff and implement accordingly	2002-onwards	All Academic and Academic-Related staff	<ul style="list-style-type: none"> <li>- Model Statute and associated Provisions are reviewed, amended, Adopted, agreed and communicated to All academic and academic- related staff</li> <li>- Increase in number of disciplinary. Cases in system for under-performance (short-term)</li> </ul>
2. Integrate performance policies and procedures into existing Induction processes for all staff	2002 – onwards	All staff	<ul style="list-style-type: none"> <li>- All staff receive and understand Information at induction on Performance measures for their post, Under-performance policies, Disciplinary procedures, probationary Procedures and consequences</li> </ul>
3. Review the industrial relations framework within the University with recognised trades unions in relation to University mission and performance issues	2002 – onwards	All Trades Unions And Senior Management	<ul style="list-style-type: none"> <li>- TUs recognise and understand UU Drive for CPD, high performance Culture and reward</li> <li>- TUs recognise zero tolerance on under-performance</li> </ul>
4. Finalise Absence Management Policy and train Management in its implementation	2002 – onwards	All Managers and HR Dept	<ul style="list-style-type: none"> <li>- Absence Management Policy in place 10/02</li> <li>- All line managers trained in Absence management as integral part Of management training (ref Section 2)</li> <li>- Absence in University reduced by 50% by 06/03</li> <li>- Absence amongst manual staff reduced by 10% by 06/03</li> </ul>
5. Communicate Absence Management Policy to staff	2002 – onwards	All Staff	<ul style="list-style-type: none"> <li>- All staff receive copy and have access To absence management policy</li> </ul>

(Additional goals ref. Development are included in Section 2)

## 7.0 SECTION 7: MANAGING HEALTH AND SAFETY

Effective management of health and safety risks helps maximise the well being and productivity of employees, stops people becoming ill or getting injured, or killed by their work and minimises the likelihood of prosecution and consequent penalties.

Over the past few years the ongoing development of the health and safety policy, organisation and arrangements in the University has established a robust structure for the management of health and safety, with clearly defined roles and responsibilities supported by statutory health and safety committees, risk assessment processes, student placement system, health and safety checklists and accident reporting and investigation. There have also been marked improvements in the provision of a range of health and safety services including occupational health, medical assessment of staff with poor attendance problems, occupational hygiene, training for managers and risk assessors, and health and safety awareness for staff at risk.

As with most best practice organisations the health and safety function is a distributed/ mainstreamed function, in that it is incorporated into normal line management activities. Thus centrally the University issues and distributes guidance, provides training and advice, in order to allow Senior Officers and Heads of School/Department and other line managers to manage health and safety issues.

### 7.1 Operating Environment

In recent years the management of health and safety in the University has itself become a more complex and demanding issue due to:

- ✍ increasing legislative standards and demands
- ✍ the increasingly litigious nature of society and a growing intolerance of risk; and
- ✍ diversification of the activities of the University, particularly with regard to research and development e.g. the establishment of Incubator companies and the Science Park

In response to these first two national issues there has been a number of recent initiatives including:

- ?? The Revitalising Health and Safety Strategy statement published by the DETR and Health and Safety Commission (HSC)
- ?? The UCEA Code of Best Practice, University Health and Safety Management
- ?? New legislation including the Fire Precautions (Workplace) Regulations and the Control of Asbestos at Work Regulations
- ?? Guidance on the Health and Safety Responsibilities of Directors issued by the HSC
- ?? HS(G) 65 Guidance on Successful Health and Safety Management
- ?? the Turnbull Report on Corporate Governance (Risk Management)
- ?? the Occupational Health Strategy for Northern Ireland

?? the Woolfe Report on Access to Justice

All of these publications serve to emphasise the importance of robust health and safety management systems to organisations with diverse operations and universities in particular clearly fall into this category. Therefore when the requirements and recommendations of these documents are considered it is clear that there are a number of areas in which improvements can be achieved within the University's health and safety management processes, and these are considered in the following paragraphs.

## **7.2 Fire Safety**

In the University environment and indeed for most organisations fire presents the greatest single risk, since it has the potential to cause multiple fatalities. Fire can cause serious financial loss much of which will not be covered by insurance. New legislation requires all employers to undertake comprehensive fire risk assessments.

Also a key step in the process of fire risk assessment requires that employees are informed, instructed and trained on fire precautions in the workplace and what to do in the event of a fire. Some categories of staff will require more extensive training where they have specific responsibilities.

## **7.3 Absence Management (Refer to section 6, Page 38)**

Sickness absence in the University currently presents a particular problem in many areas and represents a significant financial drain on resources. A managing absence policy is being developed but a systematic approach across the University requires substantial training of line management and specialist support from Health Safety Services and other Human Resources staff.

## **7.4 Health and Safety Training for Management**

A number of recent initiatives including publication of guidance on Directors health and safety responsibilities and proposals for a new offence of "corporate killing" have highlighted the need for training of managers including Senior Management, to ensure competence in managing health and safety thereby reducing the risk of exposure to legal challenge.

## **7.5 Health and Safety Coordinators**

The introduction of a system of area health and safety co-ordinators in the university in May 2000 highlighted the need for a training programme to ensure the competence of staff who have been nominated to fulfil this role. These individuals will support the management of health and safety within their Faculty/Department, enable easier access to competent advice for all staff and enhance employee participation in health and safety matters.

## **7.6 Health and Safety Committee members**

The University has a large and complex system of statutory health and safety committees representing both functional and geographical areas. Consequently there is a need to support the staff who make up the membership of these committees, particularly as effective employee participation is an essential element of the health and safety

management system. It is necessary to provide training relating to the operation of these committees for all staff involved.

#### **7.7 Employee Health and Safety Representatives**

In order to promote further co-operation between employees and management on health and safety matters employee health and safety representatives will be encouraged to undertake the more advanced training course which has recently been made available to them via Staff Development.

#### **7.8 Student Placements**

The University of Ulster, in seeking to become “a model of an outstanding regional University with a national and international reputation for quality” offers one of the most extensive range of student placement programmes within the national context. In order to improve this programme, the current system for ensuring health and safety matters are addressed, needs to be reviewed to incorporate staff concerns and to provide training to placement tutors.

#### **7.9 Asbestos Management System**

The new legislative requirements of the Control of Asbestos at Work Regulations will include the duty to manage asbestos-containing materials throughout the University estate. Compliance will entail a comprehensive asbestos survey of all premises owned or occupied by the University as part of the University’s Estates Strategy. There will also be a need to train all staff who may come into contact with asbestos containing materials as part of their work.

#### **7.10 Communication on health and safety matters**

Communication of appropriate, timely and practical occupational health and safety advice is recognised as one of the key element in a successful health and safety management system. Full use should be made of communication and information technologies as part of the University’s Communication Strategy to inform staff of health and safety developments and events within the University.

#### **7.11 Health Promotion**

In line with the Government’s Occupational Health Strategy the workplace should be used to enhance the well being of all employees. A comprehensive lifestyle screening programme targeting individuals health issues will be undertaken. In the longer term this will contribute to a reduction in sickness absence together with the implementation of the University’s Managing Absence Policy (Refer to Section 6, Page 38, para 6.6) and will aid the University’s recruitment and retention strategies (Refer to Section 1).

#### **7.12 Suggestion Scheme**

To encourage a partnership approach with employees a health and safety suggestion scheme will be introduced and examples of best practice will be promoted throughout the University.

### 7.13 **Strategic Objectives: Managing Health and Safety**

- ?? To instill health and safety considerations as core part of all strategic decisions in the University
- ?? To promote health and well-being through the continuous improvement of the University work environment

#### 7.14 Priority goals to support the managing health and safety strategies

Goals	Timetable	Targets	Outcomes
1. To ensure competence of managers including the Senior Management to manage health and safety	2002 – 2003	All managers	<ul style="list-style-type: none"> <li>- All SOs and First Line Managers including Deans/HOS, etc receive training in H&amp;S Management</li> <li>- Univ Committees and Council are aware of H&amp;S Management issues</li> <li>- H&amp;S Management embedded in Univ Risk Management Policy</li> </ul>
2. To develop the role of local health and safety co-ordinators within each area of the University	2002 – 2003	All health and safety co-ordinators	<ul style="list-style-type: none"> <li>- Univ has identified trained and competent H&amp;S Co-Ordinators in place 12/03</li> </ul>
3. To improve the operation of health and safety committees	2003 – 2004	All committee members	<ul style="list-style-type: none"> <li>- All H&amp;S Committees in Univ receive training re H&amp;S operations and their responsibility for H&amp;S (Corporate Governance)</li> </ul>
4. To encourage the employee representatives' health and safety committees	2002 – 2005	All Trade Union Health And Safety Representatives	<ul style="list-style-type: none"> <li>- Univ H&amp;S Consultative Forum to be reconstituted to allow pro-active involvement and responsibility given to TU reps</li> </ul>
5. To develop an enhanced approach to health and safety management of student placements.	2002-2004	All Student Placement Tutors	<ul style="list-style-type: none"> <li>- Placement Tutors and Faculties trained and aware of H&amp;S issues for students on placement (UK and abroad)</li> <li>- Guidelines in place</li> </ul>

**7.14 Priority goals to support the managing health and safety strategies (Contd.)**

<b>Goals</b>	<b>Timetable</b>	<b>Targets</b>	<b>Outcomes</b>
6. To establish a comprehensive fire risk assessment system	2002 – 2005	All University of Ulster buildings	<ul style="list-style-type: none"> <li>- Fire and Safety Officer recruited and Fire Risk Assessment on, inter alia, buildings and operations, to be carried out</li> <li>- Fire Safety Group established to examine all aspects of Fire Safety Mgmt</li> </ul>
7. To enhance emergency prevention, preparedness and response to fire risks for all staff	2002 – 2005	All Faculties and Departments	<ul style="list-style-type: none"> <li>- Fire Safety training for designated staff in Faculties/Departments</li> </ul>
8. To establish a comprehensive management system for asbestos containing materials	2002 –2005	All University of Ulster buildings	<ul style="list-style-type: none"> <li>- Univ Estates Strategy and H&amp;S Management agree plan for review of all UU buildings</li> </ul>
9. To increase awareness and enhance communication of health and safety issues	2002 – 2003	All staff	<ul style="list-style-type: none"> <li>- H&amp;S Website established as part of HR Website; also Staff Opinion Survey covers well-being amongst staff</li> <li>- 50% staff respond that UU is a good and safe place to work 06/03</li> <li>- 75% staff respond that UU is a good and safe place to work 06/04</li> </ul>

**7.14 Priority goals to support the managing health and safety strategies (Contd.)**

<b>Goals</b>	<b>Timetable</b>	<b>Targets</b>	<b>Outcomes</b>
9. To introduce a Lifestyle screening programme for all members of staff	2002- 2005	All staff	<ul style="list-style-type: none"> <li>- Promotion of Healthy Lifestyle including screening programmes for staff, e.g. Well Man Clinics, Cholesterol, Diet, etc for all staff</li> <li>- Reduced Absenteeism overall in University</li> </ul>
10. To introduce a scheme to promote employee participation in health and safety matters	2003 –2004	All staff	<ul style="list-style-type: none"> <li>- Promote awareness of H&amp;S in the Workplace via HR Website and H&amp;S Website</li> <li>- Survey staff on H&amp;S in the workplace and well-being</li> <li>- Examples of best practice promulgated and rewarded</li> </ul>

## **8.0 SECTION 8: MONITORING AND EVALUATION OF THE HUMAN RESOURCES STRATEGY**

This document constitutes the University of Ulster's full strategy in respect of the Rewarding and Developing Staff Initiative and therefore by its very nature it focuses on a strategy for managing human resources within the University.

Responsibility for devising and implementing this strategy rests mainly with the Human Resources Department and its partners in the Staff Development and Equality Units within the Quality and Enhancement Department.

The Human Resources Department will be primarily responsible for the effective monitoring, evaluation and revision of the strategy as the University's strategies in Teaching and Learning, Research, Business and Community Outreach, and E-Learning/Lifelong Learning, change direction over time. Obviously the Pro-Vice-Chancellors, Deans and Directors of these strategies will have a significant input into the Human Resources Strategy, and in addition the Strategic Planning Working Group and Planning Committee, both of which are chaired by the Vice-Chancellor and incorporate the Senior Officers and Deans of the University, will receive regular reports on the progress of implementation against targets. The University's Council will also receive regular reports on progress.

## APPENDIX I

### DESCRIPTION OF HR ACTIVITIES AND SERVICE PROVISION

#### **(1) Human Resource Services Section**

This section is responsible for delivering a wide variety of human resource services to Faculties and Departments. Specific roles include:

- (i) Managing recruitment**
- (ii) Providing advice on the application and interpretation of terms and conditions of employment for the various categories of staff**
- (iii) Advising on policies and practices**
- (iv) Dealing with the initial stages of disciplinary and grievance matters**
- (v) Dealing with the initial stages of Industrial Tribunal queries and applications**

#### **(2) Employee Relations Section**

This section is responsible for initiating, developing and co-ordinating policy and procedures corporately. Specific roles include:

- (i) Establishing HR policy**
- (ii) Designing, developing and maintaining reward systems**
- (iii) Handing final stage discipline and grievance matters and appeals processes**
- (iv) Managing employee relations forums and University Committees (Staff Progress Committee, Professorial Committee)**
- (v) Servicing the Management/Union consultation and negotiation process through the four JNCs and the Joint Union Consultative Forum**

#### **(3) HR Administration Section**

This section works closely with the recruitment section but it is also responsible for:

- (i) Developing and maintaining the integrated HR/Payroll system**
- (ii) In conjunction with the Salaries and Wages Department, processing the monthly and weekly payroll**
- (iii) Data capture and reporting needs for the HR Department**
- (iv) Providing management information to the Faculties/Departments**
- (v) Maintaining personnel record systems**

#### **(4) Health and Safety Services Section**

This section is responsible for:

- (i) Establishing safety structures within the University**
- (ii) Providing advice to Faculties, Schools and Departments**
- (iii) Delivering Occupational Health Services**

- (iv) **Promotion of safety awareness by helping to design appropriate training initiatives**
- (v) **Providing expert advice to Safety Committees**
- (vi) **Investigating serious accidents and recommending remedial action**

**(5) Staff Development and Equality Policy and Practice**

The development and resourcing of a successful HR strategy to enable the University to fulfil its objectives must include a Staff Development and Equality element.

**The Staff Development Unit** is located within the Quality and Enhancement function, and it is clear from the following initiatives/work that staff development is key to the success of an HR Strategy:

- (1) **HEROBC (staff development consequences)**
- (2) **Teaching and Learning Strategy: PGCUT, Subject Review**
- (3) **Research Strategy - Research Concordat (staff development issues)**
- (4) **Widening Access (staff development issues)**
- (5) **E-Learning – Lifelong Learning (staff development issues)**
- (6) **Rewarding and Developing Staff Initiative**
- (7) **Continuation Audit (staff development issues)**

**The Equality Policy and Practice Unit** is also located within the Department of Quality Assurance and Enhancement. Its main responsibilities are:

- (i) **Developing, promulgating and implementing equality and diversity policies in relation to both staff and students**
- (ii) **Ensuring that the University complies with the various statutory requirements in relation to equality, including Section 75 of the Northern Ireland Act**
- (iii) **Developing and monitoring action plans and goals and timetables in relation to equality**
- (iv) **Advising management and staff on a range of equality policies and related matters**
- (v) **Liaising with Staff Development in relation to a wide range of equality issues and topics**
- (vi) **Working with the appropriate outside agencies (e.g. Equality Commission, Opportunity Now, Employers' Forum on Disability) to ensure the University is an exemplar of best practice**

**(6) What can Faculties and Departments expect from HR?**

Within the University the HR Department must ensure that best practice HR Principles and Procedures contribute positively to all processes affecting staff. The success of the HR Department in achieving this will enable the University to develop as an organisation which is recognised regionally, nationally and internationally as a quality employer. Therefore to achieve this aim, the HR Department will work with the Faculties/Schools and Departments in a way that:

- (1) offers high quality professional HR expertise;**
- (2) is collaborative and supportive;**
- (3) models inclusive behaviour in all its activities;**
- (4) demonstrates an awareness of, and responsiveness to, the University's core business and culture;**
- (5) utilises transparent and efficient systems, regularly reviewed, to facilitate on-going improvement; and**
- (6) responds positively to new challenges.**

To achieve this the HR Department will contribute to the University's Mission through the development and integration of best practice HR Principles and Practices and to enhance both individual and organisational effectiveness; the HR Department will therefore act in accordance with a clear set of values:

**Ethical Behaviour:** to work in a manner that exhibits openness, honesty, integrity, tolerance and responsibility in all matters

**Professional Standards:** to deliver high quality HR services by staff with the appropriate qualifications, experience, knowledge, skills and abilities and who demonstrate qualities of decisiveness and creativity in their conduct

**Quality:** to establish and maintain clear measurable standards of practice, judged against the highest criteria

**Responsiveness:** to work with University staff in a way that is consultative, timely, flexible and innovative to best meet their changing needs

**Equity and Inclusivity:** to apply principles of natural justice, fairness, respect and merit to all HR issues

**Accountability:** to work to clear objectives and defined outcomes within identified resource parameters, using transparent and consistent processes, and relevant information.

### SUMMARY OF POST 1997 RECOMMENDATIONS

As staff are the University's most valuable resource we should take a more structured approach to planning, prioritising and budgeting for their development. In particular it is recommended that:

- /// corporate strategies are developed to sufficient detail to enable the assessment of the resource implications of training and development needs for specific staff groups
- /// staff development plans are formulated and documented in a co-ordinated manner by all Faculties and Departments in response to the University's corporate strategies and the operational plans
- /// roles and responsibilities for managers and academic leaders in supporting staff development activities are clarified
- /// staff development plans become a distinct part of the annual budgeting process for Faculties/Departments
- /// staff development plans are reviewed annually by Deans and Senior Officers to ensure they are appropriately resourced and support corporate priorities
- /// development of future leaders becomes an integral part of the staff development agenda
- /// an overall Staff Development Policy is agreed for communication to all staff
- /// the activities of the Staff Development Unit and the new Educational Development Unit (incorporating both the existing EDU and the Virgil Centre) are more effectively co-ordinated through more formal partnership arrangements and a revised committee structure
- /// more formal evaluation of training/development outcomes are established to ensure value for money
- /// a process of accreditation of training programmes is initiated, dependent on client demand and available awarding bodies

### **The New Staff Development Strategy (2001/02)**

This Strategy highlights key development priorities for University staff over the next three years and identifies a framework for its implementation. It will also act as a conduit to discussions and subsequent decisions about the best use of existing resources in this broad area of work across the institution.

#### **1. Introduction**

- 1.1 The institutional Staff Development Strategy is designed to support not only the Human Resources Strategy, but also all other institutional strategies such as the Learning and Teaching Strategy and the Research Strategy via a range of staff development approaches individually tailored for each of these institutional strategies.
- 1.2 The Strategy provides a vehicle for identifying, and addressing the development needs of the institution, Faculties/Schools and Departments, together with the needs of all categories of staff.
- 1.3 The Strategy itself will be subject to regular reviews in relation to its currency, emerging priorities and also the evaluation of its implementation.

#### **2. Scope and Purpose**

- 2.1 The Human Resources Strategy has already outlined the importance of the HR function to the achievement of the University's Vision and corporate plan. It also outlines the need to manage the full range of staffing issues as effectively as possible, particularly with regard to longer-term planning. The Staff Development Strategy supports the implementation of the HR Strategy.

#### **3. Definition of Terms**

- 3.1 The term 'Staff Development' in this strategy is used in its the broadest sense i.e. is **'anything that is done to maintain, enhance and develop the knowledge and skills of staff, including organisational development which assists the achievement of the University's vision and strategy 2000–2010'**.
- 3.2 This definition supports not only the more traditional forms of development such as briefing sessions, seminars, conferences and workshops, but also allows more progressive forms of development such as mentoring, work shadowing, individual advice sessions, secondments and self directed learning. As such it reinforces the concept of continuous professional development (CPD)
- 3.3 This definition also supports 'Organisational Development' which is becoming more widespread in the HE sector.

#### **4. Strategic Objectives of the Staff Development Strategy**

- 4.1 This strategy has three main objectives:

- (a) To provide a framework for allowing appropriate development opportunities that are designed to improve knowledge, skills and attitudes of staff which will enhance personal growth and the effectiveness of individuals, teams and the University in the pursuit of excellence in all of its activities and strategies.
- (b) To facilitate the process of change within the University in responding to external and internal challenges and to promote a developmental ethos.
- (c) To outline various staff development support plans for each institutional strategy

## **5. Principles of Staff Development**

- ?? The University is committed to the development of staff to enable them to become more effective in their work
- ?? The University is committed to providing development opportunities for all categories of staff
- ?? The University is committed to the provision of development on a continuing basis
- ?? Staff development activity is subjected to the same review and evaluation as all other University activity

## **6. Roles and Responsibility for Staff Development**

6.1 Responsibility for staff development occurs at three levels:

**The University:** Staff Development is an integral part of the University's strategic planning process. The University recognises that institutional excellence can only be achieved and maintained by appropriately skilled, experienced and motivated staff. Therefore the University has a responsibility to:

- (a) Resource staff development and require Faculties and Administrative Departments to provide development plans as part of the Corporate Planning Processes
- (b) Monitor and review the institutional spend on staff development activity
- (c) Establish performance indicators against which Faculties/Schools/Departments and individuals can be measured.
- (d) Provide selected and targeted development activities to support the University's Corporate Plan
- (e) Provide development in response to Government legislation

**Deans, Heads of School and Administrative Departments:** The primary responsibility for implementing this Staff Development Strategy rests with the Deans and Senior Officers. They are required to ensure that staff are provided with the necessary opportunities in accordance with the following:

- (a) New members of staff receive a thorough induction into their working environment, i.e. attend corporate Induction and progress through a Locally Tailored Induction Programme.
- (b) Identify staff development needs for individual members of staff and the Faculty/Department as a whole, using the University's appraisal schemes and the Staff Development Annual Audit Process
- (c) Implement all Staff Development Plans within their areas of responsibility and within the constraints of available resources allocated
- (d) Manage the release of staff to participate in approved development activities
- (e) Encourage performance improvement by providing formal and informal feedback on performance and by using such techniques as coaching and mentoring

- (f) Establish objectives for all development to aid the evaluation of the impact and effectiveness of staff development activities in their area of responsibility

**Individuals:** All staff have a clear responsibility to develop their skills and knowledge as a means of enhancing performance in their current and future roles. Staff, therefore are encouraged to:

- (a) plan and take ultimate responsibility for their careers
- (b) identify their needs through constructive use of appraisal and consultation with their line managers
- (c) seek opportunities to improve skills and knowledge required in their current positions
- (d) highlight to line managers if and where objectives are not being met as a result of insufficiently developed skills and knowledge

## **7. Accountability for Staff Development**

- 7.1 The Pro-Vice- Chancellor (Quality Management and Enhancement) is accountable for the extent, quality, efficiency and equitable delivery of staff development within the University of Ulster.
- 7.2 Staff development activities are reported through to all appropriate institutional committees and subsequently to Senate.
- 7.3 The Staff Development Unit keeps records of staff who have attended centrally provided development activities.
- 7.4 Faculties/Schools and Departments should include a report on their involvement in staff development activity in their annual Business Plan.

## **8. Priorities for the Long Term**

The University will support:

- ~~///~~ the professional development of leaders within the institution
- ~~///~~ staff in the context of a changing IT environment
- ~~///~~ the work of academic and other leaders / managers
- ~~///~~ the professional development of non academic staff
- ~~///~~ managers in addressing performance issues
- ~~///~~ staff who engage with the media
- ~~///~~ staff who have a role in marketing the institution
- ~~///~~ staff the professional development of researchers and lecturers
- ~~///~~ the development of commercial/business skills
- ~~///~~ the understanding of the qualifications framework
- ~~///~~ the development of entrepreneurial skills