



Keele University

EXTRACT FROM

PROBATION AND PROGRESSION

PROCEDURES OCTOBER 2006

UPDATE AUGUST 2010

In August 2010, two new Procedures were implemented:

- (i) Progression; and
- (ii) Probation for all staff except newly appointed Lecturers with less than three years academic experience.

A new academic probationary procedure is in the process of being developed which will be applicable to newly appointed Lecturers with less than three years experience in an academic role.

This extract has been prepared as an interim measure and contains the relevant sections from the original October 2006 Probation and Progression Procedures (i.e. those that are applicable to newly appointed Lecturers with less than three years experience in an academic role). Please contact the Human Resources Department for further guidance.

1. GENERAL PRINCIPLES

The University attaches great importance to the development and support of all staff, especially those in new posts. As such, it recognises that it is a key responsibility of Line Managers and all established members of staff to provide every possible assistance to a member of staff on probation in order to facilitate the confirmation of his/her appointment.

A probationary period provides a basis for structured and regular reviews to ensure both the job holder and their Line Manager address issues as they arise.

Any performance issues that arise during the probationary period also should be addressed during the period. In cases where a short probation has been given, or where performance issues do not arise until towards the end of probation, the probationary period may be extended. Performance issues and any changes to the probationary period must be discussed with the relevant Link Human Resources Manager before action is taken.

Early confirmation of appointment should only be agreed under very exceptional circumstances.

2. LECTURERS' PROBATION

Newly appointed Lecturers may be appointed on a probationary period of up to three years. The length of the probationary period will be determined according to the following table:-

No probationary period	Staff who have extensive experience in a similar role <u>and/or</u> have successfully completed probation at another institution. Or for very senior external appointments.
Twelve months probation	This will be applied, on very rare occasions, for staff who have relevant experience and who have completed part, but not all of a probationary period at another HE institution (e.g. two years out of a three year probationary period).
Up to two years probation	Staff who have some relevant experience but have only completed one year, or less, of probation at another HE institution.
Up to three years probation	Staff taking up their first substantive academic appointment and who have not been subject to probation before.

Chairs of all Appointing Committees for Lecturers will be asked to ensure they ascertain if the individual to be appointed has previously completed a probationary period or, if not, for how long they have been on probation.

3. NOTICE PERIODS

During probation the periods of notice the University is required to give to Lecturers upon the termination of their contract of employment will be as follows:-

during the first year of appointment	one month
in the second year of appointment	two months
in the third year of appointment	three months

4. APPEALS

Appeals against Probation decisions are contained in the appeals procedure document available from Human Resources.

5. DETERMINING THE LENGTH OF THE PROBATIONARY PERIOD

The procedures for consideration of probation for Lecturers are detailed in the following Annexes:

1. Annex A: 12 Month Probationary Procedure
2. Annex B: Two Year Probationary Procedure
3. Annex C: Three Year Probationary Procedure

Annex A 12 Month Probationary Procedure

- 1 Within the first four weeks of employment, the Line Manager and the individual should meet jointly to agree a series of targets and objectives for the 12 month probationary period. A formal record of these targets and objectives should be signed by both parties (to indicate their agreement to it) and a copy forwarded to the Dean.
- 2 If at any time during the probationary period the Line Manager identifies significant problems with an individual's performance the following steps should be taken to address the issues. The Line Manager should identify the problem areas and, with the Dean and Link Human Resources Manager, should agree a plan to assist the individual to improve his/her performance. The Line Manager should then meet with the individual to discuss the problem areas and the improvement plan. The Line Manager should take notes of this meeting and agree them with the individual. The individual's performance should then be monitored at a series of fortnightly meetings with the Line Manager, keeping the Dean and Link Human Resources Manager informed.

If problems persist the Link Human Resources Manager will advise on how to take this forward.

- 3 Five months after the appointment, the Line Manager and individual should meet to review the individual's progress to date. In preparing for this meeting the Line Manager should seek the views of the individual's mentor and senior colleagues within the School/Research Institute. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean/ and to the Link Human Resources Manager for information.
- 4 Ten months after the appointment, having consulted with individual's mentor and senior colleagues within the School/Research Institute, the Line Manager and the individual should meet for a final review meeting. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean. As soon as possible after the meeting with the individual, the Line Manager should meet with the individual's Dean to discuss the case. At this meeting, one of the following recommendations should be made: that either:
 - (a) the individual's appointment be confirmed, or
 - (b) the probationary period be extended, or
 - (c) the individual's appointment be terminated.

- 5 Where it is agreed that the appointment should be confirmed, a copy of the recommendation, signed by both the individual's Line Manager and the relevant Dean should be forwarded to Human Resources. Human Resources will formally notify the individual of the decision.

In either of the other two cases (i.e. it is recommended that the probationary period is extended or the appointment terminated) please contact the Link Human Resources Manager immediately for advice as to how to process the recommendation.

Annex B: Two Year Probationary Procedure

- 1 Within the first four weeks of employment, the Line Manager and the individual should meet jointly to agree a series of targets and objectives for the two year month probationary period. A formal record of these targets and objectives should be signed by both parties (to indicate their agreement to it) and a copy forwarded to the Dean/Director.

- 2 If at any time during the probationary period the Line Manager identifies significant problems with an individual's performance the following steps should be taken to address the issues. The Line Manager should identify the problem areas and, with the Dean and Link Human Resources Manager, should agree a plan to assist the individual to improve his/her performance. The Line Manager should then meet with the individual to discuss the problem areas and the improvement plan. The Line Manager should take notes of this meeting and agree them with the individual. The individual's performance should then be monitored at a series of fortnightly meetings with the Line Manager, keeping the Dean and Link Human Resources Manager informed.

If problems persist the Link Human Resources Manager will advise on how to take this forward.

- 3 Six and twelve months after the appointment, the Line Manager and individual should meet to review the individual's progress to date. In preparing for this meeting the Line Manager should seek the views of the individual's mentor and senior colleagues within the School/Research Institute. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean/ and to the Link Human Resources Manager for information.

- 4 Twenty months after the appointment, having consulted with individual's mentor and senior colleagues within the School/Research Institute, the Line Manager and the individual should meet for a final review meeting. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean. As soon as possible after the meeting with the individual, the Line Manager should meet with the individual's Dean to discuss the case. At this meeting, one of the following recommendations should be made: that either:
 - (a) the individual's appointment be confirmed, or
 - (b) the probationary period be extended, or
 - (d) the individual's appointment be terminated.

- 5 Where it is agreed that the appointment should be confirmed, a copy of the recommendation, signed by both the individual's Line Manager and the relevant Dean should be forwarded to Human Resources. Human Resources will formally notify the individual of the decision.

In either of the other two cases (i.e. it is recommended that the probationary period is extended or the appointment terminated) please contact the Link Human Resources Manager immediately for advice as to how to process the recommendation.

Annex C: Three Year Probationary Procedure

- 1 Within the first four weeks of employment, the Line Manager and the individual should meet jointly to agree a series of targets and objectives for the three year probationary period. A formal record of these targets and objectives should be signed by both parties (to indicate their agreement to it) and a copy forwarded to the Dean/Director.
- 2 If at any time during the probationary period the Line Manager identifies significant problems with an individual's performance the following steps should be taken to address the issues. The Line Manager should identify the problem areas and, with the Dean and Link Human Resources Manager, should agree a plan to assist the individual to improve his/her performance. The Line Manager should then meet with the individual to discuss the problem areas and the improvement plan. The Line Manager should take notes of this meeting and agree them with the individual. The individual's performance should then be monitored at a series of fortnightly meetings with the Line Manager, keeping the Dean and Link Human Resources Manager informed.

If problems persist the Link Human Resources Manager will advise on how to take this forward.

- 3 Twelve months and two years after the appointment, the Line Manager and individual should meet to review the individual's progress to date. In preparing for this meeting the Line Manager should seek the views of the individual's mentor and senior colleagues within the School/Research Institute. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean/ and to the Link Human Resources Manager for information.
- 4 Thirty-four months after the appointment, having consulted with individual's mentor and senior colleagues within the School/Research Institute, the Line Manager and the individual should meet for a final review meeting. The Line Manager should compile a short report of the meeting which the individual should agree. A copy of the agreed report should then be sent to the Dean. As soon as possible after the meeting with the individual, the Line Manager should meet with the individual's Dean to discuss the case. At this meeting, one of the following recommendations should be made: that either:
 - (a) the individual's appointment be confirmed, or
 - (b) the probationary period be extended, or
 - (e) the individual's appointment be terminated.

- 5 Where it is agreed that the appointment should be confirmed, a copy of the recommendation, signed by both the individual's Line Manager and the relevant Dean should be forwarded to Human Resources. Human Resources will formally notify the individual of the decision.

In either of the other two cases (i.e. it is recommended that the probationary period is extended or the appointment terminated) please contact the Link Human Resources Manager immediately for advice as to how to process the recommendation.