



## HUMAN RESOURCES POLICY COMMITTEE

Wednesday 25 June 2014

### MINUTES

*Present:*

Professor Michael Arthur (Chair)  
Dame Nicola Brewer  
Professor Stephen Caddick  
Professor Richard Catlow  
Professor Mary Collins  
Professor Mary Fulbrook  
Mr Phil Harding  
Professor Graham Hart  
Mr Rex Knight  
Professor David Lomas  
Professor Alan Penn  
Professor David Price  
Professor Anthony Smith  
Professor Alan Thompson  
Professor Jo Wolff

Apologies for absence were received from: Professor Anthony Finkelstein;  
Professor Dame Hazel Genn and Professor Sir John Tooke

In attendance: Mr Gary Hawes (Secretary); Mr Geoff Lang (Director, Director, Policy and Planning, Human Resources); Mr Nigel Waugh (Director of Human Resources)

#### 23 MINUTES OF 26 MARCH 2014 MEETING

***Confirmed:***

23.1 The Minutes of the previous meeting of HRPC held on 26 March 2014, issued herewith [*HRPC Mins.15-22, 26.3.14*].

#### 24 MATTERS ARISING

**24A Pay arrangements for professorial and senior professional staff**  
[*HRPC Min.20, 26.3.14*]

***Received:***

24A.1 The note at HRPC 4-1 (13-14).

***Reported:***

24A.2 Following discussion at HRPC's previous meeting, the note at HRPC 4-1 (13-14) confirmed proposed pay award arrangements for professorial and senior professional

(grade 10) staff, including the normal maximum amount that could be granted to award exceptional contribution.

- 24A.3 HRPC was invited to endorse the recommendations for a 3% maximum performance-based award available for professorial and senior professional staff who had exceeded their agreed performance objectives in 2014-15, with a maximum of 5% available to address any remaining equal pay cases.

**Discussion:**

- 24A.4 Some members of HRPC noted that it would be helpful if Deans of Faculty could again be granted discretion, as in previous years, to consider performance-related pay awards up to a maximum of 10% exceptionally in individual cases to address any gender pay equality issues.
- 24A.5 It was agreed that the criteria and guidance around applying the A-B-C performance rating system for professorial staff needed to make it clear that an A-rating would not automatically give rise to a pay award, and that this would only be considered in cases where staff had been adjudged to have performed exceptionally against their stretching objectives. The Director of HR noted that further review development of UCL's performance management policy (see Minute 25 below) would provide an opportunity to review the performance rating system for professorial staff. In the meantime, it was agreed that a refinement to the wording of the current rating criteria would suffice to effect this clarification.

**RESOLVED:**

- 24A.6 That the proposed pay award arrangements for professorial and senior professional (grade 10) staff set out at [HRPC 4-1 \(13-14\)](#) be approved, with the proviso that Deans be granted discretion to make pay awards up to a maximum of 10% exceptionally in individual cases where this was felt to be merited, and on the basis of a clear case, to address any gender pay equality issues.
- 24A.7 That a refinement to the criteria and guidance around applying the A-B-C performance rating system for professorial staff be effected to make it clear that a performance rating of A would not automatically give rise to a pay award and that this would only be considered in cases of where staff had been adjudged to have performed exceptionally against their stretching objectives.

**ACTION: Nigel Waugh/HR colleagues**

## **25 PERFORMANCE AND DEVELOPMENT REVIEW POLICY**

**Received:**

- 25.1 The report at [HRPC 4-2 \(13-14\)](#), introduced by the Director, Policy and Planning, Human Resources.

**Reported:**

- 25.2 Following discussion of a proposed new Performance, Development and Career Planning Framework at HRPC's previous meeting on 26 March 2014, the report at [HRPC 4-2 \(13-14\)](#) indicated proposed revisions to UCL's existing PDR policy with a view to taking this forward for the next stages of consultation through the HR Management Advisory Group (HRMAG), Trade Unions and all-staff consultation.
- 25.3 Revisions had been proposed to the structure of the existing PDR policy with a view to streamlining the policy document and providing a clearer delineation of policy and

procedure in relation to staff appraisal, performance management and career development ahead of focusing on some of the more expansive elements that had been outlined in the proposed framework approach. Further details of the proposed changes to current policy were outlined in the appended analysis of the existing and revised policy and procedure, and included amongst other things:

- moving to annual appraisal for all staff;
- local determination of delegation where there were significant numbers of direct reports;
- the addition as part of the appraisal process of discussion of i) career aspirations and plans, including potential suitability for promotion and other issues which might have an impact on workforce planning; and ii) any changing circumstances, eg reasonable adjustments that may be required or different ways of working;
- the introduction of performance ratings (though not performance related pay at this time);
- addition of regular ongoing review through 1:1 or other meetings to promote performance management and development as a continuous cycle;
- addition of a section on managing performance short of expectations; and,
- revised forms, guidance and procedural flowchart.

25.4 In accordance with the recognition that improving UCL's performance management practices would require a body of phased work such as improved training and support for managers and staff, further proposed changes would be brought to and considered at future HRPC meetings, once the initial stage had been approved.

**Discussion:**

25.5 The proposed new PDR policy was broadly welcomed by HRPC. In particular, members of HRPC welcomed the proposed addition of discussion of career aspirations and plans, including readiness for and support for promotion, requests for sabbaticals or employee plans for retirement (including flexible retirement), as part of the appraisal process and as a means of helping line managers to assess broader workforce implications and succession plan implications.

25.6 Some members of HRPC felt that it would be helpful for there to be more explicit linking between the PDR policy and the UCL probation process.

25.7 It was agreed that would be crucial to consider the training and systems requirements and processes to support implementation and roll-out of the proposed new PDR policy, once the various aspects of this had been further discussed, consulted on and agreed.

25.8 In particular it was felt that training around setting SMARTer objectives would be desirable to ensure that this process was not exclusively linked to the setting of shorter-term (*ie* annual) numerically measurable objectives but also took account of the setting of more longer-term, descriptive, qualitative objectives that were more appropriate to the process of creative exploration in some disciplines and not necessarily quantifiable in the shorter term.

25.9 It would also be important as part of the further development of UCL's PDR policy to address the need for alignment between the UCL appraisal process for clinical staff and the appraisal process that was undertaken separately by the NHS hospital trusts.

25.10 It was noted that the model of regular ongoing review to promote performance management and development in both research and teaching as a continuous cycle through informal management meetings was already well established in some HEIs and were used to help to inform the front end of the staff appraisal process.

However, it was recognised that this model could have workload and time implications for managers which would prove challenging for some of the larger UCL departments.

**RESOLVED:**

- 25.11 That subject to the revision of the draft PDR policy, guidance and procedures at HRPC 4-2 (13-14) to reflect some of the points raised during HRPC's discussion, this be approved for the next stages of consultation through the HRMAG, Trade Unions and all-staff consultation.

**ACTION: Nigel Waugh/HR colleagues**

**26 RECOGNISING AND REWARDING EXCELLENCE: A STRATEGIC REVIEW**

**Received:**

- 26.1 The report at HRPC 4-3 (13-14), introduced by the Director, Policy and Planning, Human Resources.

**Reported:**

- 26.2 The report at HRPC 4-3 (13-14) invited HRPC to consider the current mechanisms for recognising and rewarding employee excellence and to discuss the proposed principles that should guide future strategy in this area. These included:
- Communicating the mechanisms already available in the pay system to reward excellent performance in a clearer reward and recognition toolkit for managers.
  - Including a performance element in the honoraria available to senior post holders and amending the current allowance which has no reference to performance.
  - The introduction of performance ratings (currently only available for professors) for all staff through the staff appraisal system. While HRPC had previously agreed that performance-related pay should not be introduced across the board at this time, it was recommended that, with effect from August 2015, C-rated staff should not receive their next annual increment.
  - Better promotion of the existing package of UCL employee benefits to all staff and potential staff alongside a review of the current package of benefits with a view to preparing and implementing a range of potential additional as part of an enhanced 'total reward' package.
  - Making total reward statements available to all UCL employees, publicising the value of the total UCL reward package (e.g. including base pay, allowances, pension benefits, childcare vouchers, sick leave, life cover, annual leave and consultancy leave etc.).
  - Introduction of a new voluntary healthcare scheme providing cover to staff at highly preferential rates.
  - Introduction of a new Provost's Excellence Award Scheme, either as a stand-alone scheme with a separate annual or by combining this with other existing award ceremonies into a single annual event.
  - Development of a cohesive UCL reward strategy document, outlining a series of principles for reward and recognition for staff.

**Discussion:**

- 26.3 While a number of members of HRPC expressed support for the recommendation to introduce a policy of withholding annual increments for C-rated staff, it was recognised that this would highlight the importance of efforts to ensure that there was

- greater consistency in the process of objective setting as part of the staff appraisal process across UCL.
- 26.4 Although the introduction of performance ratings for all staff which had been proposed as part of the new PDR policy would help to mitigate the risk of equal pay disputes arising from the linking of staff performance to the withholding of automatic annual increments, it was agreed that in the interim it would be desirable to undertake an impact assessment of this policy proposal in order to ensure that it would not give rise to any issues around inequality and gender imbalance given that this would affect only the proportion (57%) of UCL staff in grades 1-9 who currently benefitted from incremental progression.
- 26.5 In welcoming the proposal to introduce a performance element in the honoraria available to senior post holders alongside amending the current allowance which had no linkage to performance, HRPC agreed that it would be important to send the message that senior staff in leadership positions would also be managed on their performance. Accordingly, it was agreed that a proposal outlining a revised performance-related honoraria scheme for senior post holders should be received at a future meeting of HRPC.
- 26.6 It was agreed that it would be useful to receive at a future meeting of HRPC benchmarking data comparing UCL to other HEIs on pay and reward.
- 26.7 HRPC expressed its support for the introduction of a new Provost's Excellence Award Scheme as a stand-alone initiative with a separate annual event to recognise award winners. Some members of HRPC queried, however, if the proposed limit of three nominations per Faculty would be too restrictive in not catering for the range and size of UCL and reflecting its diversity, although it was recognised that some limit on the number of nominations would be necessary.
- 26.8 There were mixed views among members of HRPC regarding the proposed introduction of a new healthcare scheme providing cover to staff at highly preferential rates. While some members of HRPC welcomed this, others expressed concern that UCL should not be seen to be undermining or failing to support the NHS by offering its own healthcare scheme. It was noted that this would be the subject of a separate paper that would be submitted to HRPC in due course.

**RESOLVED:**

- 26.9 That the guiding principles and proposed actions outlined in section 3 of HRPC 4-3 (13-14) be approved and taken forward by HR colleagues, taking into account the various points raised by HRPC during discussion at Minutes 26.3-26.8 above.

**ACTION: Nigel Waugh/HR colleagues**

**27 ACADEMIC PROMOTION AND REWARD REVIEW GROUP**

**Received:**

- 27.1 The note at HRPC 4-4 (13-14).

**Reported:**

- 27.2 HRPC had previously agreed in principle to the desirability of a process of consultation on a change in UCL's academic career structure to reduce the number of rank titles from four to three. Accordingly, at the request of the Provost, and under the chairmanship of the Vice-Provost (Education), an Academic Promotion and Reward

Group had been established to review UCL's academic promotion and reward structures.

- 27.3 The report at HRPC 4-4 (13-14) set out a proposed phased timetable for this task and the consultation process, commencing June 2014, with a view to formal proposal for change being produced by February 2015.

## **28 UCL FUTURE LEADERS PROGRAMME FOR ACADEMIC STAFF**

### ***Received:***

- 28.1 The note at HRPC 4-5 (13-14).

### ***Reported:***

- 28.2 Following the success of the Future Leaders Programme, which was developed by SLMS in partnership with HR in 2013 and piloted in SLMS during 2014, consideration was being given to rolling this out more broadly across SLMS and other UCL faculties that had expressed an interest in nominating participants to join the Programme.
- 28.3 Under the current user pays model for the provision of leadership development, each participating faculty would be responsible for funding the participation of their staff in the Programme.

### ***Discussion:***

- 28.3 In commending the UCL Future Leaders Programme for Academic staff and welcoming the rolling out of the Programme more broadly within UCL in principle, HRPC noted that it would be helpful to receive a brief paper at one of its future meetings setting out recommendations for this and clarifying the funding implications that would be associated with this and the further development of the programme. Other considerations for the rolling out of the Programme would be group sizes and staff time commitment issues.

### ***RESOLVED:***

- 28.4 That HRPC receive at a future meeting a brief paper setting out recommendations for rolling out the UCL Future Leaders Programme for Academic staff more broadly within UCL and clarifying the funding implications that would be associated with this and the further development of the programme.

**ACTION: Nigel Waugh/HR colleagues**

## **29 DATES OF MEETINGS 2014-15**

### ***Noted:***

- 29.1 Dates of meetings of HRPC in the 2014-15 session are in the process of being agreed and will be confirmed to members in due course.

GARY HAWES

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17 September 2014