

## **PROBATION – ACADEMIC RELATED, RESEARCH AND TEACHING STAFF (GRADES 5-9)**

**GENERAL COMMENTS:** Under their Conditions of Appointment all new appointees are required to undergo a formal probationary period of service of twelve months. New Appointees will be set agreed objectives by their Head of School/Section or Line Manager within 6 weeks of commencing post. During the probation period staff are required to demonstrate their suitability for employment in the University of Aberdeen with particular regard to standards of:

- Performance of Duty;
- Attendance;
- Absence;
- Conduct.

**DURATION OF PROBATION:** The probationary period of service normally lasts for twelve months starting from the date of commencement of employment. It may last longer in exceptional circumstances, which are detailed below under **EXTENSION OF PROBATION.**

**ACCELERATION OF PROBATION PERIOD:** Acceleration of probation will be considered by the Head of School/Section in cases of exceptional performance.

**MENTOR FOR PROBATIONER:** Mentors will be allocated to probationers where necessary or requested by probationer.

**MONITORING OF PROBATION:** A Head of School/Section or Line Manager is required to provide a formal report on progress covering the four areas listed above. Overall performance is assessed in terms of how efficiently and reliably duties are performed. If the individual is unable to perform a job satisfactorily the Head of School/Section or Line Manager will discuss this matter with the individual concerned and may arrange for additional training to help them reach the standard required. Staff should not hesitate to approach their Head of School/Section or Line Manager for help if they need to do so. The University will assess the overall suitability of attendance, health and conduct records during a period of probation against standard criteria applied to all Staff on probation.

**ABSENCE FROM WORK:** If absent for any reason, an individual is required to let his/her Head of School/Section or Line Manager know as soon as possible. If the absence is as a result of illness the guidelines detailed under *Employment Policies* within the Conditions of Appointment should be followed. If unable to attend for reasons other than illness an individual should give their Line Manager the full facts at the time and ask for further advice.

**CONFIRMATION OF PROBATIONARY PERIOD:** If a probationary period of service has progressed satisfactorily then an individual will receive confirmation of its completion from the Human Resources Office.

**EXTENSION OF PROBATION:** The probationary period of service may be extended in exceptional circumstances if:

- i) Performance, attendance, health or conduct has been unsatisfactory in some way but there are good prospects of improvement. Extension will normally be for a further period of 6 months and is subject to a maximum probationary period of service of 18 months overall. An individual will be advised in writing of the duration of the extension to the probationary period of service and the reasons for it, before the end of the original period.
- ii) The total amount of absence (including sickness and special leave) amounts to more than one month during the probationary period. Such circumstances are exceptional and the extension will **normally** be of the cumulative period of absence, and is subject to a maximum probationary period of service of 18 months overall. If a probationary period is lengthened in this way the individual will be advised in writing of the duration of the extension and the reasons for it before the end of the original period.

**TERMINATION OF APPOINTMENT:** An individual's Head of School/Section or Line Manager will inform an individual on probation how they are progressing and will monitor their overall probationary period. If an individual fails to reach satisfactory standards during the probationary period of service, the contract of employment may, after suitable warning, be terminated. Termination during the probation period (original or extended) will be subject to a contractual notice period or pay in lieu of notice where appropriate. An individual whose contract is terminated, has the right of appeal and details of this entitlement and procedure to be adopted will be communicated to the individual in the notification of termination.

**RIGHT OF APPEAL:** An individual whose contract is terminated has the right of appeal as follows:

1. The member of staff has the right of appeal against a decision not to confirm his/her employment under this procedure. Any appeal should be sent to the Director of HR within 10 working days of the member of staff receiving the written decision to dismiss. The appeal must state the grounds for appeal.
2. The appeal will be heard by the next level of management to the dismissing manager. The manager hearing the appeal will have had no prior involvement with the case and the appeal hearing will be a review of the decision to dismiss. Appeals can be made on the following grounds:-

- The procedure was unfair, and/or the correct procedure was not followed
  - The decision was unfair or perverse because the evidence did not support the decision
  - The action taken against the employee was too severe
  - There is new evidence that was not available at the original hearing to support the employee's case
3. The decision may be given verbally at the appeal hearing and will normally be confirmed in writing within 5 working days of the hearing.
  4. The outcome of the appeal will be final and there will be no further internal right of appeal. Any dismissal under this procedure will remain in force pending the outcome of any appeal.
  5. The appeal panel will have the authority to reach the following conclusions or to make other recommendations:-
    - Confirm the outcome and decision of the original meeting
    - Uphold the appeal of the individual if the evidence does not support the outcome of the original meeting or if the conduct of the procedure has been unfair
    - Extend the probationary period
    - Adjourn the appeal due to significant new evidence which requires further investigation and consideration
    - Recommend a re-hearing, in consultation with HR, as a result of significant new evidence put forward during the appeal hearing and details of this entitlement and procedure to be adopted would be communicated to the individual in the notification of termination.

**PROBATIONARY MONITORING FORM**

To be completed by the Head of School/Section and (where applicable) line manager and retained until probation has been successfully completed. Thereafter to be returned by the Head of School/Section to the Human Resources Office.

NAME OF INDIVIDUAL ON PROBATION: .....

GRADE: .....

DATE PROBATION COMMENCED: .....

SCHOOL/SECTION: .....

PLEASE TICK BOX

ASSESSMENT PERIODS

<u>PERFORMANCE OF DUTIES</u>	1 month	3 months	6 months	9 months	11 months
Has the individual satisfactorily performed duties as detailed by the School/Section?					
If no, action taken:					
Review date and comments:					
Additional comments:					
<b>Signature: Probationer</b>  <b>Line Manager</b>  <b>Head of</b> <b>School/Section</b>	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....

**PROBATIONARY MONITORING FORM**

**PLEASE TICK BOX**

**ASSESSMENT PERIODS**

<b><u>ATTENDANCE</u></b>	<b>1 month</b>	<b>3 months</b>	<b>6 months</b>	<b>9 months</b>	<b>11 months</b>
Has the individual been late for work on 2 or more occasions within each assessment period?					
If yes, state dates and times:					
Action taken: and Review Date:					
Additional Comments:					
<b>Signature: Probationer</b>  <b>Line Manager</b>  <b>Head of</b> <b>School/Section</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>

**PROBATIONARY MONITORING FORM**

**PLEASE TICK BOX**

**ASSESSMENT PERIODS**

<b><u>ABSENCE</u></b>	<b>1 month</b>	<b>3 months</b>	<b>6 months</b>	<b>9 months</b>	<b>11 months</b>
Has the individual been absent from work on 2 or more occasions within each assessment period?					
If yes, state reason given for absence:					
Action taken: and Review Date:					
Additional Comments:					
<b>Signature: Probationer</b>  <b>Line Manager</b>  <b>Head of</b> <b>School/Section</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>	..... <b>Date: .....</b> ..... <b>Date: .....</b> ..... <b>Date: .....</b>

**PROBATIONARY MONITORING FORM**

**PLEASE TICK BOX**

**ASSESSMENT PERIODS**

<b><u>CONDUCT</u></b>	<b>1 month</b>	<b>3 months</b>	<b>6 months</b>	<b>9 months</b>	<b>11 months</b>
Has unsatisfactory conduct been discussed with the individual during any of the review periods?					
If yes, state nature of offence:					
Action taken: and Review Date:					
Additional Comments:					
<b>Signature: Probationer</b>  <b>Line Manager</b>  <b>Head of</b> <b>School/Section</b>	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....	..... <b>Date:</b> ..... ..... <b>Date:</b> ..... ..... <b>Date:</b> .....

**PROBATIONARY MONITORING FORM**

**PLEASE TICK BOX:**

<b>RECOMMENDATIONS:</b> Probation to be confirmed: Yes <input type="checkbox"/> No <input type="checkbox"/>	<b>COMMENTS:</b>
<b>PROBATION TO BE EXTENDED:</b> Yes <input type="checkbox"/> No <input type="checkbox"/> <b>PERIOD OF EXTENSION:</b> Months <b>SUCCESSFUL COMPLETION DATE:</b>	<b>ADDITIONAL COMMENTS:</b>
<b>Progress has been exceptional and probationer to be confirmed in post:</b> Yes: <input type="checkbox"/>	<b>ADDITIONAL COMMENTS:</b>
<b>INDIVIDUAL TO BE DISMISSED:</b> Yes <input type="checkbox"/> No <input type="checkbox"/>	
<b>Signature:</b> Line Manager .....Date: ..... Head of School/Section.....Date: .....	

**Note:** The Line Manager is responsible to their Head of School/Section for monitoring an individual's progress, and providing a formal report on the four areas listed above at the stated intervals. The regular reports and final recommendation should be submitted through the Head of School/Section to Human Resources. The final report should be submitted at least 2 weeks before the expiry of the probationary period.