About the probation process

1. Probation applies to all lecturers and senior lecturers that have not yet completed a probationary period with QMUL. The new entrant should view the probation process as an opportunity for supervised self-development in (and systematic evaluation of) all aspects of their academic practice.
2. During probation, new entrants will be required to engage in teaching and research (or teaching and scholarship) under the direction of the Head of School/Institute (or a nominee). A mentor named in the letter of appointment (not normally the employee’s line manager) is assigned to advise the employee on academic and related matters within the discipline/school/institute.
3. Lecturers appointed on Grade 5 will be promoted automatically to Grade 6 on successful completion of probation.
4. **Setting the length of the probation period**
5. This is determined by the appointment panel and is set out in the employee’s contract. The probation period for lecturers and senior lecturers new to higher education is 3 years. In exceptional cases, the appointment panel may recommend a reduction in the probation period if the new employee can satisfy it that they have substantial and relevant experience in another organisation. The panel should ensure that any reduction is proportionate to the experience gained elsewhere, secure the agreement of the relevant Faculty Vice-Principal and record the reduced probation period and the rationale for it on the *Request to Appoint* form.
6. If the contract is due to run for a shorter period than the probation period, the employee will be on probation for the length of their contract. If the contract is extended, so will the probation period, until all the probation assessments are completed.
7. **Expectations about professional development in teaching and the support of students’ learning**
8. Excellence in all aspects of learning and teaching is critical to Queen Mary¹s mission. QMUL therefore requires all newly-appointed lecturers to undertake an approved programme of professional development in teaching and the support of students’ learning.  This programme will include training in research student supervision where appropriate.  The details of the programme to be completed will be agreed on appointment.
9. There are two routes available for probationary staff: PGCAP, or the acquisition of 100 points in the flexible QM Teaching & Learning Continuing Professional Development (T&L CPD) points-based scheme. PGCAP is an accredited qualification offered by the QM Learning Institute, nationally recognised through the Higher Education Academy. Points for the QM T&L CPD scheme can be obtained through developing a portfolio of credits obtained through taking selected modules from the PGCAP scheme, and/or other approved activities, which might be provided by your school, faculty, or externally.
10. The faculty VP may agree a partial or complete exemption from PGCAP, or the points-based T&L CPD scheme, if the new entrant is already a Fellow of the Higher Education Academy and/or has a proven record of at least 3 years¹ successful teaching in a comparable higher education institution.
11. **Expectations about academic contribution during probation**
12. Queen Mary’s expectations about the minimum contribution of academic staff are set out in the Appendices to the document “[Framework for the Assessment of Academic Contribution](http://www.hr.qmul.ac.uk/acadreview/65473.doc)”. A new entrant is expected to achieve the minimum contribution described in the document by the end of their probation period (at the latest).
13. The document describes satisfactory achievement in three categories:
14. Knowledge Creation
15. Knowledge Dissemination
16. Enabling Activities (such as administrative or managerial work)

Each of these categories is supported by a list of the ways that an academic can show that they have contributed as required. The new entrant, the Head of School/Institute and the mentor should familiarise themselves with that document before completing or reviewing this form.

Wherever teaching is being assessed as part of Knowledge Dissemination, reference should also be made to the [Queen Mary Indicators of Teaching Excellence](http://connect.qmul.ac.uk/docs/teachlearn/strategy/4257.pdf).

Some faculties, schools or institutes have also developed their own criteria for assessing academic contribution and these should be used where they exist. In the SMD, for example, there are [performance standards](http://connect.qmul.ac.uk/faculties/md/resources/index.html) for a range of academic roles including Teaching and Scholarship; Principal Investigator; and Teaching and Research.

1. **Expectations about workload during probation**
2. As a guideline, QMUL suggests that, in the first year of probation, there is a reduction in the teaching workload of between one quarter and one third (when compared to the average lecturer’s teaching load in the School/Institute). In subsequent years the reduction will be smaller and, by the end of the three years, there will be no reduction at all. The exact arrangements will depend on circumstances in the School/institute.
3. However, part of the purpose of any reduction is to accommodate the 40 hours per year required for PGCAP, and for those exempted from the PGCAP requirement, the teaching load will not be reduced as much.
4. In the first year of probation, the Head of School/institute will not normally assign the new employee any major administrative role, such as that of Admissions Tutor, or Director of Studies. The new employee may be asked to undertake some administrative or minor management duties but will not normally be given any major additional responsibility.
5. **The role of the Head of School/Institute**
6. The Head of School/Institute (or a line manager they nominate) will meet with each probationary lecturer on a regular basis to:
7. arrange induction and support
8. agree objectives and discuss progress
9. establish a system for monitoring the employee’s contribution
10. arrange peer observation of and feedback on teaching
11. provide regular feedback on other aspects of performance
12. complete any necessary documents such as this form.

If the Head of School/Institute nominates another line manager in their place, the nominee must be a senior colleague who has themselves completed probation. Moreover, the Head of School/Institute must, after the set-up meeting, sign off the objectives that have been set and the evidence of achievement that will be sought. They should also sign off all subsequent probation reports before the form is submitted to the Faculty Panel. If the new entrant is in danger of failing their probation, the Head of School/Institute must be actively involved in addressing the situation. They should take advice from the HR Department when doing so.

1. **The role of mentor**
2. The mentor will be a senior member of academic staff, normally working in the same discipline as the probationary member of staff, and appointed by the Head of Institute or School. Where possible a new entrant will be paired with a mentor that shares similar teaching or research interests. The name of the mentor should be communicated in advance of the start date. It will be the responsibility of the mentor to make initial contact with the probationer at the start of the period of employment.
3. The role of [mentors in Queen Mary](http://qm-web.hr.qmul.ac.uk/workqm/develop/Mentoring/index.html) is described in full on the HR Website. With regard to probation, the mentor should:
4. help induct the probationary member of staff into the discipline and/or school/institute
5. attend the set-up meeting
6. support the probationary member of staff with advice about the execution of their academic duties during the period of probation
7. attend probation review meetings if requested to do so by the new entrant.
8. The mentor is not responsible for the line management of the new entrant, nor for making decisions about the objectives to be pursued, nor for assessing whether these have been successfully achieved.

**The role of probationer**

The new entrant is expected to use the probation period, the probation review procedure and the resources and concessions provided by Queen Mary to manage and support their own professional development. If they find that the arrangements are not working as expected, they should raise the matter in good time with the Head of School/Institute or with their mentor.

Monitoring Progress and Achievement

1. **Set Up Meeting**
2. The Head of School/Institute (or a line manager that they nominate) should meet the new employee and their mentor within a month of their first day with QMUL to “set up” the probation arrangements. At the meeting the Head of School/Institute will:
3. discuss and agree with the new entrant the targets and objectives to be assessed at the first assessment meeting.
4. record these on this form.
5. **Annual Reviews**
6. Towards the end of each year of the probation period (or towards the end of any extension period), the Head of School/Institute (or a nominee) will make an assessment of the progress of the probationary lecturer and this will be reported to the appropriate Faculty Panel alongside a report by the Head of Academic Practice (Learning Institute) about progress on the Postgraduate Certificate in Academic Practice (PGCAP) (unless the lecturer has been exempted from the programme), and a report and/or comments from the probationary lecturer.
7. The appropriate Faculty Panel will review each annual report and provide written feedback to the new entrant and the Head of School/Institute normally through the HR Department. The feedback will focus on the criteria for passing probation and the setting of appropriate objectives for the forthcoming year.
8. **Final Year Review**
9. At (or before) the end of the period of probation, the Head of School/Institute will recommend in a final report to the appropriate Faculty Panel whether the appointment should be confirmed or not, or whether an extension of up to one further year is required.
10. **Extending the Probation Period**
11. If the employee is absent for significant periods during their probation – they might for example need time off for maternity, parental leave or extended sick leave - they may apply to QMUL for an extension of up to one year. In exceptional cases, QMUL too may opt to extend the probation period for up to a year if there is any doubt about confirmation in post. If an extension is agreed, detailed objectives must be set by the Head of School/Institute in conjunction with appropriate Faculty Panel. The Head of School/Institute will monitor progress against these objectives and this will form the basis of the new, final report at the end of the period.
12. **Early End to Probation**
13. Normally, the probation period will run the full term, and this is what is shown in the flow chart on the next page. However, occasionally, it may be appropriate, before the end of the probation period, either to:
14. confirm the employee in post (as they have already satisfied the probation requirements); or
15. notify them that they have failed their probation. (In such cases, the line manager should take advice from the HR Department in good time before meeting with the employee).

The employee would normally only be dismissed before the probation period is complete if:

1. there were very serious concerns about their conduct , performance, attendance or some other substantial matter; and
2. the Head of School/Institute was convinced that these concerns could not be remedied within the scope of the probation period.
3. **Interim or Early Meetings**

Heads of School/Institute and line managers may hold interim review meetings and/or bring forward the annual review if they judge that doing so is appropriate.

1. **Completing the forms**

Probation is not a “paper” exercise. It must be clear from the probation report that:

1. the employee and the mentor have genuinely participated in the process;
2. the Head of School/Institute (or their nominee) has evaluated the employee’s progress and can support their evaluation with evidence.

**Probation and its relation to Queen Mary Performance Appraisal Scheme (QMPAS) and Revalidation/Medical Appraisal**

**For non–clinical academic staff:** The Probation scheme and QMPAS overlap in that both schemes set objectives for the individual and evaluate their development needs. To avoid duplication of effort, non-clinical staff on probation are normally excluded from QMPAS. However, at the end of probation, any new entrant confirmed in post will need to transfer onto QMPAS. After discussion, ensure that objectives and development needs for the following year are entered onto parts 3 and 4 of the QMPAS form. Alternatively, complete the extract from the QMPAS form that is included at the end of this document. Ensure that, for those confirmed in post, the transfer onto QMPAS happens during the final probation assessment.

**For clinical academic staff**: If the employee is required to maintain registration (with licence to practice) with the GMC/GDC, they must undergo an annual enhanced appraisal. This process, conducted jointly with the NHS Trust with whom they have an honorary contract, is necessary to meet the requirements of revalidation. It is carried out **separately** and **in addition** to the Queen Mary probation process.

Probation Flow Chart

| Probation Flow Chart |
| --- |
|  |

Basic Information and Key Dates

Boxes 1- 4 to be completed in the HR Department. Box 5 to be completed in the SMD only.

| Box 1: The new entrant and their job | |
| --- | --- |
| Employee’s name: |  |
| Job title: |  |
| School: |  |
| Work place address |  |
| Head of School name |  |
| Line manager’s name (if needed) |  |
| Line manager’s job title (if needed) |  |
| Mentor’s name |  |
| Mentor’s job title |  |

| Box 2: Key dates, managing the process | | |
| --- | --- | --- |
| Date employee appointed |  | |
| Date of set-up meeting | Due by: | Actual: |
| Date of 1st (9 month) assessment | Due by: | Actual: |
| Date of 2nd (21 month) assessment | Due by: | Actual: |
| Date of 3rd (33 month) assessment | Due by: | Actual: |
| Date probation is due to end | Due by: | Actual: |

1. If contract extended

| Box 3: HR contact | |
| --- | --- |
| HR contact name: |  |
| Phone number: |  |
| E-mail address |  |

| Box 4: Probation conditions recorded on the Request to Appoint Form | | | |
| --- | --- | --- | --- |
| PGCAP | Yes  No | Another developmental programme | Yes  No |
| Comments/conditions: | | | |

|  |
| --- |
| **Box 5: Academic Role (SMD Only) (To be completed by the line manager)** |
| Principal Investigator |
| Teaching and Research |
| Teaching and Scholarship |

Set-up meeting

Normally carried out within 1st month of employment

To be completed by the line manager/Head of School or Institute following discussion with the employee and their mentor.

**Instructions on this section:**

Meet with the employee and their mentor in the first month of employment, to set up the probation process. Ensure that by the end of the meeting, everyone has diarised all the scheduled probation review meetings. The mentor is expected to attend probation review meetings if the new entrant requests it.

At the “set up” meeting:

1. discuss and agree the targets/objectives that you intend to assess at the first assessment meeting.
2. record these directly onto the form in the “First Assessment” section (beginning on page 8) - in the white boxes. When you review progress at the first assessment meeting (normally after 9 months) you can then complete the light grey boxes.

Discuss and record the kind of evidence that you are looking for in the work you want the employee to do. The gathering of evidence may take many forms, but the new entrant should be clear about what they have to do.

Queen Mary’s expectations about the minimum contribution of academic staff are set out in the document “[Framework for the Assessment of Academic Contribution](http://www.hr.qmul.ac.uk/acadreview/65473.doc)”

All parties should read that document before the set up meeting. As well as defining the standards required, it lists the kinds the evidence to look for. It has two appendices: Appendix 1 relates to lecturers, Appendix 2 to senior lecturers. Please note that:

1. You should normally set objectives covering the areas of “knowledge creation”; “knowledge dissemination”; “enabling”; and “development”.
2. If there are clinical objectives, you should include these in the section on “knowledge dissemination”.
3. Some faculties, schools or institutes have developed local criteria for assessing academic contribution. Use these where they exist.
4. When assessing “knowledge dissemination” you should refer to the [Queen Mary Indicators of Teaching Excellence](http://connect.qmul.ac.uk/docs/teachlearn/strategy/4257.pdf).
5. You should assess progress towards PGCAP (or an alternative) as a “development” objective.

| Line manager’s check list | |
| --- | --- |
| I have discussed and agreed with the new entrant the criteria to be assessed at the first probation assessment meeting;  I have discussed and agreed with the new entrant the kind of evidence I am looking for;  I have recorded these beginning on page 8 of this form;  I have diarised the date(s) for the first assessment. | |
| Line manager’s signature (if needed): | Date of signature: |
| Head of School/Institute’s signature: | Date of signature: |

| Employee comments and signature | |
| --- | --- |
| Employee’s comments | |
|  | |
| Employee’s signature: | Date of signature: |

| Mentor’s comments and signature | |
| --- | --- |
| Mentor’s comments | |
|  | |
| Mentor’s signature | Date of signature: |

Probation Assessment

**Instructions on this section:**

At each probation assessment meeting, the Head of School/Institute (or a line manager that they nominate) will meet the employee (who is entitled to be accompanied by their mentor) to:

1. review and evaluate progress against the work targets and objectives agreed earlier (Box 1);
2. evaluate the new employee’s general progress with regard to timekeeping, attendance, conduct etc. (Boxes 2-8);
3. summarise, report and make a recommendation to the Faculty Panel (Box 9 of this year’s Probation Assessment);
4. plan and record next year’s objectives (Box 1 of next year’s Probation Assessment).

If the Head of School or Institute considers that the new entrant is in danger of failing their probation, they should take advice from HR in good time and before any probation review meeting.

1 Review and evaluate progress against work objectives

Get the new entrant to supply an up-to-date CV and list of publications, imminent publications and grants applied for as well as grants won. Get a report from the Learning Institute on progress towards PGCAP (unless the employee is exempted); and any other developmental programme set as a probation objective. Remind yourself of QMUL’s “[Framework for the Assessment of Academic Contribution](http://www.hr.qmul.ac.uk/acadreview/65473.doc)”: the [Queen Mary Indicators of Teaching Excellence](http://connect.qmul.ac.uk/docs/teachlearn/strategy/4257.pdf) and any criteria developed locally for your faculty, school or institute. Then, after discussion with the employee, complete the “evidence” and “summary” for each of the objectives that were agreed (and recorded in Box 1) at the set up meeting.

Completed on-screen, the boxes will expand to accommodate all the text that you need to enter. In *Word*, “cut and paste” and “spell check” work best with “Protect Document” switched off, but you will only be able to use the “check boxes” with “Protect Document” switched on. You can toggle between “Protect Document”/”Unprotect Document” using the *Tools* menu in Word.

**Knowledge Creation:**

As well as listing research, grants applied for and won, publications and imminent publications, indicate whether targets have been met, missed or exceeded. You should evaluate the quality of research undertaken. Where a paper has been submitted but is not yet published, you should also assess any evidence that it is likely to be published.

**Knowledge Dissemination:**

This should not just be a list of courses the probationer is teaching on. There should be an evaluation of teaching, including evidence of:

1. Peer observation (including direct observation by the line manager and mentor)
2. Reflection on student evaluation questionnaires (by mentor/line manager/head of school/institute, as appropriate).

Where appropriate, record evidence about knowledge transfer, outreach or professional/clinical practice.

**Enabling Activities:**

As well as listing the activities that show the new entrant’s contribution, evaluate the effectiveness or success of the activities undertaken.

**Development:**

Evaluate progress towards PGCAP, or any other development objectives agreed for the new entrant, including courses attended and attendance at conferences.

2 Evaluate the employee’s general progress

Identify any general concerns over the employee’s conduct, timekeeping, attendance, etc., and complete boxes 2 to 5 of the form.

3 Plan and record next year’s objectives

Complete as many boxes as necessary on next year’s probation assessment. You will be setting objectives in the same way that you did at the original “set up” meeting. You should remind yourself of the instructions on that section (see page 6) before completing this part of the form.

1. Summarise, report and make a recommendation to the Faculty Panel
2. Complete box 6 of the form and get comments from the new entrant and their mentor (if they attended the meeting). Send a copy of the signed form, the up-to-date CV, the list of publications, grants applied for/won and the report from the Learning Institute to the HR Department who will forward them to the relevant Faculty Panel. Make sure you complete the checklist in box 9 of the form.

First Probation Assessment

| First Probation Assessment of: | | | | |
| --- | --- | --- | --- | --- |
| Employee name: |  | |  |  |
| 1: Targets for Year One | | | | |  |
| **Objective 1** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 2** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 3** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 4** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 5** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 6** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 7** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |

Please go to box 2 on the next page of this form

|  |
| --- |
| 2: Conduct and disciplinary issues |
| Brief description of any issues and action taken to address them (if applicable): |
|  |
| 3: Attendance, timekeeping and sickness issues |
| Brief description of attendance record and any action taken to address issues (if applicable): |
|  |
| 4: Areas of concern or weakness |
| Brief description of any matters where improved performance is required (if none, say so). |
|  |
| 5: Development needs/support required in the next assessment period |
| Brief description of any training needs identified, support offered or other measures to improve performance. Don’t forget to review these measures at the next assessment meeting. |
|  |

Please go to box 6 on the next page of this form

| 6: Probation report for faculty panel: overall assessment and recommendation | |
| --- | --- |
|  | |
| The probationer has successfully completed PGCAP or another programme set as a probation objective:  Yes  No  PGCAP exemption agreed earlier by VP  Not required | |
| Proceed to next stage of probation. Complete the management check list at the foot of the page.  Recommendation that the employee should be dismissed. (Consult HR before you make such a recommendation.) | |
| Line Manager’s signature (if needed) | Date of signature: |
| Head of School/Institute’s signature | Date of signature: |
| 7: Employee comments and signature | |
|  | |
| Employee’s signature: | Date of signature: |
| 8: Mentor comments and signature (if in attendance) | |
|  | |
| Mentor’s Signature: | Date of signature |
| 9: Manager’s check list | |
| I have discussed and agreed the criteria to assess at the next probation meeting, including issues raised in the “development needs/support” box on this page.  I have recorded these on the “second probation assessment” section of this form.  I have diarised the date(s) for the next assessment  I have forwarded a signed copy of this report, an up-to-date CV, a list of publications, grants applied for/won and a Learning Institute report on progress toward PGCAP or another developmental objective (if needed) to HR who will forward the papers to the relevant Faculty Panel. | |
| 10: Faculty Panel Comments | |
|  | |
| VP’s signature: | Date of signature: |

Second Probation Assessment

The instructions for this section of the form are identical to those for the first assessment set out on page 6.

| Second Probation Assessment of: | | | | |
| --- | --- | --- | --- | --- |
| Employee name: |  | |  |  |
| 1: Targets for Year Two | | | | |
| **Objective 1** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 2** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 3** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 4** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 5** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 6** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |

Please go to box 2 on the next page of this form

| 2: Conduct and disciplinary issues |
| --- |
| Brief description of any issues and action taken to address them (if applicable): |
|  |
| 3: Attendance, timekeeping and sickness issues |
| Brief description of attendance record and any action taken to address issues (if applicable): |
|  |
| 4: Development needs/support required in the next assessment period |
| Brief description of any training needs identified, support offered or other measures to improve performance. Don’t forget to review these measures at the next assessment meeting. |
|  |
| 5: Areas of concern or weakness |
| Brief description of any matters where improved performance is required (if none, say so). |
|  |

Please go to box 6 on the next page of this form

| 6: Probation report for faculty panel: overall assessment and recommendation | |
| --- | --- |
|  | |
| The probationer has successfully completed PGCAP or another programme set as an objective of probation:  Yes  No  PGCAP exemption agreed earlier by VP  Not required | |
| Proceed to next stage of probation. Complete the management check list at the foot of the page.  Recommendation that the employee should be dismissed. (Consult HR before you make such a recommendation.) | |
| Line Manager’s signature (if needed) | Date of signature: |
| Head of School/Institute’s signature | Date of signature: |
| 7: Employee comments and signature | |
|  | |
| Employee’s signature: | Date of signature: |
| 8: Mentor comments and signature (if in attendance) | |
|  | |
| Mentor’s Signature: | Date of signature |
| 9: Manager’s check list | |
| I have discussed and agreed the criteria to assess at the next probation meeting, including issues raised in the “development needs/support” box on this page.  I have recorded these in the “third probation assessment” section of this form.  I have diarised the date(s) for the next assessment  I have forwarded a signed copy of this report, an up-to-date CV, a list of publications, grants applied for/won and a Learning Institute report on progress toward PGCAP or another developmental objective (if needed) to HR who will send on the papers to the relevant Faculty Panel. | |
| 10: Faculty Panel Comments | |
|  | |
| VP’s signature: | Date of signature: |

Third assessment

**Instructions on this section:**

The instructions for this section of the form are identical to those for the first assessment set out on page 6.

| Third Probation Assessment of: | | | | |
| --- | --- | --- | --- | --- |
| Employee name: |  | |  |  |
| 1: Targets for Year Three | | | | |
| **Objective 1** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 2** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 3** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 4** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 5** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evidence sought: | |  | | |
| Evaluation/Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |
| **Objective 6** | |  | | |
| Kind of Objective: | | Knowledge Creation  Knowledge Dissemination  Enabling  Development | | |
| Timescale: | |  | | |
| Evaluation/Evidence | |  | | |
| Evidence: | |  | | |
| Summary: | | Objective fully met  Objective part met  Objective not met | | |

Please go to box 2 on the next page of this form

| 2: Conduct and disciplinary issues |
| --- |
| Brief description of any issues and action taken to address them (if applicable): |
|  |
| 3: Attendance, timekeeping and sickness issues |
| Brief description of attendance record and any action taken to address issues (if applicable): |
|  |
| 4: Areas of concern or weakness |
| Brief description of any matters where improved performance is required (if none, say so). |
|  |

Please go to box 5 on the next page of this form

| 5: Probation report for faculty panel: overall assessment and recommendation | |
| --- | --- |
|  | |
| The probationer has successfully completed PGCAP or another programme set as an objective of probation:  Yes  No  PGCAP exemption agreed earlier by VP  Not required | |
| Recommendation to confirm appointment.  Recommendation that the employee should be dismissed. (Consult HR before you make such a recommendation.)  Recommendation that the probation period should be extended. (Again, consult HR) | |
| Line Manager’s signature (if needed) | Date of signature: |
| Head of School/Institute’s signature | Date of signature: |
| 6: Employee comments and signature | |
|  | |
| Employee’s signature | Date of signature: |
| 7: Mentor comments and signature (if in attendance) | |
|  | |
| Mentor’s Signature | Date of signature |
| 8. Manager’s check list | |
| I have forwarded a copy of this report, an up-to-date CV, a list of publications, grants applied for/won and a Learning Institute report on progress toward PGCAP or another developmental objective (if needed) to HR who will send on the papers to the relevant Faculty Panel. | |
| 9: Faculty Panel Comments | |
|  | |
| VP’s signature: | Date of signature: |

Transfer non-clinical lecturers and senior lecturers who successfully complete their probation onto the QMPDS scheme.

If you are recommending that the probation period should be extended, you will need to complete a probation extension form rather than a QMPDS form.

|  |
| --- |
| Plannning For The Year Ahead  You should discuss and agree key objectives or targets and any personal development plans with your manager during your final probation assessment using the Queen Mary Performance and Development Appraisal Scheme documents which can be found at the link below:  http://www.hr.qmul.ac.uk/procedures/appraisal/index.html |

**For clinical academic staff**: If the employee is required to maintain registration (with licence to practice) with the GMC/GDC, they must undergo an annual enhanced appraisal. This process, conducted jointly with the NHS Trust with whom they have an honorary contract, is necessary to meet the requirements of revalidation. Since this process is carried out **separately** and **in addition** to the Queen Mary probation procedure, clinical staff who successfully complete probation should already be enrolled in the enhanced appraisal process.