Lancaster University

Leadership and Management Induction Guide

Welcome!

How to use this guide

This Guide has been developed to support academic and professional services leaders and managers to feel effective in their role and to feel supported, with appropriate signposts for further information and support.

The Guide is intended to do two things:

- support your early orientation into role, whether you're an internal or external appointee, in order to ensure your smooth integration into role; and
- to act as a key point of reference not just early in your term, but also beyond.

The Guide is not intended to replace or replicate existing induction processes or guides, but brings relevent information into the same area, as well as complementing and supplementing it.

You should use this guide alongside other interventions and materials that support your intergration into your role.

The Guide will be updated periodically, and your feedback on its value and your ideas on content are welcomed. Please get in touch with **Organisational Development** to provide feeback.

Useful Links

Information for New Starters	HR Contact

Your Role and the Bigger Picture

It is important that you see your role in the bigger picture of the Strategic Plan for the University and the values and underlying aims within the People and Culture Plan.

The **Strategic Plan for 2021-2026** sets out the following vision:

'Our Vision is to be a university that is globally significant - a sector leader and innovator that delivers the highest quality research, teaching and student experience, and that engages locally, nationally, and internationally.'

And three strategic priorities:

- Research that transforms practice and thinking
- Teaching and learning that transforms people's lives and society
- Engage actively with our communities to transform wider society

Take time to read the full **Strategic Plan 2021-2026**

The **People and Culture Plan** recognises that our people shape what the University is able to achieve. It is about ensuring we have the right people, in the right place with the right culture to ensure the success of the University's Strategic Plan.

The People and Culture Plan is framed around our three values:

- We build strong communities by working effectively together in a supportive way

- We respect each other by being open and fair and promoting diversity

- We create positive change by being ambitious in our learning, expertise and action

Under each value there are three key aims.

Of particular relevance for our leaders and managers is the following aim that comes under the value of Building Strong Communities:

1.1 Lead engaged, effective and flexible teams by:

• Enabling leaders and managers at Lancaster University to develop and respond effectively to the future and growing expectations placed upon them

• Supporting each other to connect - enabling and forging connections, forming agile and adaptable teams, adopting values-led behaviours and appreciation between team members and between teams

• Increasing the importance of a consistently strong employee experience

As a leader/manager you will make a key contribution to this aim being reached.

Our People & Culture plan for sustainable and transformative change

Familarise yourself with the **People and Culture plan** and find out about the local plans that are being put in place for your department/division to help achieve the vision and aspirations of the plan.

Other values and aims from the People and Culture Plan are woven into relevant sections within this guide.

Your first 100 days

Introduction

Planning the first period in your new role will help you to establish yourself in the role efficiently and effectively. It will also accelerate your learning and orientation to the University, and help you to feel more control over your first priorities and to confirm where your focus and attention needs to be.

Planning by nature, is an investment and one that should yield returns when done effectively. It is recommended that you take the time to create a clear plan for yourself.

Whether or not to communicate your plan to others is up to you, but you may want to share parts of your plan with your line manager, your team and other colleagues.

The following section gives some guidance on how you might approach your planning, and also recommends things that you should do. This is not an exhaustive checklist of activities, but is there to help you.

Start early

Orientate yourself

Your first 100 days

Manage yourself

Plan, deliver & review

Listen & understand

Start early

You don't have to wait until your first day. Your planning can begin before you even take up your new role. Opportunities might include making contact with your new line manager, coming to visit the University or doing some background reading.

> **If you are succeeding somebody into the role and have an opportunity to spend time with them, take it.**

Orientate yourself

Get to know the University, its strategy, culture and values. Walk around the University and observe how it feels and functions.

Listen and understand

> **Engage with others and take the time to establish new relationships**

You will have a lot to learn in the first few months and one of the best ways to learn is to talk with people to understand their perspectives, priorities and issues, and also their expectations of you. Deciding who your key stakeholders are should be a priority.

People will need to feel comfortable enough to be open with you, so try to be aware of any cultural sensitivities and avoid drawing any hasty conclusions.

Spend time with your line manager, your team (collectively and individually), your peers and any other key stakeholders that are suggested to you. Of course this may also include people who are external to the University.

For example:
As an academic leader meet with other **Academic Heads of Department**, whether these be inside or outside of your faculty.

A significant relationship will be that with your **Departmental Officer** who will be able to smooth your transition into role.

> **Listen, understand and build trust**

As a Professional Services manager meet with your line manager and your teams. Identify and reach out to other managers undertaking a similar role to your own.

Meet your **Professional Services partners**.

> **Secure some 'early wins' which will help you gain momentum and establish yourself**

Plan, deliver and review

Having gained some understanding of the priorities and issues it is time to make a plan and document it. Don't think of this as a static document, but a live document that will evolve and can be adapted and supplemented as you learn more.

> **Set the direction for your team and communicate your vision and priorities, as well as how you will move forward as a team**

- Think about your plan in terms of short, medium and long-term actions.

- Confirm your priorities and objectives with your new line manager.

- Deliver what you promise.

> **Set review points so that you can assess that your priorities and actions are the right ones and that you are on track**

Manage yourself

Take time to consider your approach and style, and to assess how you feel - what has gone well, and what hasn't gone so well. Consider seeking early feedback from your line manager, team or colleagues about their perceptions.

In this period, you should also begin to think about your own continuing personal and professional development. If you are new to the University make sure you have completed the **four mandatory training courses**. If you had a previous role at the University, make sure you are up to date with the mandatory training requirements. (See also the Developing you as a Leader and Manager section of this Guide.)

Take time for regular self-reflection

Quick Links

Finance Partner

HR Partner

Day 0 to Day 10 - Orientate Yourself

- **Visit the University**
- **Meet your new line manager and team members**
- **Meet your predecessor if they are still available**
- **Undertake background reading**

Day 1 to Day 30 - Listen and Understand

- **Meet key stakeholders, including your line manager, peers, members of your team and other partners**
- **Establish relationships and build trust**
- **Understand the expectations of you**

Day 20 to Day 70 - Plan and Deliver

- **Start planning - develop and agree short, medium and long-term goals and objectives**
- **Secure 'early wins'**
- **Set the direction for your team and communicate your vision and priorties**
- **Focus on your early development needs**

Day 50 to Day 100 - Review and Manage Yourself

- **Review your plan and adjust as necessary**
- **Take time for reflection and seek early feedback from stakeholders**
- **Establish plan for continuing professional and personal development**

Tools to support early planning

The following are a few tools that you may find beneficial in supporting your early planning and more detailed strategic planing.

The tools can also be used to support your engagement with others, to enable a collective understanding of the current position and required goals and objectives.

PESTLE Analysis

PESTLE Analysis is a tool for understanding the external context that an organisation operates in. PESTLE factors can be classified as opportunities or threats in a SWOT analysis.

- **Political Factors:** These include government regulations, current and future legislation, regulatory bodies, government policies, funding, grants and initiatives.
- **Economic Factors:** These include the home and international economic situation and trends.
- **Social Factors:** These include population growth, demographics, lifestyle trends, consumer attitudes and opinions and ethical issues.
- **Technological Factors:** These include maturing or replacement technology and solutions, consumer buying mechanisms, technology access, research funding and intellectual property issues.
- **Legal Factors:** Changes to legislation impacting employment, access to materials, quotas, resources, imports/exports and taxation.
- **Environmental Factors:** Climate Change has increased the need to switch to sustainable resources; ethical sources (both locally and nationally), including supply chain intelligence, pandemics and other emergencies.

SWOT Analysis

A SWOT Analysis is a tool that helps in capturing and understanding the strengths, weaknesses, opportunities and threats of an organisation, department or project. Strengths and weaknesses are usualy internal to the organisation, while opportunities and threats are usually external.

Critical Success Factors (CSFs)

CSFs are the essential areas of activity that must be performed well if you are to achieve the vision, objectives or goals for your department.

CSFs create a common point of reference to help you direct and measure success and to help everybody in the team to understand what their focus needs to be.

The University, its structure and governance

Introduction

As a leader and/or manager in the University, you contribute to ensuring that the University meets its governance and legal obligations.

The following section provides an overview of the University's governance structure and sign posts where you can find more information.
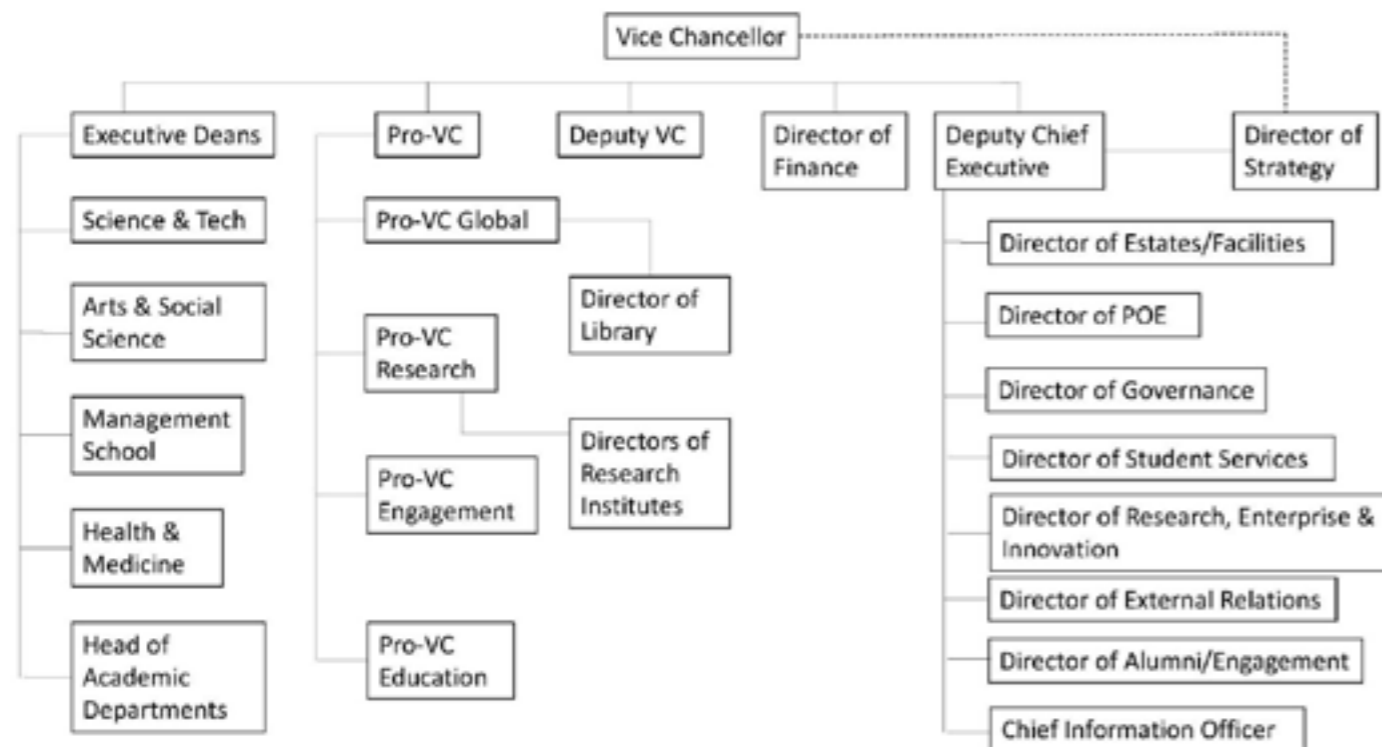
What is Lancaster University?

Lancaster University was established by Royal Charter in 1964. The Charter is underpinned by Statutes and Ordinances.

The University's purpose is to advance knowledge, wisdom and understanding by teaching and research and by the example and influence of its corporate life.

The University has power to award its own degrees.

What is the structure of the University?

There are a number of components in the structure of the University:

- Council is the governing body
- Senate is responsible for the academic work of the University
- Executive management is led by the Vice Chancellor under formal delegations from Council

What is the role of Council?

The code of Governance identifies six primary elements to provide the basis for good governance in the UK Higher Education (HE) sector:

- Accountability
- Sustainability
- Reputation
- Equality, inclusivity and diversity
- Effectiveness
- Engagement

LU Sub-committees

For further information on each element and to view the values within the code and the Nolan Principles of Public Life visit: **HE Code of Governance**

Council is supported by sub-committees that undertake delegated responsibilities and/or detailed work on behalf of Council. Some of these committees are a requirement within the sector e.g. Audit Committee.

What is the role of Senate?

The Senate is the academic authority of the University and has primary responsibility for the academic work of the University, both in teaching and in research, and for the regulation and superintendence of the education and discipline of the students of the University. Senate is defined by the Charter, Statutes and Ordinances.

Developing you as a Leader and Manager

Taking time to invest in your continuing professional and personal development will not only make you more effective in your role, but will further develop your management and leadership skills.

Introduction

The following section outlines some of the development support that is available to you. You should also allow time for more informal development activities.

The University's Organisational Development team (OD) supports the professional and career development of Lancaster staff.

Mandatory Training

The University Executive Board (UEB) has determined that all staff need to complete the following mandatory training courses:

- **Information Security**
- **Equality, Diversity and Inclusion**
- **Health and Safety**
- **Mental Health Awareness**

If you are new to the University, you will need to complete the Information Security and Health and Safety training courses within your first week of appointment. Equality, Diversity and Inclusion and Mental Health Awareness training will need to be completed within your first three months.

If you are an internal appointment, then make sure that your mandatory training is up to date. Information Security needs to be refreshed every two years and the other courses every three years.

There is a mandatory training report within People XD (HR records system) that shows compliance with these requirements for yourself and of those that you line manage. Check your team is up to date too!

Expectations of you as a University Leader and/or Manager

There are many crossovers between the role of the manager and that of a leader. Review these expectations in the light of your role and those that are relevant for you.

- Build trust and long-term relationships with a variety of stakeholders
- Build positive networks, internally and externally
- Be collaborative and recognised as a team player
- Take an interest in staff and be sensitive to their needs
- Be able to articulate a clear vision and strategy
- Communicate goals and objectives clearly to staff so misunderstandings are rare
- Provide staff with opportunities to ask questions and state their views
- Support staff in turning strategies into workable plans
- Actively listen to staff concerns and act on them, where appropriate
- Keep staff informed of what is happening across the wider organisation
- Be able to communicate at an emotional level, understand emotions and emotional situations
- Give and receive feedback
- Foster a 'no blame' culture
- Seek advice where others have more experience

Planning your development

The following are tips to help you to plan your development. This should be done in conjunction with your line manager and others who can support you, for example **OD**.

1. Take ownership of your personal, professional and career development
2. Focus on the skills and competencies you need for your current and potential future roles
3. Discuss, clarify and agree development progress and career aspirations with your Line Manager
4. Think about your development needs in terms of both 'the what' or task objectives, and 'the how' or behavioural objectives
5. Seek feedback on all aspects of your performance, from a range of people, and discuss and review your development on a regular and ongoing basis
6. Make your development plan a 'live' document and refine it when you need to

Reflecting on your development

We learn much from our experiences. Taking time to reflect on these experiences will enable you to maximise your learning.

Reflective practice is a skill that will need to be practiced if you are new to it. It requires you to critically evaluate what you did, why you did it, what you learned, and what, if anything, you will do differently next time.

You should capture your experiences as part of your reflective practice. Additionally, talking about your experiences, for example with a mentor or coach, can also help you to increase your learning.

You can read more about reflective practice in the following document:
A guide to planning your professional and personal development.

Your continuing professional development

Formal Development

The OD website provides information to support your continuing professional development (CPD), which will help you to build your own skills.

The University offers a comprehensive suite of development interventions to support your CPD, which include programmes targeted at leaders and managers, academics, researchers, professional services and technical members of staff.

**Leadership and Management Development**

Anyone new to managing at Lancaster University, whether internally promoted or an external appointment, will be invited onto the **Manager Induction Programme.** This sets the scene to managing in the Lancaster University incorporating a number of workshops that are contextualized to the University.

As a Leader or Manager, the following programmes may be relevant:

- **Bonington Leadership Development Programme**
- **Leader@Lancaster**
- **Manager@Lancaster**
- **Project Management**

For further information about each programme, visit the leadership and management section of the **OD website**.

There are also some online bite-size **management resources** available, which can be invaluable as a first point of call or to refresh your skills.
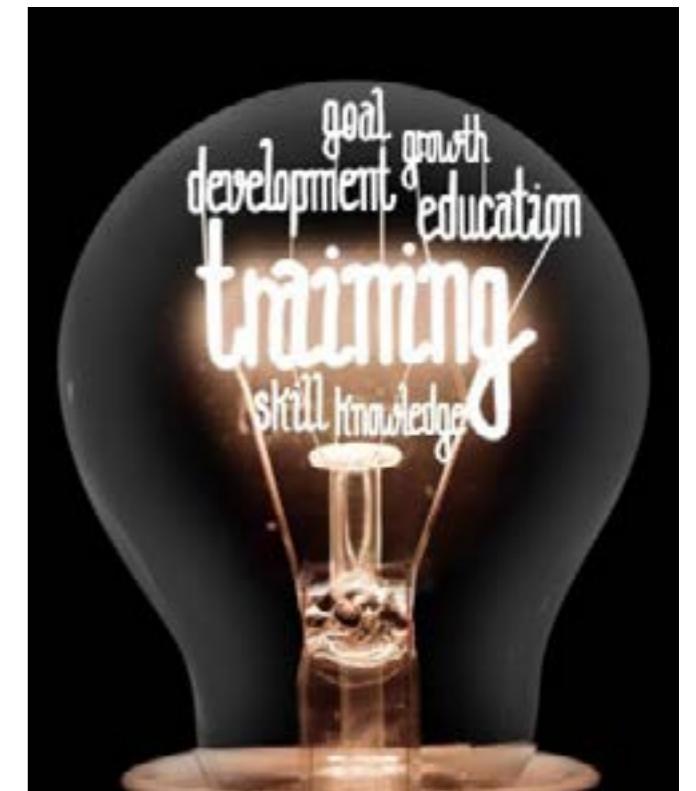
Coaching and Mentoring

An **internal coaching** network is available to all members of staff.

Mentoring is arranged locally and OD have **mentoring resources**, including a handbook to support a mentoring relationship.

Informal Development

As well as taking advantage of the many formal learning and development opportunities that the University can provide and support, you should also think about how you might develop your skills through more informal development routes.

Consider including some of the following approaches in your development plan:

1. On-the-job experiences that you can take advantage of
2. 'Stretch' activities or projects
3. Activities that maintain and develop your technical and professional skills
4. Building your professional network, internally and externally

Resourcing your team

Lancaster's vision is to be a University that is globally significant. To achieve this ambition we must focus on attracting, developing and retaining the best staff to work with us, drawing on their strengths. Increased staff diversity can be achieved through ensuring that EDI best practice is embedded into the recruitment process.

Introduction

As a leader and/or manager you are responsible for resourcing your team. This includes:

- Recruiting staff consistent with the University's **Recruitment and Selection Guidance.**
- Effectively and efficiently on-boarding and inducting new members of your team.
- Managing the departure of employees from the University

Dependent upon your role, you may also be responsible for ensuring, through the University's Planning Process, that you clearly identify the roles required for the future to support delivery of departmental, faculty and University goals.

Recruitment

Recruitment Policies

The University is committed to fair and transparent recruitment and selection that encourages wide ranging and diverse applicants that can contribute to its continuing success.

The **Recruitment and Selection Guidance** encourages best practice in recruitment and selection at the University, and advises those responsible for recruitment of their obligations.

This includes advice and guidance on:

• Establishing the vacancy
• Advertising the role
• Managing applications and shortlisting
• Determining the selection panel
• Managing selection
• Using references

Before commencing recruitment, you should:

• Consider possible alternatives to satisfying the need
• Consider the range of resourcing solutions available to you, including permanent and temporary recruitment
• Have a clear role description and person specification
• Have a role that is evaluated
• Have funding in place
• Have approval to proceed

The university provides a **Recruiting the Best workshop**. It aims to ensure that all candidates have a positive and equitable experience at all stages of the recruitment and selection process.

Panel chairs are required to attend the **Recruiting the Best workshop**. The workshops are held throughout the year. Panel chairs that have previously attended a workshop are required to take the **Recruiting the Best online refresher course** every three years to be kept abreast of best practice and legislative changes.

Panel members can participate in Recruiting the Best training in one of two ways. They can either attend the Recruiting the Best workshop, if places are available, or they can complete the **Recruiting the Best online refresher course** as an alternative.

The refresher online training is to be completed every three years to be kept abreast of best practice and legislative changes.

Structured information to guide you through the recruitment process is available on the **Recruitment Intranet pages** or via your **HR Advisor**.

Apprenticeships

An apprenticeship is a job with an accompanying skills development programme, that can last between a minimum of one year to four years depending on the type and level of the programme.

The University is committed to increasing the number of apprentices it has, and all roles advertised at Grades 2 to 4 must be apprenticeships, unless a good rationale for an exemption can be provided.

As a manager, you are also encouraged to consider apprenticeships for both new and existing roles beyond Grades 2 to 4, as they offer a unique way to 'grow your own' talent as on-the-job learning provides a real understanding of working at the University, combining practical skills with theoretical knowledge.

More information on apprenticeships is available on the **Apprenticeship Intranet pages**, or via your **HR Advisor.**

New Employee Induction

Induction is the process of integrating new employees into the University and your department. The process can start as soon as a candidate's appointment is confirmed, prior to the new member of staff joining your team.

Induction is not a one-off event but should be an on-going process of formal and informal activities, all designed to support an individual's orientation into their role, department and organisation and has several benefits:

• Engages employees early
• Builds trust and enables communication
• Helps the employee to be effective more quickly

The **New Staff Welcome internet pages** has information for new starters, including things to be done before they start, on their first day, first week and more general information useful for new starters. A new starter induction checklist is also included.

In addition, it is expected that there will be departmental/divisional and team induction activities. These will be more specific to the job role.

Key Staff Induction Activities

Send an introductory email with helpful reading material	Arrange work area and IT equipment. Arrange IT access to be in place on 1st day	Assign a colleague to act as a 'buddy' to the new team member
	Communicate to the wider team to let them know about the new team member	Plan and arrange activities for the first week including meetings with key people

Resignation and Retirement

When you manage a team you will inevitably deal with people leaving the University. The following two sections describe how to manage resignations and retirements.

You should manage resignation and retirement requests using the **PeopleXD Manager Dashboard**. (See also section in this guide on Management Information Systems.)

Resignation

Any member of staff wishing to resign should put this in writing to you stating the date they wish to leave, taking account of their contractual notice periods.

A member of staff may wish to negotiate a reduced notice period, and any decision regarding this will be at your discretion, taking account of business needs.

Retirement

There is no compulsory retirement age in the UK. Staff are encouraged to discuss their plans with their manager to enable forward planning, and any member of staff thinking about retirement should be supported to attend any Retirement Planning Workshops.

Leavers

For more information about Leaving the University, please use the **Leaving the University Intranet Pages**.

Managing your team's performance

People perform at their best when they understand what is expected of them, and when they are given open, honest and ongoing feedback that recognises their performance

Introduction

As a manager you are responsible for having regular and ongoing performance and development based conversations with members of your team.

This includes:
- Setting objectives
- Making time for regular conversations
- Supporting employees to perform at their best and to develop their careers
- Dealing with situations where performance falls below expectation

The following section is designed to help you get the most out of the performance and development conversations that you have with members of your team.

Performance Development Reviews (PDRs)

A Performance Development Review (PDR) should be conducted annually. For senior managers the PDR takes place between 1st April and 31st May. All other PDRs should be conducted between 1st June and 30th September.

The success of PDRs relies on both line managers and team members having high quality, professional conversations which support an individual's performance and development.

Conversations should not be an isolated once a-year formality, but rather a continuing conversation designed to provide clarity, purpose and support to individuals.

The University has a **comprehensive support package** for both line managers and individuals that provides guidance and training for both the formal PDR process, and for having continuing quality conversations.

PDR Guidance

The dedicated PDR webpages provide managers and individuals in having a high value review. It includes information on the University's PDR policy, with guildines for how to set good objectives and how to identify training and development needs.

Quick Links

PDR Policy, Guidance and Training

PDR Webpages

High quality performance and development conversations

High quality performance and development conversations will:
- ensure that you and your team stay on track
- enable you to provide additional support or development, where required
- enable you to work collaboratively with your team
- develop and strengthen your relationship with individuals
- help you to get to know your team members better, individually and collectively: their strengths, motivations, concerns, health and well-being
- increase your teams levels of engagement
- enable you to celebrate individual and team successes

Regardless of whether performance is high or needs improvement, a high-quality conversation means:
- preparing to provide clarity and structure
- providing opportunity for a two-way conversation
- listening and clarifying your understanding, and being balanced and objective
- being open, honest, supportive and constructive, providing specific examples
- being realistic
- helping to create a real plan of action

When performance falls below expectations

There may be times when an individual's performance falls below expectations. This could be for many reasons, including insufficient training, work relationships and personal issues. It is important that you address performance concerns promptly and sensitively. Whilst this might feel daunting, an annual PDR should never be the first discussion that has taken place about performance concerns.

A difficult performance conversation should be the same as any high-quality performance and development conversation.

To effectively manage the conversation your focus needs to be:
- on acting promptly so that you can work with the individual to put appropriate solutions in place
- on preparing for the discussion using real examples
- on thinking about the questions that you want to ask
- considered when and where the conversation should take place
- thoughtful about the way you communicate
- managing the meeting effectively, taking breaks if you need to
- on having a follow-up plan of action.

Features of an effective conversation

- Use open questions more often than closed questions.
- Summarise often.
- Resist giving advice too quickly.
- Try to help the individual to reframe the issues and see different perspectives – this can be done through questioning.
- Ensure that there is a balance between exploring the issues and moving forward.
- 'Tune in' to understand and read emotions as well as facts.
- Be careful not to over question – it is important that people do not feel as though they are being interrogated!
- Build on what the individual is actually saying rather than always asking new questions. This involves active listening.
- Pick up on non-verbal cues as well as the words – start to feel comfortable voicing your observations of this.
- Don't be afraid of silence.

Managing Difficult Conversations training is scheduled regularly and can help with these conversations.

Using the Capability Procedure

The University's Capability Procedure should be used to discuss concerns about performance either informally or formally, and guidance can be sought on this from your HR contact.

Quick Links

University's Capability Procedure

HR Partnering Team

Capability Performance Improvement Plan Template
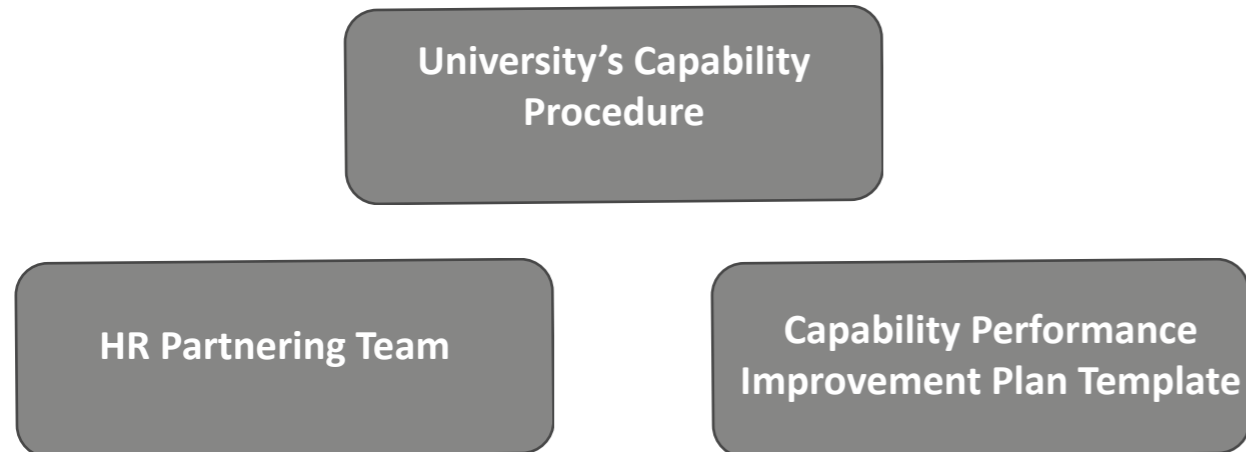
Developing, engaging and supporting your team

Introduction

As a line manager you have an important role to play in the development of your team members, and have the greatest influence on their engagement with the University.

This section deals with the approaches and interventions you can make in supporting the development and aspirations of your team members. It also deals with how you can further support individuals through the way that you engage with them, through regular dialogue, feedback and coaching conversations.

These strategies will enhance your relationship with team members, their development in their current and future roles, and their performance.

Identifying training and development needs

Formal Development

Formal development planning is normally (but not exclusively) addressed during the PDR process.

The University offers a comprehensive suite of development interventions to support the development needs of your team members, which include programmes targeted at academic, professional services and technical members of staff.

The University also offers a number of development opportunities that result in qualifications, certifications or are accredited. These comprise both academic qualifications and apprenticeships.
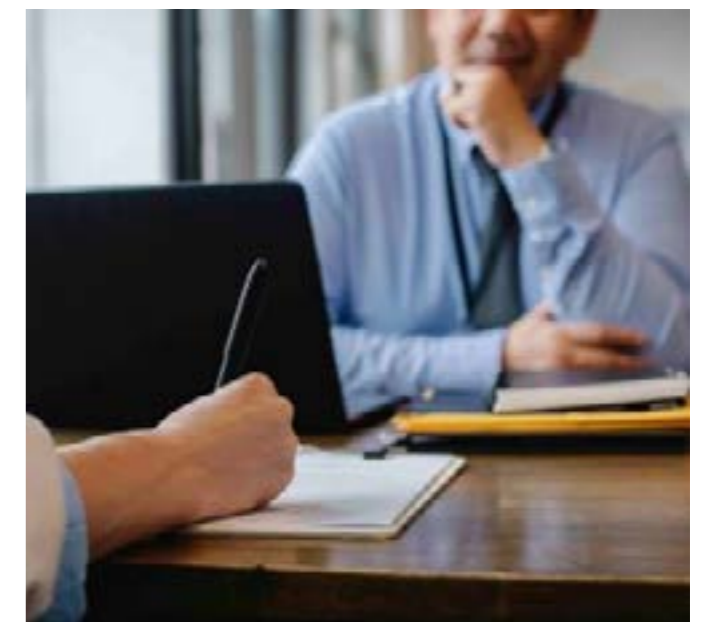
On-the-job Development

As well as formal development, well planned on-the-job development can be highly rewarding in developing an employee's skills in real situations and environments.

With appropriate feedback and reflection, these experiences can often be more effective than attendance on a formal training programme, or can enhance learning from a formal programme.

The table below is designed to help prompt thinking about the types of on-the-job development that can be undertaken.

Area for Development	Possible Solutions
Access to best practice and expertise	• Spend time with a recognised expert • Job shadow a co-worker to learn new skills
Building and managing relationships	• Work with people from another faculty or department • Work with people at different levels of seniority in the University • Work with different customers, suppliers or co-workers • Be a mentor to another colleague or be mentored by another
Expanding a role to support development into potential roles	• Increase role responsibilities • Fill in temporarily for a more senior member of staff • Take part in a University Project • Undertake a challenging project
Developing confidence	• Design and deliver a presentation to colleagues • Lead the response to a crisis at work • Make a decision outside of normal job scope or area of expertise

Engaging employees

Research shows that engaged employees are happier, healthier and more fulfilled, are more motivated and deliver improved performance.
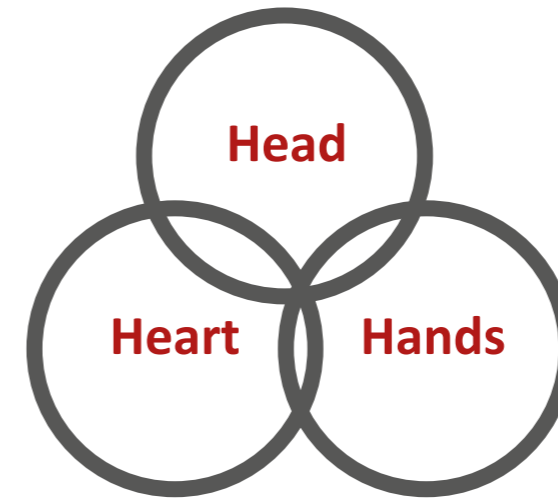
Effective approaches will engage individuals intellectually, emotionally and actively.

• **HEAD**: intellectual and logical engagement – thinking about the job and how to do it better
• **HEART**: emotional engagement – feeling positively about work and doing a good job
• **HAND**: active engagement – taking opportunities to be involved in making improvements at work

Your role as a manager/leader is to lead and facilitate the effective engagement of your staff. Following are some approaches that you can consider taking to support the engagement of your team.

Having Coaching Conversations

> "Coaching is unlocking a person's potential to maximise their own performance. It is helping them to learn rather than teaching them".
> John Whitmore

Think about the type of conversations you have with your team members. As a leader there is always the temptation to try and help somebody by fixing the problem or by directing them on what to do. Coaching conversations are focused on empowering individuals to take ownership and responsibility of an issue, and to work out how to solve it themselves.

Your role is to guide and enable them.

Coaching conversations can happen at any time. They are beneficial to individuals at whatever level they are in the organisation.

Below are some tips for how you can start a coaching conversation when somebody approaches you with a problem or issue.

- "Let's look at it together – describe the problem to me".
- "Let's look at the options – what are they?".
- "What about telling me what you think?".
- "OK so if you do that what will be the implications?".
- "It sounds good to me – so what are you going to do and when?".

To further develop your skills in coaching, take a look at the University's development offerings for coaching skills (refer also to section Developing you as a leader).

> **A more effective intervention to develop an individual's confidence and capability is to invest in coaching conversations. For more information and to experience coaching _click here_.**

Promoting the Wellbeing of your team

As a manager you have an important role in helping to promote the wellbeing of your staff. There are a number of preventative health and wellbeing initiatives in place and many of these are highlighted within the **Staff wellbeing webpages.**

Employee Assistance Programme (EAP)

The University's EAP provides professional support that helps employees deal with personal, work related, debt and legal problems that might adversely impact their work performance, health and well-being.

There is also an EAP management support number, which is **0800 111 6385.**

The EAP is a confidential service, and employees are able to make direct contact with the University's EAP provider.

> **Employee Assistance Programme**

Occupational Health

Occupational Health relates to how the working environment can affect an employee's health and equally how an employee's health can affect their ability to do their job. The emphasis is on preventing ill health at work and promoting good health.

The University's Occupational Health service provides:

• Health assessments and fitness for work advice
• Pre-employment health assessments
• Advice regarding work place adjustment as a result of disability
• Advice on ill-health, sickness absence or ill-health retirement
• Surveillance of an employee's health in relation to their work e.g. hearing tests for those exposed to excessive noise levels; lung function tests for those who work with respiratory sensitisers.
• Specialist advice on Display Screen Equipment assessments

Your Legal Responsibilities

As a manager you have a very important contribution to make, not only in the day-to-day management of people and operations, but also in the implementation of University policies and procedures, and in ensuring that the University complies with the legal frameworks within which it operates.
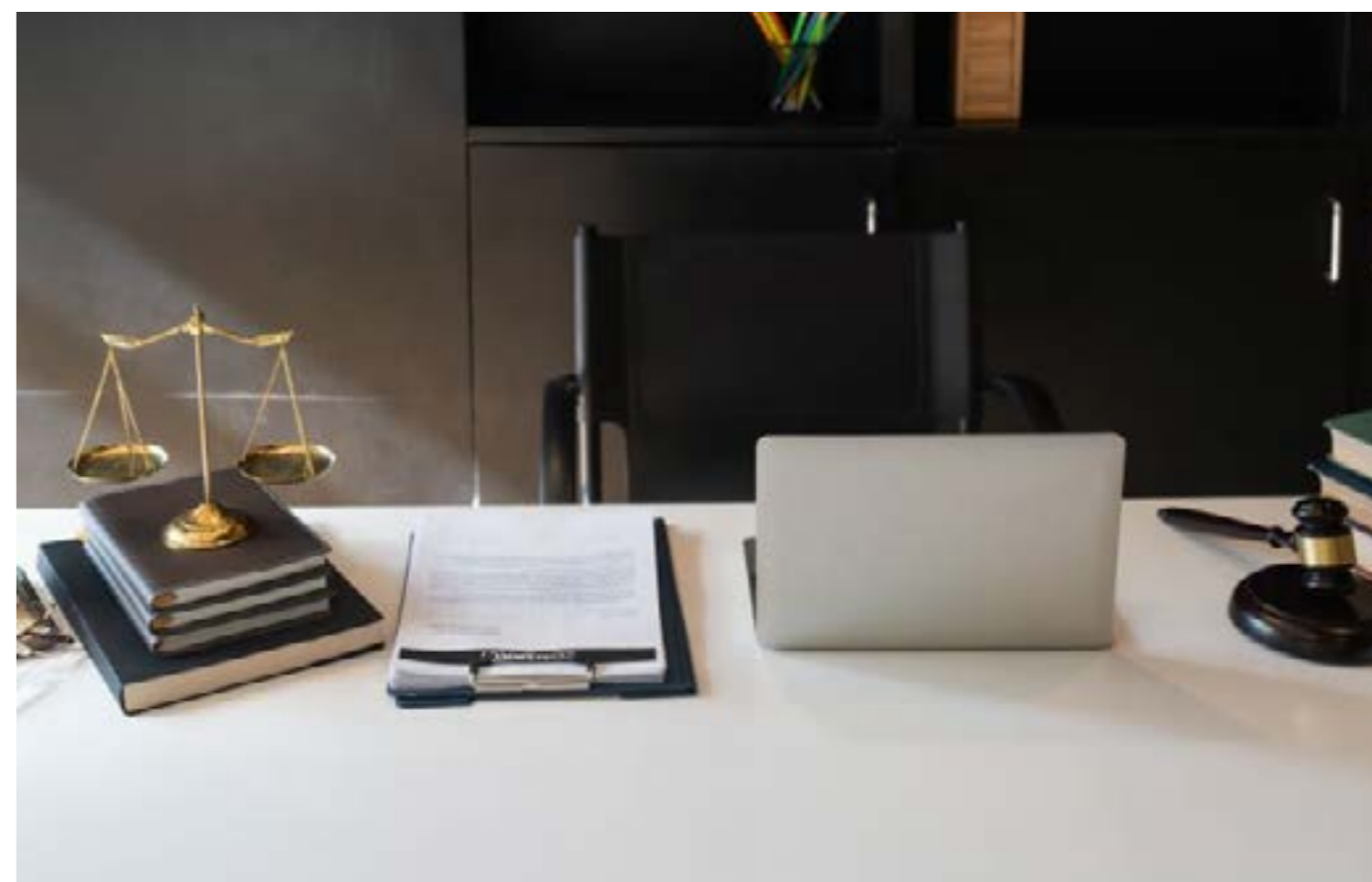
Introduction

The following section provides an overview of key pieces of legislation you should be aware of and sign posts where to find more information.

Regulatory Frameworks

Like all organisations, the University operates within a wide legal and regulatory environment. This section highlights some key legislation that you should be aware of as a manager in the University.

You should also be aware that there is legislation and regulations that directly or explicitly affect Higher Education:

• Higher Education and Research Act 2017
• Freedom of Information
• Prevent Duty
• Immigration Act & UKVI
• Office of the Independent Adjudicator
• Freedom of Speech (Education Act 1986)
• Competition and Markets Authority

General Data Protection Regulation (GDPR)

GDPR came into effect in May 2018 and affects every organisation. The law is a replacement for the 1995 Data Protection Directive. GDPR strengthens a number of rights for individuals about personal data that is held about them.

> **GDPR Guidance**

There are many similarities to the Data Protection Act (1998), including the principles of ensuring personal data is:

•   processed lawfully and fairly in a transparent manner;
• collected for specific, explicit and legitimate purposes;
• adequate, relevant and limited to what is necessary;
• accurate and kept up to date;
• kept in a form permitting identification of data subject for no longer than necessary;
• processed to ensure security of the data.

As a line manager you should be aware of some of the key changes associated with GDPR:

Penalties – have increased.
Consent requirements have been strengthened - and it must be as easy to withdraw consent as it is to give it.
Breach Notification – you must report any breaches of GDPR, or suspected breaches (i.e. loss of personal information, sharing personal information inappropriately, etc.) to the Information Governance Team to assess whether it needs to be reported to the national regulator, in line with data protection legislation
Right to Access - expanded rights of data subjects to personal data free of charge.
Right to be Forgotten - entitles the data subject to have their personal data erased

> **GDPR Tips:**
> As a line manager you should:
>
> • Continually undertake good housekeeping to review the personal data held by your department with the aim of minimising this data.
> • Act quickly if you receive a Subject Access Request or have a data breach.
> • Remember that a student's parents, siblings, partners or friends do not have the right to access data about them without the student giving their permission.
> • Direct any police enquiries to the Information Governance Team (or Security out of hours)
> • Be aware data protection never stands in the way of alerting the authorities (and others who need to know) where an individual's vital interests are at risk.

GDPR Representatives

In order to ensure all areas of the University are gaining relevant GDPR guidance, are aware of the basic rules around the uses of personal information and have access to guidance from the University Information Governance and Information Security Teams, each department has a 'GDPR Representative'. In most departments this will be the departmental officer and they will be your first point of contact for guidance or for reporting any issues surrounding GDPR.

The Freedom of Information Act 2000 (FOI)

FOI gives people the general right to see recorded information held by public authorities.

The Act helps people get a better understanding of how public authorities carry out their duties, make decisions and spend public money.

Under FOI, anybody may request information from any public authority, including higher education institutions, which have functions in England, Wales and Northern Ireland.

The Act confers two statutory rights on applicants:

• To be told whether or not the public authority holds the information they request; and if so:
• To have that information communicated to them

The University is legally required to answer all written enquiries and requests for information from any person or organisation in the world within 20 working days, subject to certain exemptions

> **FOI Policy**

> **Email Information Governance Team**

FOI Tips:

• Liaise with the Information Governance Team as soon as possible if you receive a FOI request.
• Ensure you know who the FOI contact is in your department/division.
• Be aware that anything you write could potentially enter the public domain.
• Remember that exemptions are subject to a public interest test.
• If contacted by the Information Governance Team, please prioritise such requests as consideration of exemptions and, in some circumstances, senior staff clearance will be part of the 20 working day process

Prevent Duty

Under the Counter Terrorism & Security Act 2015 the Prevent Duty is the legal obligation to provide "due regard to the need to prevent people from being drawn into terrorism".

The Act makes clear that Universities must balance their duties under Prevent with their legal requirements in relation to freedom of speech and academic freedom, as enshrined in other legislation. Freedom of expression is itself an important means to challenge and prevent people from being drawn into terrorism.

Compliance with the Prevent Duty entails:

• Partnership working
• Risk assessment
• Action planning
• Staff training
• Student welfare / pastoral care / chaplaincy support
• IT policies re Acceptable Internet Usage

Health and Safety

This policy outlines the steps which will be taken to ensure compliance with the Health & Safety at Work etc. Act 1974, with the Management of Health and Safety at Work Regulations made under that Act and with the supporting Approved Code of Practice.

Health and Safety at Work Act 1974 (HSWA)

Employers have a duty to provide a safe place of work and protect the health and safety of their employees and others that may be affected by their work activities. HSWA is the primary piece of legislation in the UK covering occupational health and safety.

The Act also places duties on employees to cooperate with their employer, so far as is necessary, to enable their employer to comply with their health and safety duties as set down under HSWA and under relevant legislation.

There are also a number of specific areas of health and safety where, as a manager, you will need to have specific knowledge that will vary in depth according to the specific area that you work within. These include:

• Risk assessments
• Emergency and evacuation procedures
• Accident and incident reporting
• Use of various equipment
• Manual handling

Health & Safety A-Z

Employment Law

There are many areas of legislation that cover employment rights. These include legislation and guidance that covers:

• Legal requirements involved in recruitment and immigration checks
• The employment contract and terms and conditions of employment
• Rights during employment, such as holidays, working hours and pay; maternity and parental rights; discrimination; discipline, grievance and dismissal procedures
• Rights on termination of employment, including redundancy, and business transfers (TUPE).

The University's Human Resources policies underpin, and in some cases enhance, these legal requirements.

For further information, please refer to:

• The Key People Management Policies section in this Guide
• The Human Resources A-Z website pages
• Your HR contact

HR Contact

Key People Management Policies

As well as understanding your legal responsibilities, when you lead and manage people there are some key people management policies that you should be aware of.

Introduction

This section provides an overview and link to key people management policies and procedures that you should have an understanding of, and are most likely to use as a line manager.

Should you need further information on any of these policies or other people management policies or procedures, please get in touch with your HR contact.

[HR Contact]

Flexible Working

The ability to work flexibly can provide an effective way for employees to manage the responsibilities of work and home including child care, caring for relatives, dealing with health issues, disability or preparation for retirement. Whilst there is a right to request flexible working, there is not an automatic right for this request to be granted.

Maternity Leave Policy and Procedure

All pregnant employees are entitled to take 52 weeks statutory maternity leave. This consists of 26 weeks ordinary maternity leave and 26 weeks additional maternity leave. The right to paid maternity leave differs and is dependent on other factors e.g. length of service. Leave may be transferred or shared under the Shared Parental Leave policy.

Shared Parental Leave

Shared Parental Leave (SPL) provides both parents with the opportunity to consider the best arrangement to care for their child during the child's first year. Parents will remain entitled to take maternity, paternity and adoption leave. However, the eligible mother or primary adopter can choose to reduce their maternity/adoption leave early and opt in to SPL.

Paternity Leave

Paternity leave is available to individuals who have had a child or adopted a child. Where both adoptive parents are employees, one may be entitled to Adoption leave and the other may be entitled to Paternity / Partner's leave. In order to qualify for paternity leave and pay staff must have completed six month's service with the University by the 15th week before the baby is due to be born or placed, and meet other specific criteria.

Managing Sickness Absence

Staff who are suffering from ill-health, including mental and physical illness and disability must be treated with understanding and sensitivity whilst achieving an acceptable level of attendance. A fair and consistent approach to the management of sickness absence is adopted across all departments and for all categories of staff.

Disciplinary Procedure

This procedure is in place to help and encourage staff to achieve and maintain an acceptable standard of conduct. It defines what the University considers to be a fair and consistent method for bringing any shortcomings in standards of conduct to the attention of staff and for dealing with alleged failures to adhere to the required standards.

Capability Procedure

Capability problems may be outside the employee's direct control and can be symptomatic of underlying work problems or other personal issues and as such all capability issues must be treated with care and sensitivity, and in a fair, supportive and consistent way.

The formal procedure will only be instigated where improvement in performance has not been demonstrated or sustained, or where serious issues of capability are raised that make an informal approach inappropriate.

Grievance Procedure

All staff should feel able to raise concerns and problems or make complaints that re- late to their employment and be heard promptly and in a safe and supportive environment. It is expected that both staff member and their immediate manager/ supervisor will do their best to settle any concerns informally.

The formal grievance procedure should only be instigated where an informal resolution has not been achieved or is clearly inappropriate.

Probation Guidelines

A probationary period increases the likelihood that new staff will perform effectively in their employment.

The University has Probation Guidelines for managing the probation period of Academic Staff and Professional Services Staff.

The use of the probationary period is:

• To give the probationer the opportunity to develop the necessary skills to carry out the job effectively and to develop their career;
• To enable the University to assess the contribution of a new employee and to ensure that they fulfil the requirements of their post.

The probationary period allows both the probationer and their line manager to assess objectively whether or not the probationer is suitable for the role.

Redundancy

The University, via its long-term strategic planning, endeavours to minimise the need for redundancies. However, there may be occasions when financial pressures, changes in the demand for services, funding provision, efficiency or effectiveness considerations, or organisational, technological or academic developments result in reduced staffing requirements.

The Policy aims to ensure that in dealing with matters of redundancy all employees are treated fairly and consistently and within the relevant employment legislation. The Policy is applicable to indefinite and fixed term members of staff.

Redeployment Policy

This policy applies to employees who have at least 1 year's continuous service, and where the need for redeployment to an alternative role arises, for example where the employee is at risk of redundancy and/or has been affected by organisational change.

There may also be other situations in which the need for redeployment arises such as:
• health reasons
• recommendation of a hearing in relation to capability, grievance or disciplinary
• request by an employee
• ending of a fixed term contract

Diversity and Inclusion

Lancaster University proudly celebrates the diversity of its staff and students, and has various strategies, plans and processes in place to encourage inclusion throughout everything that we do.

The university's **Equality, Diversity and Inclusion (EDI) webpages** have a number of useful resources, including:

- EDI Strategy, mandatory publications, and objectives.
- University policies and signposting to key support and resources.
- Staff EDI-related networks and associations and Faculty EDI committees.
- Staff support and reasonable adjustments.
- Links to various additional staff and student support systems, including our EDI Key Dates Calendar for the year, our Anti-Racist Toolkit, our Widening Participation Strategy and procedures for reporting bullying and harassment.

We have been members of the **Athena Swan Charter**, a higher education programme for the advancement of gender equality, since 2008, achieving awards at university, faculty and departmental level.

The university signed up to the **Race Equality Charter (REC)** in March 2021 to help improve the representation, progression and success of minority ethnic staff and students at Lancaster. We aim to submit our materials for the Charter by the spring of 2024.

For more information about the university's EDI work, to ask any questions, to get involved, please contact us at **edi@lancaster.ac.uk.**

Management information systems

Introduction

As a line manager there are a number of management information systems that you will need to be familiar with. This section provides an overview and links to guides for the University's human resource, finance and procurement systems.

Human Resources

PeopleXD

PeopleXD is an online human resources portal, which has a range of functionality.

As an employee, PeopleXD enables you to access your most recent job description, contract of employment, pay details and other information relating to your employment with Lancaster University. This is called the **Employee Dashboard**.

As a line manager you can view information about your team members and make various manager requests. This is called the **Manager Dashboard**.

The team member information available to you as a line manager includes:

- team member profiles, including job descriptions and contracts
- team member working hours
- team member training details.

Requests that you can make as a line manager, include:

- employee contract changes, e.g. increase in working hours
- employee contract extensions;
- employee resignations and terminations

As a line manager you may also be prompted (by email) to view and approve requests made by other line managers within your team.

There are a number of reports that can be accessed via PeopleXD. Your Departmental Officer or Divisional Officer will be able to support you in accessing these. Reports include:

- staff listings
- absence reports
- employment visas
- probation reports
- training reports.

> **Employee and Manager Self Service (PeopleXD)**

Finance

There are a number of finance systems that it is helpful for you to be aware of.

Agresso

Agresso is the University's corporate finance system. All financial transactions are entered or interfaced into Agresso including salary, requisitions, purchase orders, invoices, kx, catering, tuition fees and general income.

Requisitions and invoices are approved in the system and reports can be run to see the information in summary and in detail e.g. down to the invoice image.

Staff and Student Expenses

A web based system is available for staff to claim out of pocket expenses.

There is also a process available for students to make expenses claims.

Online Store

The University has an Online Store that is used to advertise and sell university products, trips and conferences etc. using a secure payment system.

Online Payments

The University has an online payments facility that enables students to settle a range of fees including tuition and accommodation fees.

Financial Reporting

There are a number of finance reports available for users of the finance systems, including reports for heads of department, principal investigators and project managers.

Procurement & Travel

The University's procurement team are responsible for operational procurement, order processing and invoice payment.

The website includes guides and access to the procurement request portal and the travel portal.

> **Finance Systems**

> **Procurement & Travel**

Frequently Asked Questions

Introduction

This section has been developed to support you with answers to some of the most frequently asked questions by managers.

Should you need further guidance on any of these questions, or other policies or and procedures, please get in touch with your HR contact.

I have a member of staff on a fixed term contract which is ending, what do I need to do?

With at least one year's continuous service:

The procedure for ending fixed term contracts can be found on the **People section of the intranet pages**. The procedure applies where the employee has at least one year's continuous service.

The end of a fixed-term contract is usually a redundancy, and therefore, this procedure should be used alongside the Redundancy and Redeployment policies.

With less than one year's service:

Fixed-term contracts of less than one year's continuous service at the end of employment should be dealt with using the Event Contract Toolkit.

A member of staff has submitted a request for flexible working or flexible retirement, how do I deal with this?

The Flexible Working Policy (including Flexible Retirement) policy can be found on the **People section of the intranet pages**. It sets out the procedure to be followed when a request is made for any working arrangement where the number of hours worked or the time that work is undertaken varies from standard practice. The Policy includes reference to roles and responsibilities and links to a formal request form.

A member of staff has advised me that she is pregnant, what do I do?

The **Maternity Leave Policy and Procedure** outlines the action required. It also specifies line management responsibilities, including risk assessments and keep in touch days.

Where can I find information on employing non-UK nationals?

The **Working in the UK (staff) section of the staff intranet** provides immigration guidance on working at the University.

As this can be a complex area, and dependent on individual circumstances, you are advised to seek further guidance from the UK Visas and Immigration website (**https://www.gov.uk/government/organisations/uk-visas-and-immigration**) or from your HR Contact.

I have a new member of staff, where can I find information on managing their probation period?

You can find the probation guidelines for academic staff, 50th Anniversary Lectureships and Professional Services staff using the following link.

Managing the Probation Period

A member of staff is absent due to sickness, what should I do?

As a line manager you play a key role in managing sickness absence.

This includes making sure that staff understand the expectations around reporting absence and the required documentation, keeping in touch with employees during their absence, conducting return to work interviews, and making the appropriate referrals to the University's Occupational Health provision.

The University's **Sickness Absence Policy and Procedure** is there to guide you.

Where can I find information about support for students?

The University's Student and Education Services (SES) has a comprehensive website which details the help and support provided to students, including financial support, wellbeing, health and mental services, and careers support.

ASK

How do I calculate annual leave for a member of staff?

You should refer to the Annual Leave Guidelines and Entitlement, and the Annual Leave guidance for part-time staff, where appropriate. There is also an annual leave calculator which can be found within the **leave section of the intranet**.

How do I learn more about the University's financial reward and recognition schemes?

You will find information about the annual timetable for academic promotions, how to make a case for professional services staff contribution pay awards, and job evaluation using the following link.

For further guidance you can speak with your faculty resources manager (where applicable), or your HR contact.

Pay, Recognition and Reward