

## ANNEXES

### Annex A – Probationary Policy

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#### 2. Statement of policy

- The University regards its staff as its greatest asset and is committed to ensuring that all staff members reach their full potential in their roles. The probationary period plays an important part in this process and confirmation that probation has been passed is an important milestone for staff members.
- Probation is a formal arrangement at the start of an appointment, during which the probationer has the opportunity to understand the requirements of their role and to demonstrate their suitability within a reasonable timescale. Their performance will be assessed and monitored throughout the probationary period and they should be provided with guidance and support to enable them to become an effective member of the University.
- The probationer is expected to engage fully in this process, ensuring that they complete induction in a timely manner and undertake training where required.

#### 3. Eligibility

- Subject to the exceptions below, this policy (and related probationary procedures) applies to academic, academic-related, research and assistant staff, whether on open-ended or fixed-term contracts, and whether established or unestablished.
- The term ‘academic staff’ used in this policy means all academic offices (established) and comparable unestablished academic posts below the level of Reader, whether open-ended or fixed-term. An ‘academic office’ is one listed in Special Ordinances under Statute C, Schedule C (i) 1.
- This policy (and related probationary procedures) is not applicable to Professors and Readers, as appointment to these offices should only be made in cases where candidates have already achieved international recognition for their academic achievement and contribution.
- There may be occasions where the provision of a probationary period for an appointment is not appropriate (for example, for some fellowships or when appointing an individual to a similar post from a comparable academic institution). In these instances, guidance should be sought from the relevant School HR Team.<sup>1</sup>
- In the case of academic staff, where doubt arises as to which probationary procedure should apply, the matter should be referred to the Director or Assistant Director of Human Resources. If a resolution cannot be found, the matter will be decided by the Chair of the HR Committee on behalf of the General Board or, if circumstances require it, by the General Board on the advice of the HR Committee.
- In the case of academic-related staff, where doubt arises as to which probationary procedure should apply, the matter will be decided by the Council or the General Board, as appropriate, on the advice of the HR Committee.
- Where a member of unestablished staff has already worked for the University for more than one year and is transferring from a post to another within the University, the Appointment Support procedures may be more appropriate than probation (see para. 4.7 below).
- This policy should be read together with the procedures relating to specific staff categories which can be found at Section 5 of this policy.

#### 4. Scope of policy

##### 4.1 Managing probation

- The probationary process is managed by the probation reviewer. This is the Head of Institution,<sup>2</sup> although, depending on the size of the institution and the nature of the probationer’s job role, the Head of Institution may delegate these duties to another member of staff, for instance the probationer’s line manager, supervisor or Principal Investigator. However, in these instances, the Head of Institution will retain overall responsibility for the probationary process and will decide (or recommend as appropriate) whether to confirm the appointment or otherwise.

<sup>1</sup> The term ‘relevant School HR Team’ used throughout this policy (and related probationary procedures) refers to the HR Teams allocated to Schools, UAS and Non-School Institutions.

<sup>2</sup> The term ‘Head of Institution’ used throughout this policy (and related probationary procedures) refers to Heads of Departments and of other academic institutions; Chairs of Faculty Boards not divided into Departments; and the administrative Heads of Institutions.

- At the start of the probationary period, the probation reviewer should draw attention to:
  - the applicable probationary arrangements;
  - the key duties of the role;
  - the standards of work required;
  - goals to be achieved within specified deadlines;
  - particular areas of work to be given priority;
  - the expectation to promote the University’s value of mutual respect;
  - standards expected around time-keeping, attendance, communication, relationship building, strategic focus, people development, innovation and change and negotiating and influencing, as relevant to the role;
  - any areas where particular care or sensitivity is needed.
- Thereafter the probation reviewer is responsible for ensuring that a probationer completes induction in a timely way after taking up their appointment; for providing guidance and support during the probationary period; and for monitoring and assessing performance throughout. They should meet with the probationer at appropriate intervals to discuss progress and identify areas for training and development and they should also ensure that a mentor is identified where appropriate.
- A written record of feedback and any steps required of the probationer, should be kept using the templates where indicated in this policy and procedures.
- For successful completion of probation, there must be clear evidence that the probationer has been performing according to the relevant criteria for the role and at a level appropriate in the University context. The evidence required will depend on the staff category, for instance, holders of an academic office are required to undertake research; teach and/or develop researchers<sup>3</sup> and demonstrate service to the University and to the academic community. Further details on performance criteria can be found in the probationary procedures at Section 5 below.
- It is important that the probationary period is managed effectively to ensure that a probationer is given the best opportunity to succeed in their role. Where a probationer does not complete probation successfully and their appointment is terminated as a result, this is a dismissal in law and the University must be able to demonstrate that the probationary procedure was conducted properly and fairly.
- Accordingly, assessment of performance should be fair, even-handed and evidence-based and the probation reviewer is responsible for ensuring that there is clear documentary evidence of review meetings and appropriate support during the probationary period.
- In assessing performance, consideration should be given to any contextual factors which may have affected the probationer’s ability to perform to their full potential (for instance, caring responsibilities, periods of maternity/paternity/adoption leave, bereavement, ill health or injury, medical treatments, a disability).
- Where the probationer has indicated that they are disabled within the meaning of the Equality Act 2010, the probation reviewer should take care to ensure that reasonable adjustments are made to the workplace and/or working arrangements so that the probationer is not at a substantial disadvantage when compared to a non-disabled person. Probation reviewers should refer to the University’s policies regarding disability and employment for further guidance and information in these circumstances.
- Should a probationer feel that formal and final assessments are not being conducted in a fair or timely manner or that sufficient support has not been available to them during their probationary period, they should raise this with their line manager or with the relevant School HR Team without delay.
- Probation reviewers can find practical guidance on how to support and assess probationers in the University’s *Practical Guidance for Probation Reviewers* [link to be inserted], which is intended to be a toolkit for institutions.
- For the avoidance of doubt, instances of misconduct will usually be dealt with under the relevant disciplinary procedure rather than the probationary procedure, although any disciplinary warnings may be taken into account when assessing the probationer’s overall suitability for a role under the probationary procedure.

#### 4.2 Probationary periods

- Except for specified exceptions (see Section 3 above), all staff should be given a probationary period, which will be confirmed in their individual contract of employment. Probationary periods vary depending on the staff category, seniority and purpose of the role. The probationary period will be as set out below unless otherwise specified in the contract of employment.
- Where a probationer is on secondment during the whole or part of their probationary period, it may be appropriate to adjust the length of the probationary period to allow for assessment of performance in their substantive post.
- Probationary periods may be extended or curtailed, depending on the circumstances. Further details of these arrangements are contained in the probationary procedures referred to at Section 5 below.

<sup>3</sup> This would include post-doctoral researchers where relevant.

*Academic staff*

- The probationary period for the holder of an academic office will be **five years** unless it is reduced (to a period of not less than three years) or waived, on the recommendation of the Selection Committee and subject to the approval of the Head of School. An example of where it may be appropriate to waive probation would be where the holder of the academic office has held a senior academic position at another university and has already acquired relevant skills and experience.
- The probationary period for the holder of a fixed-term academic office will be appropriate to the length of the fixed term.
- Notwithstanding the above, the probationary period of the holder of an academic office in the School of Clinical Medicine, who is appointed for a fixed term of four years, shall be 12 months.
- Probationary periods for comparable unestablished academic posts are set out below:

Appointment duration	Length of probation period
Up to 1 year	6 months
More than 1 year but less than 2 years	1 year
More than 2 years but less than 4 years	2 years
More than 4 years	3 years

*Academic-related and Assistant staff*

- Probationary periods for academic-related and assistant staff are set out below:

Appointment duration	Grade	Length of probation period
Up to 3 months	All (including ungraded)	None
More than 3 months but less than 1 year	All (including ungraded)	3 months
1 year or more	Grade 1–3	3 months
1 year or more	Grade 4–7	6 months
1 year or more	Grade 8+	9 months

*Research staff*

- Probationary periods for research staff are set out below:

Appointment duration	Length of probation period
Up to 3 months	None
More than 3 months but less than 1 year	3 months
1 year or more	6 months

*4.3 Induction and professional development*

- Induction is an essential part of probation and comprises local and central induction as set out below. The probation reviewer is responsible for ensuring that the probationer completes induction within the specified timescales, and that a copy of a completed induction checklist (HR24) is retained.
- *Local induction:* the probation reviewer should arrange a structured local induction programme commencing at the start of the appointment. This is essential to ensure that new staff members settle into their role and it is considered to be a major contributory factor in the retention of new staff. This programme should also assist academic staff to understand the objectives of their individual institution and the expected standards of excellence required to build a successful career at Cambridge.
- *Central induction:* this consists of an online induction programme and attendance at a face-to-face ‘Welcome to Cambridge’ event. The ‘Welcome to Cambridge’ event includes a welcome address from a senior member of the University; information about the collegiate system; informal networking opportunities; and an exhibition of services available to staff. General information on induction can be found on the University’s induction pages <https://www.induction.admin.cam.ac.uk/>
- In addition, a tailored induction programme for new academic staff is provided through the ‘Academic Life at Cambridge’ programme. This includes an annual welcome event and access to key resources and updates via Sharepoint: [link to be inserted]
- Postdoctoral staff will find bespoke induction support at the webpages of the University’s Office for Postdoctoral Affairs at <https://www.opda.cam.ac.uk/further-support/inductions>
- Guidance, templates and checklists to assist institutions in planning and delivering an effective induction programme can be found at the University’s induction webpages at <https://www.induction.admin.cam.ac.uk/guidance-managers>
- Further to induction, the University places great emphasis on the development of its staff and offers a range of opportunities as part of a Development Programme, including an Introductory Seminar on opportunities available. Further information can be found at the University’s Personal and Professional Development webpages at <https://www.ppd.admin.cam.ac.uk/>. The University’s Researcher Development Programme can also be found at <https://www.rdp.cam.ac.uk>

#### 4.4 Mentors

- The probation reviewer should wherever possible assign an appropriate colleague to act as a buddy to the probationer, to help them familiarise themselves with the institution, its procedures, the location of key equipment and sources of help and information.
- A mentor may also be identified at this stage as a means of providing structured support to a member of staff, outside of the probationary review process. It is particularly relevant for academic members of staff to be assigned a mentor, but can also be appropriate for staff in academic-related, assistant and research posts. Please see the University's mentoring web pages at <https://www.hr.admin.cam.ac.uk/policies-procedures/mentoring-information-new-staff> for more information.

#### 4.5 Confirmation of probation

- The process of managing the probationary period and confirming the appointment or otherwise is contained in the probationary procedures for specific staff categories, set out in Section 5 below.

#### 4.6 Appraisal following probation

- Once probation is successfully completed, the University's Staff Review and Development Scheme sets out a framework for appraisal, and is part of an ongoing review process. The first review should take place within a few months of the end of the probationary period (once a decision has been made to confirm the appointment).
- As this process is intended to be forward-looking, the appraiser will agree an action plan that is in line with the strategic and operational needs of the institution and will address the training and development needs of the individual. Details of the scheme can be found at <https://www.hr.admin.cam.ac.uk/policies-procedures/staff-review-and-development>

#### 4.7 Appointment Support

- Where an existing unestablished member of staff, who has worked for the University for more than one year and who has successfully completed their probationary period in one role, is transferring to another, it may be appropriate to follow an Appointment Support process rather than apply a further probationary period.
- The Appointment Support process offers a structured approach where that staff member can receive support and feedback on performance and the University can assess their suitability for the post. It is recommended to be between three and six months, depending on the duration of the appointment, in order to fully assess the skills and experience of the staff member and to provide support and training.
- It is the responsibility of the Head of Institution to manage this process, although depending on the size of the institution and the nature of the job role, the Head of Institution may delegate these duties to another member of staff, for instance the staff member's line manager, supervisor or Principal Investigator.
- The Head of Institution, or their delegate should hold a preliminary one-to-one meeting with the staff member soon after they start their new role, at which the duties of the post, mutual expectations and any support and development needs will be discussed.
- The Head of Institution, or their delegate will hold further progress meetings throughout the Appointment Support period; for example two further progress meetings and one final review meeting over the period, provided that progress is satisfactory.
- The Head of Institution, or their delegate will hold a final review meeting at the end of the Appointment Support period, to be recorded on the Appointment Support Review Form.
- On the basis of a successful final review meeting, the Head of Institution, or their delegate, will provide written confirmation of completion of the Appointment Support process.
- Where the staff member has not met the required standard during the Appointment Support period, despite reasonable training and support, the situation will be considered within the context of the relevant capability policy.
- Depending on the seriousness of the concerns around performance and the potential impact on the School or institution, the Head of Institution or their delegate, after consulting with the relevant School HR Team, may curtail the Appointment Support period early, in order to engage the relevant capability policy.

### 5. Procedures

The University has probationary procedures in place for specific staff categories. For the relevant procedure, please click on the links below [links to be inserted]:

*Probationary Procedure for Academic Staff*

*Probationary Procedure for Academic-Related, Assistant and Research Staff*

*Probationary Procedure for Academic Staff in the School of Clinical Medicine and clinical academics in other schools*

### 6. Guidance and additional sources of information

Policies and guidance	Templates and documentation
Practical guidance for Probation Reviewers [link to be inserted]	Appointment Support Review Form [insert number] Confirmation of Appointment Letter (HR30)

### 7. Policy ownership and status

- This policy is not contractual. It will be reviewed by the HR Division on a regular basis and amendments may be made in the light of any changes in legislation or operational requirements.

**ANNEX B – Probationary Procedure for Academic Staff****1. Contents**

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**2. Eligibility**

- This probationary procedure applies to academic staff at the University below the level of Reader, as defined in the Probationary Policy, with the exception of academic staff in the School of Clinical Medicine (clinical and non-clinical) and clinical academics in other Schools, for whom there is a separate probationary procedure (a link to this can be found in Section 5 of the University’s Probationary Policy).
- This probationary procedure should be read together with the *University’s Probationary Policy* [link to be inserted].

**3. Procedure***3.1 How will the probationary scheme work in practice?*

- In the case of academic staff, the probation reviewer is usually the Head of Institution. They are responsible for managing the probationary period and ensuring that:
  - the duties of the probationer are clear and understood by the probationer at the outset;
  - the probationer completes local and central induction within specified timescales;
  - the work of the probationer is monitored;
  - the probationer is assigned a mentor;
  - any issues around performance are discussed directly with the probationer as and when they arise;
  - a written record is kept of feedback and any steps required of the probationer, using the templates indicated in this procedure where appropriate; and
  - an overall view of their progress, commitment and general contribution to the work of the Institution is formed during the probationary period.
- The Head of Institution may delegate some of their duties to a nominee where indicated below, provided that the Head of Institution retains overall responsibility for the probationary process and will conduct the final assessment of performance at the end.
- The length of the probationary period is as set out in Section 4.2 of the Probationary Policy.

*3.2 Performance criteria*

- Passing probation is regarded as an important career milestone and a fundamental test of capability to perform the duties of the office. Clear evidence of consistent and sustained satisfactory performance of duties and adherence to the University’s expected standards of conduct is therefore expected.
- Performance will be assessed by reference to research; teaching and/or researcher<sup>1</sup> development; and service to the University and to the academic community. This will include acting as a positive role model and promoting the University’s values of mutual respect and a sense of belonging for all within the University community.
- There must be no doubt that the probationer has been performing according to all the relevant criteria and meets the standards of excellence in their performance and contribution within the Cambridge context.
- Where relevant, College teaching should also be taken into account.
- Guidance on the evaluative criteria applicable to academics during probation can be found in the Report of the General Board on arrangements for the implementation of the Academic Career Pathways scheme.<sup>2</sup> To ensure transparency, all Departments/Faculties are expected to adopt and publish a protocol setting out what is expected of probationers under each of the evaluative criteria, to be approved by School Councils. As there may be differences in the way probation criteria are set across the various institutions, each institution will determine appropriate practice in their respective area, taking into account the relevant norms for the subject discipline.

<sup>1</sup> This would include post-doctoral researchers where relevant.

<sup>2</sup> *Reporter*, 6547, 2018–19, p. 562.

### 3.3 Preliminary meeting and formal assessments

- The Head of Institution or their nominee will hold a preliminary one-to-one meeting with the probationer before the beginning of their first teaching term or within one month of joining, as appropriate, to confirm the duties of the post, mutual expectations, induction requirements and developmental needs. Any other relevant requirements should be discussed and recorded.
- The Head of Institution or their nominee will meet with the probationer at least once a year to conduct a formal assessment, a written record of which will be completed and a copy kept by both parties, using the Probation Assessment Form. They should ensure that induction has been completed within the specified timelines.
- The purpose of each formal assessment is to review the probationer's progress under the general headings of research, teaching and/or researcher development and service to the University and the academic community, and to provide an opportunity for the individual to comment.
- The tone of the assessment should be constructive, giving positive feedback on progress and areas for improvement. Where progress has been unsatisfactory, the probation reviewer should specify the nature of the concerns and the improvements required, together with details of how and by when these need to be achieved. For example, this may involve making appropriate adjustments to the level of supervision and support given to the probationer and/or setting time-bound targets. It would also be appropriate to hold more frequent formal assessments in this case.
- During the probationary period, the Head of Institution or their nominee can seek feedback from senior colleagues regarding the progress of the probationer in terms of their research; teaching and/or researcher development; and service to the University and to the academic community. Feedback from students and peer observation views may also be sought.

### 3.4 Third-year formal assessment

- In the course of the third year of probation, there should be a formal assessment. An overall minimum of three references should be sought, of which at least one should be external, unless there is no duty to undertake research. The probationer will nominate two of these references. The Head of Institution or their nominee may seek additional references, if these are required. Names of referees sought by the Head of Institution or their nominee are not disclosable to the probationer for the purposes of this procedure.
- The Head of Institution may decide at this stage to recommend to the Selection Committee<sup>3</sup> that the appointment be confirmed and should complete a final assessment (see para. 3.5 below). If it is decided that confirmation of tenure is premature, the Head of Institution may hold a final assessment at a later date as set out below. In the interim, they should discuss with the probationer any areas for development or improvement and any training or support required.
- If a concern arises about the probationer's research performance, the Head of Institution or their nominee may seek references sooner rather than later in order to be able to assess progress during the period leading up to the third-year formal assessment.

### 3.5 Final assessment

- The Human Resources Division will send regular reports to institutions, notifying them of probationary periods, so that formal and final assessments can be scheduled in a timely way.
- The Head of Institution will conduct the final assessment in the course of the third, fourth or fifth year depending on the probationer's progress.
- The final assessment should be recorded in the Probation Assessment Form, a copy of which should be supplied to the probationer. The Head of Institution should arrange for references to be updated and/or additional references to be sought, in line with the requirements under para. 3.4 above.

### 3.6 Decision and subsequent action

- Confirmation (or non-confirmation) of tenure by the Selection Committee must occur, if possible, not less than nine months before the end of the five-year period. The recommendation by the Head of Institution to the Selection Committee should be made no earlier than three years into the probationary period.
- Where the probationer has performed to the expected standard, the Head of Institution will recommend to the Selection Committee that the appointment be confirmed, setting out their case in writing, supported by the Probation Assessment Forms, references and the probationer's CV.
- If the appointment is confirmed by the Selection Committee, the Head of Institution will arrange for written confirmation of satisfactory completion of probation to be sent to the probationer and for their central staff record to be updated. On confirmation of appointment by the Selection Committee, a holder of an academic office shall hold office, subject to the provisions of Statute C, or any Special Ordinance made under it, until the retiring age or until the end of their tenure in the case of officers on fixed-term appointments, so long as they satisfactorily perform the duties of the office.
- In the event that performance during probation is judged to be unsatisfactory, the Head of Institution, after consulting with the probation reviewer and the relevant School HR Team, will inform the probationer that they will recommend the extension or termination of the appointment to the Selection Committee.

<sup>3</sup> The Selection Committee is as constituted under Special Ordinance C (x): Selection Committees (Special Ordinance under Statute C XIII 2). Note that this may be the Selection Committee or an alternative School-level committee as set out in the local protocol constituted as a Selection Committee, or in the case of unestablished academic staff the relevant School-level or Departmental committee.

- The probationer will be given an opportunity to make written representations to the Selection Committee and may attend the meeting of the Committee if they wish to do so, in order to present their case. They will have the right to be accompanied at the meeting by a trade union representative or work colleague.
- They must tell the relevant School HR Team who their chosen companion is in good time before the meeting. If their companion cannot attend, they should inform the relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the meeting, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the meeting. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the meeting may be held by way of video- or teleconference.
- The Selection Committee may be supported by a member of the relevant School HR Team at the hearing. The University may also arrange for a note-taker to be present.
- The Head of Institution will supply the probationer's Probation Assessment Forms, together with any supporting documentation, to the Selection Committee ahead of the meeting, with a copy to the probationer.
- The meeting may be adjourned if required to gather further information, provided that any adjournment will not lead to unreasonable delay.
- If a decision to dismiss is made by the Selection Committee, the probationer will be given written notice of termination, including the reasons and a right of appeal.
- Exceptionally, the Selection Committee may extend the probationary period, for instance, where a probationer has not had sufficient time to demonstrate their suitability due to factors beyond their control (e.g. a long leave of absence on account of illness or family commitments) and where there is a realistic prospect of a satisfactory outcome. Usually, extensions will be for up to one year. Heads of Institutions should consult with the relevant School HR Team at an early stage, if they believe that an extension will be required.
- At the end of an extension period, a further final assessment will be conducted as set out under para. 3.5 above.

### 3.7 *Right of appeal*

#### *Established academic staff*

- If the appointment is terminated, the officer will have the right to appeal under the provisions of Special Ordinance C (xiii) (Appeals) and Ordinances Chapter II, Septemviri, which can be found at <http://www.admin.cam.ac.uk/univ/so/>.
- Where a probationer appeals against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the probationer will be reinstated with no loss of continuity or pay.

#### *Unestablished academic staff*

- Where the appointment is terminated, the probationer may appeal in writing within 10 working days of the receipt of the notice of dismissal, setting out the grounds of their appeal. They should direct this letter to the Director of HR.
- The Director of HR will appoint an Appeal Chair, who shall be a University officer of equivalent or greater seniority to the members of the Selection Committee, and who has had no prior involvement in the case.
- The appeal hearing will be arranged within 10 working days of the appointment of the Appeal Chair, or as soon as is reasonably practicable thereafter.
- The probationer and a member of the Selection Committee<sup>4</sup> may make representations in person and/or in writing at the appeal hearing. Copies of the probation assessment forms and supporting documentation, and any written representations should be supplied to all parties in good time ahead of the hearing. The Appeal Chair may be supported by a member of the relevant School HR Team at the hearing. The University may also arrange for a further member of HR to act as note-taker.
- The probationer is entitled to be accompanied by a trade union representative or work colleague. They must tell the relevant School HR Team who their chosen companion is in good time before the appeal hearing. If their companion cannot attend, they should inform the relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the original appeal hearing date, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the hearing. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the hearing may be held by way of video- or teleconference.
- The Appeal Chair may adjourn the appeal hearing if required to gather further information, provided that any adjournment will not lead to unreasonable delay.

<sup>4</sup> See para. 3.4 for the definition of the Selection Committee.

- The Appeal Chair will inform the probationer of their decision in writing, wherever practicable within 10 working days of the appeal hearing or adjourned appeal hearing, setting out reasons for the decision. There is no further right of appeal.
- The Appeal Chair may vary the procedure above, as necessary, provided that the appeal is dealt with fairly and impartially and without unreasonable delay.
- Where a probationer appeals against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the probationer will be reinstated with no loss of continuity or pay.

### 3.8 Fixed-term posts

- The provisions of this procedure (including any timings) will be adjusted to take into account shorter probationary periods for fixed-term academic offices and unestablished academic posts.

### 3.9 Period of notice required during the probationary period

- The period of notice to terminate the appointment during the probationary period, will normally be three months on either side (one month's notice for an appointment of less than one year's duration).

## 4. Guidance and additional sources of information

Policies and guidance	Templates and documentation
Supporting information document on managing performance during probation: Practical Guidance for Probation Reviewers	Probation Assessment Form

## 5. Policy ownership and status

- This procedure is not contractual. It will be reviewed by the HR Division on a regular basis and amendments may be made in the light of any changes in legislation or operational requirements.

## ANNEX C – Probationary Procedure for Academic-Related, Assistant and Research Staff (Annex C)

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### 2. Eligibility

- This probationary procedure is applicable to academic-related, assistant and research staff at the University and should be read together with the *University's Probationary Policy* [link to be inserted].
- This procedure forms part of the Career Management Scheme for research staff (<https://www.cam.ac.uk/research-staff/employment-and-career-management/employment-and-career-management-scheme>).

### 3. Procedure

#### 3.1 How will the probationary scheme work in practice?

- Probation is a formal arrangement at the start of employment where new staff members have the opportunity to confirm their suitability for the role. In order for the probationary period to be used effectively, it is important that:
  - the duties of the probationer are clear and understood by the probationer at the outset;
  - induction is completed and any further training required is arranged in a timely way;
  - the work of the probationer is monitored;
  - any issues around performance are discussed directly with the probationer as and when they arise; and
  - a written record is kept of feedback and any steps required of the probationer, using the templates indicated in this procedure where appropriate.

- The probationary process is managed by the probation reviewer. This is the Head of Institution,<sup>1</sup> although, depending on the size of the institution and the nature of the probationer's job role, the Head of Institution may delegate these duties to another member of staff, for instance the probationer's line manager, supervisor or Principal Investigator. However, in these instances, the Head of Institution will retain overall responsibility for the probationary process and will decide (or recommend as appropriate) whether to confirm the appointment or otherwise.
- The length of the probationary period is as set out in Section 4.2 of the Probationary Policy.

### 3.2 Performance criteria

- Probationers will be assessed with reference to:
  - the role profile;
  - their demonstration of the skills and knowledge required for the role;
  - the performance of their duties to an acceptable standard (with reference to the quality of their work and the volume of their outputs);
  - their ability to work with others, including acting as a positive role model, adhering to the University's expected standards of conduct and promoting the University's values of mutual respect and a sense of belonging for all within the University community;
  - attendance and timekeeping; and
  - their general contribution to projects (if relevant to their role).
- The duties and responsibilities of a research staff member are set out in the Career Management Scheme: Section 2, Researcher's employment: policies and protocols at <https://www.cam.ac.uk/research-staff/employment-and-career-management/employment-and-career-management-scheme/researchers-employment-policies-and-protocols/job-titles-and-duties>
- In the case of clinical research staff:
  - it is recognised that input is required from the probationer's Clinical Director or Deanery at the relevant NHS Trust/body. Accordingly, assessment of performance of clinical activity will be taken into account when making recommendations on probation;
  - if, during the course of the probation, concerns arise regarding the probationer's clinical practice in their NHS Trust/body role, the probation reviewer shall consider the impact of this in assessing the probationer's performance and ability to carry out the full duties of their role for the University;
  - it is a requirement of the relevant NHS Trust that the probationer is subject to NHS appraisals or Annual Reviews of Competence Progression ('ARCP') as appropriate, alongside their probation with the University;
  - if the probationer is employed under a contract with the University which is coterminous with another role, should that role be terminated their employment with the University will also come to an end.

### 3.3 Formal assessments

- The probation reviewer should hold a preliminary one-to-one meeting with the probationer soon after their start date, to confirm the expectations of the post; to set objectives, to arrange induction and to agree any further training required.
- Thereafter, formal assessments should take place at regular intervals; for example two formal assessments and one final assessment over the period, where progress is satisfactory.
- Formal assessments should be a two-way process:
  - The probation reviewer will review progress, addressing competence in particular duties and capability to perform at a level that meets the operational requirements of the institution.
  - The probationer should be invited to comment on progress to date and specify any areas in which further training or development is needed.
  - The probation reviewer will set objectives for the next phase, agreeing the next formal assessment date. They should ensure that induction is being completed in a timely way and identify and agree any further training needs or support.
- The tone of the formal assessments should be constructive, giving positive feedback on what has been done well and helpful advice on how to make improvements and/or develop aspects of the role. They should consider the extent to which the probationer meets the performance criteria as set out at Section 3.2 above.
- It is important that formal assessments are held regularly even where there are no concerns about performance, in order that the probationer may raise any concerns and request further support and to ensure that induction is completed in a timely way.
- Each formal assessment should be documented on the Probation Assessment Form, with copies signed and retained by the probationer and the probation reviewer. Where performance and progress are satisfactory, the record may be less detailed, however it is important to be aware that this documentation will form part of any decision to confirm or terminate an appointment or to extend the probationary period. If, at any stage, a third party contributes formally to the assessment, this should be recorded and signed accordingly.

<sup>1</sup> The term 'Head of Institution' used throughout this policy (and related probationary procedures) refers to Heads of Departments and of other academic institutions; Chairs of Faculty Boards not divided into Departments; and the administrative Heads of Institutions.

- Where progress has been unsatisfactory, the probation reviewer, should set out the nature of the concerns and the improvements needed, together with details of how and by when these need to be achieved. For example, this may involve making appropriate adjustments to the level of supervision and support given to the probationer and/or setting time-bound targets to be reviewed at the next formal assessment. It may also be appropriate to hold more frequent formal assessments in this case.
- If the performance of the probationer is clearly unsatisfactory and is unlikely to improve despite the provision of reasonable support, the probation reviewer may hold a final assessment and may recommend the early termination of the appointment. It is not necessary to wait until the end of the probationary period to do this, provided that the probationer has been made aware of the problems and has been given the opportunity to improve performance or conduct with appropriate support. Details of the final assessment process are set out below.
- Probation reviewers can find practical guidance on how to support and assess probationers in the University's *Practical Guidance for Probation Reviewers* [link to be inserted], which is intended to be a toolkit for institutions.

### 3.4 Final assessments

- The Human Resources Division will send regular reports to institutions, notifying them of probationary periods, so that formal and final assessments can be scheduled in a timely way. Assessments for short fixed-term appointments should be in place from an early stage.
- The probation reviewer will hold a final assessment with the probationer. This is recommended to take place within the last two months of probation and should be documented in the Probation Assessment Form, with copies signed and retained by both probationer and probation reviewer.
- Where performance during probation has been satisfactory, the probation reviewer, in consultation with the Head of Institution, will arrange for written confirmation to be sent to the probationer and for the central staff record to be amended.

### 3.5 Unsatisfactory performance

- Where performance is judged to be unsatisfactory, the Head of Institution, after consulting with the probation reviewer and relevant School HR Team, will consider whether to terminate or extend the appointment, or, in the case of established academic-related staff, where the Head of Institution is not able to confirm that probation has been completed satisfactorily, they will refer the matter to the appointing body<sup>2</sup> who will decide whether the probationary period should be extended or the appointment terminated.
- In each case the probationer and the probation reviewer will be entitled to make representations to the Head of Institution or appointing body (as appropriate) at a decision meeting, although they may supply written representations in the alternative.
- Copies of the probation assessment forms and supporting documentation should be supplied to all attendees in good time ahead of the meeting.
- The probationer is entitled to be accompanied by a trade union representative or work colleague at the meeting. They must tell the relevant School HR Team, who their chosen companion is, in good time before the meeting. If their companion is unavailable, they should inform the relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the original meeting date, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the meeting. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the meeting may be held by way of video or teleconference.
- The Head of Institution or appointing body (as appropriate) may be supported by a member of the relevant School HR Team at the meeting. The University may also arrange for a further member of HR to act as notetaker.
- The meeting may be adjourned if required to gather further information, provided that any adjournment will not lead to unreasonable delay.
- Where a decision to dismiss is made, the probationer will be given written notice of termination, including reasons and a right of appeal.
- In some instances progress towards successful completion of probation may have been prevented by circumstances beyond the control of the parties, for instance because of a long leave of absence on account of illness or family commitments.
- Where this is the case and there is a reasonable prospect of a satisfactory outcome to probation, the Head of Institution or appointing body (as appropriate) may extend the probationary period usually for a period of up to three months.

### 3.6 Right of appeal

#### *Established academic-related staff*

- Where the appointment is terminated, the probationer will have the right to appeal, under the provisions of Special Ordinance C (xiii), which can be found at <http://www.admin.cam.ac.uk/univ/so/>.

<sup>2</sup> The body specified in the *Statutes and Ordinances* as having the authority for making an appointment to an office.

*Unestablished academic-related, assistant and research staff*

- Where the appointment is terminated, the probationer may appeal in writing within 10 working days of the receipt of the notice of dismissal, setting out the grounds of their appeal. They should direct this letter to the Director of HR.
- The Director of HR will appoint an Appeal Chair, who shall be a University officer of equivalent or greater seniority to the decision-maker under Section 3.5, and who has had no prior involvement in the case.
- The appeal hearing will be arranged within 10 working days of the appointment of the Appeal Chair, or as soon as is reasonably practicable thereafter.
- The probationer and Head of Institution may make representations in person and/or in writing at the appeal hearing. Copies of the probation assessment forms and supporting documentation, and any written representations should be supplied to all parties in good time ahead of the hearing. The Appeal Chair may be supported by a member of the relevant School HR Team at the hearing. The University may also arrange for a further member of HR to act as note-taker.
- The probationer is entitled to be accompanied by a trade union representative or work colleague. They must tell the relevant School HR Team, who their chosen companion is, in good time before the appeal hearing. If their companion cannot attend, they should inform the relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the original appeal hearing date, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the hearing. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the hearing may be held by way of video or teleconference.
- The Appeal Chair may adjourn the appeal hearing if required to gather further information, provided that any adjournment will not lead to unreasonable delay.
- The Appeal Chair will inform the probationer of their decision in writing, wherever practicable within 10 working days of the appeal hearing or adjourned appeal hearing, setting out reasons for the decision. There is no further right of appeal.
- The Appeal Chair may vary the procedure above, as necessary, provided that the appeal is dealt with fairly and impartially and without unreasonable delay.
- Where a probationer appeals against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the probationer will be reinstated with no loss of continuity or pay.

*3.7 Period of notice required during the probationary period*

- The period of notice during the probationary period will be four weeks on either side.

**4. Guidance and additional sources of information**

<b>Policies and guidance</b>	<b>Templates and documentation</b>
Supporting information document on managing performance during probation: Practical Guidance for Probation Reviewers	Probation Assessment Form

**5. Policy ownership and status**

- This procedure is not contractual. It will be reviewed by the HR Division on a regular basis and amendments may be made in the light of any changes in legislation or operational requirements.

**ANNEX D – Probationary Procedure for Academic staff in the School of Clinical Medicine and clinical academics in other Schools****1. Contents**

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## 2. Eligibility

- This probationary procedure applies to all academic staff in the School of Clinical Medicine and clinical academics in other Schools, taking into account their clinical duties. It should be read together with the *University's Probationary Policy* [link to be inserted].

## 3. Procedure

### 3.1 How will the probationary scheme work in practice?

- The probation reviewer, who is usually the Head of Department, is responsible for managing the probationary period. For the purposes of this procedure, they will be referred to as the probation reviewer. Where the term 'Head of Department' is used, this indicates that the Head of Department should perform that particular function personally.
- The probation reviewer and mentor (as recommended by the Head of Department) will be approved as part of the Selection Committee meeting and recorded in the minutes. If the probation reviewer subsequently leaves or is absent (e.g. due to sabbatical leave), the Head of Department or Chair of the Selection Committee<sup>1</sup> must assign a new probation reviewer.
- The probation reviewer is responsible for ensuring that:
  - the duties of the probationer are clear and understood by the probationer at the outset;
  - the probationer completes central and local induction within specified timescales;
  - the work of the probationer is monitored;
  - the probationer is assigned a mentor;
  - any issues around performance are discussed directly with the probationer as and when they arise;
  - a written record is kept of feedback and any steps required of the probationer, using the templates indicated in this procedure where appropriate; and
  - an overall view of their progress, commitment and general contribution to the work of the Clinical School is formed during the probationary period.
- The probation reviewer will set goals and objectives in consultation with the Head of Department (if the Head of Department is not the probation reviewer).

### 3.2 Performance criteria

- Passing probation is regarded as an important career milestone and a fundamental test of capability to perform the duties of the office. Clear evidence of consistent and sustained satisfactory performance of duties and adherence to the University's expected standards of conduct is therefore expected.
- Performance will be assessed by reference to research; teaching and/or researcher<sup>2</sup> development; and service to the University and to the academic community. This will include acting as a positive role model and promoting the University's values of mutual respect and a sense of belonging for all within the University community.
- There must be no doubt that the probationer has been performing according to all the relevant criteria and meets the standards of excellence in their performance and contribution within the Cambridge context.
- Where relevant, College teaching should also be taken into account.
- Guidance on the evaluative criteria applicable to academics during probation can be found in the Report of the General Board on arrangements for the implementation of the Academic Career Pathways scheme.<sup>3</sup> To ensure transparency, all Departments/Faculties are expected to adopt and publish a protocol setting out what is expected of probationers under each of the evaluative criteria, to be approved by School Councils. As there may be differences in the way probation criteria are set across the various institutions, each institution will determine appropriate practice in their respective area, taking into account the relevant normative standards for their subject discipline. The protocol for the School of Clinical Medicine, can be found at [link to be inserted].
- In the case of clinical academics, it is recognised that input is required from the probationer's Clinical Director at the relevant NHS Trust/body. Accordingly, assessment of performance of clinical activity will be used in addition to research, teaching and/or researcher development and service to the University and to the academic community, when making recommendations on probation. This will be recorded on the summary document, the Probation Assessment Form.
- If, during the course of the probation, concerns arise regarding the probationer's clinical practice in their NHS Trust/body role, the probation reviewer shall consider the impact of this in assessing the probationer's performance and ability to carry out the full duties of their role for the University.
- It is also a requirement of the relevant NHS Trust that clinical academics are subject to NHS appraisals or Annual Reviews of Competence Progression ('ARCP') as appropriate, alongside their probation with the University.
- Please note that if the probationer is employed under a contract with the University which is coterminous with another role, should that role be terminated their employment with the University will also come to an end.

<sup>1</sup> The Selection Committee in this procedure is as constituted under Special Ordinance C (x): Selection Committees (Special Ordinance under Statute C XIII 2). Note that this may be the Selection Committee or an alternative School-level committee as set out in the local protocol constituted as a Selection Committee, or in the case of unestablished academic staff the relevant School-level or departmental committee.

<sup>2</sup> This would include post-doctoral researchers where relevant.

<sup>3</sup> *Reporter*, 6547, 2018–19, p. 562.

### 3.3 Years 1 and 2

- Before commencing the post or within one month, the probation reviewer will hold a one-to-one meeting to discuss the duties of the post, mutual expectations and developmental needs. Any other relevant requirements should be discussed and recorded.
- It is recommended that a probation review is held at the end of the first six months to ensure induction and all mandatory training has been completed. A record will be kept of the meeting and signed by the probationer and probation reviewer using the Probation Assessment Form.
- The probation reviewer will meet with the probationer annually to review the progress under general terms of research; teaching and/or researcher development; and service to the University and to the academic community, focussing on achievements against relevant performance criteria for the role. In advance of the review the probationer will be asked to consider their progress for discussion at the meeting. A record will be kept of the meeting and signed by the probationer and the probation reviewer using the Probation Assessment Form.
- During the probationary period, the probation reviewer can seek feedback from senior colleagues regarding the progress of the probationer in terms of their research; teaching and/or researcher development; and service to the University and to the academic community. Feedback from students may also be sought. For clinical academics, feedback will be sought from the individual's NHS Clinical Director.
- Where concern arises about aspects of the performance of the probationer, more frequent meetings should be held and a record kept.
- Consideration should be given to any special circumstances that may have resulted in a lack of opportunity to perform to their full potential, including any disability.

### 3.4 Year 3

- A formal review and assessment will take place in the third year of the probationary period. An overall minimum of three references should be sought, of which at least one should be external (usually the individual's NHS Clinical Director). The probationer will nominate two of these references. The probation reviewer may seek additional references if these are required. A record will be kept of the meeting and signed by the probationer and the probation reviewer using the Probation Assessment Form [link to be inserted].
- At this point the Head of Department, after receiving the Probation Assessment Form from the probation reviewer, can recommend confirmation of the probation to the Selection Committee at the end of the three year period. All probation documents and references should be reviewed and the final assessment should be completed by the Head of Department, using the Probation Assessment Form.
- If the probationer is performing to the expected standard, the Head of Department will make a positive recommendation, setting out their case in writing, for the confirmation of appointment to the Selection Committee, supported by Probation Assessment Forms, references and the probationer's CV.
- If the appointment is confirmed by the Selection Committee, the probationer will receive confirmation of their successful probation in writing and move to the School of Clinical Medicine's or other relevant annual appraisal scheme.
- On confirmation of appointment by the Selection Committee, a holder of an academic office shall hold office, subject to the provisions of Statute C, or any Special Ordinance made under it, until the retiring age or until the end of their tenure in the case of officers on fixed-term appointments, so long as they satisfactorily perform the duties of the office.

### 3.5 Years 4 and 5

- If the Head of Department assesses that the probation cannot be confirmed at the year 3 stage, or the Selection Committee does not approve the appointment, a further meeting should be set up to provide the opportunity to discuss progress in all areas and to discuss strategy, workload and support required. The probation reviewer will need to draw the probationer's attention to areas for improvement and set clear standards for what is required for the probation to be confirmed. At this stage, the Clinical or other relevant School HR team should be informed of the probation issues raised. Reviews should take place every six months and a record kept, using the Probation Assessment Form.
- The final assessment and recommendation of the Selection Committee can take place in years 4 or 5, depending on progress. The Head of Department shall have discretion as to when the final assessment should take place provided that confirmation (or non-confirmation) of tenure by the Selection Committee occurs, if possible, not less than nine months before the end of the five-year period. In any event the recommendation by the Head of Institution to the Selection Committee should be made no earlier than three years into the probationary period. For the purposes of the final assessment, all probation documents and references should be reviewed and the Probation Assessment Form should be completed by the Head of Department. New references should be sought if required.
- If the probationer is performing to the expected standard, the Head of Department will make a positive recommendation to confirm the appointment to the Selection Committee. All performance records and supporting documentation shall be made available to the Committee.
- If the appointment is confirmed by the Selection Committee, the probationer will receive confirmation of their successful probation in writing following the Selection Committee and move to the relevant appraisal scheme.

- On confirmation of appointment by the Selection Committee, a holder of an academic office shall hold office, subject to the provisions of Statute C, or any Special Ordinance made under it, until the retiring age or until the end of their tenure in the case of officers on fixed-term appointments, so long as they satisfactorily perform the duties of the office.
- If performance during probation is not satisfactory, the Head of Department should detail these concerns on the Probation Assessment Form and ensure that the individual receives a copy. The Head of Department will inform the probationer that the recommendation to the Selection Committee will be to extend or terminate the appointment.
- Exceptionally, the probationary period may be extended where:
  - There is the realistic prospect of a satisfactory outcome on probation;
  - Successful completion of probation has been impacted by factors beyond the probationer's control.
- Usually, extensions will for up to one year. Heads of Department are advised to consult with the Clinical or other relevant School HR Team at an early stage should an extension be likely.
- The probationer must be given the opportunity to make written representations to the Selection Committee and may attend the meeting of the Selection Committee if they wish to do so in order to present their case. They will have a right to be accompanied at the meeting by a trade union representative or work colleague.
- They must tell the Clinical or other relevant School HR Team who their chosen companion is, in good time before the meeting. If their companion cannot attend, they should inform the Clinical or other relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the meeting, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the meeting. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the meeting may be held by way of video or teleconference.
- The Selection Committee may be supported by a member of the relevant School HR Team at the hearing. The University may also arrange for a notetaker to be present.
- The Head of Department will supply the probationer's Probation Assessment Forms, together with any supporting documentation, to the Selection Committee ahead of the meeting, with a copy to the probationer.
- The meeting may be adjourned if required to gather further information, provided that any adjournment will not lead to unreasonable delay.
- The probationer will be informed of the decision of the Selection Committee in writing. If the decision is to extend then a meeting with the probation reviewer will take place to discuss the objectives set for the extension period. A minimum of quarterly meetings with the probation reviewer and a member of the Clinical School HR team will take place thereafter.
- If the decision is to terminate the appointment due to unsatisfactory performance during probation, this is a dismissal in law. The probationer will be given written notice of termination, including the reasons for the dismissal and a right of appeal.
- In cases where there has been an extension at the end of the normal probation period, a final assessment will be conducted at the end of the extension following the process as set out in this section.

### *3.6 Procedure for fixed-term posts*

- The provisions of this procedure (including any timings) will be adjusted to take into account shorter probationary periods for fixed-term academic offices and unestablished academic posts.
- In particular, the probationary period of clinical lecturers who are established for a fixed term of four years will be 12 months.
- Accordingly, the procedure outlined above for managing probation will apply, save that formal probation assessment reviews will take place on a regular basis during the 12-month probationary period, with a final probation assessment prior to the end of the probationary period.

### *3.7 Right of appeal*

#### *Established academic staff*

- If the appointment is terminated, the officer will have the right to appeal under the provisions of Special Ordinance C (xiii) (Appeals) and Ordinances, Chapter II, Septemviri, which can be found at <https://www.admin.cam.ac.uk/univ/so/>.
- Where a probationer appeals against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the probationer will be reinstated with no loss of continuity or pay.

#### *Unestablished academic staff*

- Where the appointment is terminated, the probationer may appeal in writing within 10 working days of the receipt of the notice of dismissal, setting out the grounds of their appeal. They should direct this letter to the Director of HR.
- The Director of HR will appoint an Appeal Chair, who shall be a University officer of equivalent or greater seniority to the members of the Selection Committee under Section 3.5, and who has had no prior involvement in the case.

- The appeal hearing will be arranged within 10 working days of the appointment of the Appeal Chair, or as soon as is reasonably practicable thereafter.
- The probationer and a member of the Selection Committee may make representations in person and/or in writing at the appeal hearing. Copies of the probation assessment forms and supporting documentation, and any written representations should be supplied to all parties in good time ahead of the hearing. The Appeal Chair may be supported by a member of the relevant School HR Team at the hearing. The University may also arrange for a further member of HR to act as note-taker.
- The probationer is entitled to be accompanied by a trade union representative or work colleague. They must tell the relevant School HR Team, who their chosen companion is, in good time before the appeal hearing. If their companion cannot attend, they should inform the relevant School HR Team immediately so that an alternative time can be arranged. If the companion is unable to attend within a reasonable period of the original appeal hearing date, the University may ask the probationer to choose another companion.
- Where a probationer has indicated that they wish to make representations in person, they must make every effort to attend the hearing. If they fail to attend without good reason, or are persistently unable to do so, the University reserves the right to proceed on the evidence available.
- Where circumstances require it, and in particular, to avoid delay, the hearing may be held by way of video- or teleconference.
- The Appeal Chair may adjourn the appeal hearing if required to gather further information, provided that any adjournment will not lead to unreasonable delay.
- The Appeal Chair will inform the probationer of their decision in writing, wherever practicable within 10 working days of the appeal hearing or adjourned appeal hearing, setting out reasons for the decision. There is no further right of appeal.
- The Appeal Chair may vary the procedure above, as necessary, provided that the appeal is dealt with fairly and impartially and without unreasonable delay.
- Where a probationer appeals against dismissal, the date on which dismissal takes effect will not be delayed pending the outcome of the appeal. However, if the appeal is successful the probationer will be reinstated with no loss of continuity or pay.

### 3.8 *Period of notice required during the probationary period*

- The period of notice to terminate the appointment during the probationary period, will normally be three months on either side (one month's notice for an appointment of less than one year's duration).

### 3.9 *Support from the Clinical School HR Team for its academics*

- The Clinical School HR Team will offer:
  - Advice on selecting an appropriate mentor;
  - Training workshops for all probation reviewers;
  - Cascade information to Business and Operations Managers/Departmental Administrators via HR Forum;
  - Guidance documentation maintained HR and available on Clinical School HR webpages;
  - Support, advice and information on all probation cases where required;
  - Prompt Heads of Departments, Business and Operations Managers/Departmental Administrators and probation reviewers of forthcoming meetings, formal assessments and Selection Committees for all academic staff within the probationary period;
  - Request Clinical Director feedback (for clinical academics);
  - Request references, invite individuals to the Selection Committee (where necessary) and draft successful completion/extension or termination letters for the probationer;
  - Attendance at the Selection Committee where extension or termination is recommended.

## 4. **Guidance and additional sources of information**

<b>Policies and guidance</b>	<b>Templates and documentation</b>
Supporting information document on managing performance during probation: Practical Guidance for Probation Reviewers	Probation Assessment Form
Criteria for the assessment of Academic Probation at the School of Clinical Medicine [link to be inserted]	

## 5. **Policy ownership and status**

- This procedure is not contractual. It will be reviewed by the HR Division on a regular basis and amendments may be made in the light of any changes in legislation or operational requirements.