# Probationer’s Appraisal Book

**(to be used in conjunction with the online Appraisal system)**

# For staff at Levels 4-7 on the ERE Balanced, and ERE Education pathways

|  |  |
| --- | --- |
| Name |  |
| Employee Number |  |
| Faculty/Service |  |
| Commencement Date |  |
| Probation End Date |  |
| Name of Senior Colleague |  |

#

# Probationer’s Appraisal Book

# For staff on the ERE Balanced and ERE Education pathways (i.e. excluding the ERE Research and ERE Enterprise pathways for which other arrangements apply – please refer to the probation policy)

**Introduction**

Firstly, we would like to extend a very warm welcome to you in your new appointment with the University of Southampton.

As a new member of staff, your appointment includes a period of probation which will be outlined in your contract of employment. The probationary period forms part of the University’s overall performance management processes and should dovetail into normal appraisal reviews and promotions processes once successfully completed and the employee has been confirmed in their appointment (see the University’s Probation Policy on the HR [website](http://www.southampton.ac.uk/hr/services/probation-explained/index.page) for more information.)

The purpose of the probationary period is to:

1. Ensure that you have completed the necessary induction activities to help you settle into the University
2. Ensure that you are aware of, and have achieved, the required academic standards relevant to your role, pathway and discipline in order to become established as a permanent member of the academic staff at the University of Southampton

By covering these aspects, the probationary period allows the University to be reasonably sure, before the appointment is confirmed, that you have proven potential as a University academic.

### Probation arrangements

The probationary period provides you with a defined timescale in which to undertake, as required, the relevant components of the University’s approved Postgraduate Certificate in Academic Practice (PGCAP) and/or achieve Fellowship of the Higher Education Academy (HEA) thereby demonstrating that you have met the necessary academic standards for your new role in order to support your development as a University teacher. The individual requirements for you in your new role will be discussed with you by your Head of Academic Unit or their nominee.

The University has written policies and procedures relating to probation. These policies and procedures have been developed to ensure that you receive the necessary guidance and support during the probationary period and that you receive regular feedback on your progress. Copies of these procedures are available on the [HR website](http://www.southampton.ac.uk/hr/services/probation_explained/how_do_i.php).

This document has been created to provide line management with a tool to support decision making. Having captured the necessary information, it can then be used as an instruction for action or implementation of any agreed change relating to your appointment with the University.

This template should be used in conjunction with the University’s probation policy and supporting guidance material.

Please note that if you have any queries about the arrangements for your probationary period, you should discuss them with your Head of Academic Unit.

**Line Manager/Appraiser**

For more information about the role of the line manager, please see the probation policy and guidance documents on the HR website.

Line managers are expected to provide guidance and advice to the probationer during their probationary period and will consult regularly, or as required, with the probationer, particularly if areas for improvement are identified during the probationary period and prior to the submission of the final probation report.

Line managers may find it useful to scan and save copies of this document for future reference via the supporting document upload tool on the online appraisal form.

**Note.**

It is recognised and accepted that the ‘role of the line manager’ is a broad and generic term and that the exact definition (i.e. who would deliver the role of the line manager in each process may vary across different faculties and services, as well as across different processes.)

### Probationary period

The standard probationary period for staff on the ERE Balanced or ERE Education pathway is two years. This may be extended if you have not met the standards required to confirm your appointment for reasons other than capability, for example, if the nature of your research has limited your ability to produce the required output within two years. In these circumstances, the probationary period may be extended by up to a further year.

### Roles and responsibilities during the probationary period

The Head of Academic Unit has overall line management responsibility for all ERE staff on probation. However, the day to day management responsibility for providing advice, assistance and guidance in as helpful and comprehensive a way as possible during the probationary period rests with your designated ‘Senior Colleague’, who may be your Head of Academic Unit but is more likely to be their nominee.

Within the first month of your appointment, the Senior Colleague will coordinate the preparation of probation documents which will be discussed with you by the Head of Academic Unit outlining your research, teaching and administrative duties together with any relevant targets or objectives for the coming year. They will also discuss and agree a personal development plan with you covering the same period, which will identify any development needs and set out how they will be met and by when.

Following this discussion and within the first three months of your appointment, you should receive a written statement setting out the broad objectives for the whole of your probationary period. This statement should also include the name of your designated Senior Colleague.

As appropriate, the Senior Colleague will assist with identifying and assigning you with a suitable mentor to help you with completing the relevant modules of the University’s Postgraduate Certificate of Academic Practice (PGCAP). Your mentor, not normally the same individual as your designated Senior Colleague, will discuss the programme framework and requirements with you, and help you to establish how you will meet the required learning outcomes of the programme. If you already have teaching experience, but no qualification equivalent to PGCAP, you should consider the University’s Professional Recognition of Educator Practice (PREP), which is a portfolio-based route allowing recognition of your existing knowledge and skills. Further information on both PGCAP and PREP is available from the following university webpage:

<http://www.southampton.ac.uk/professional-development/teaching-and-learning/pgcap/index.page>

You will be expected to consult regularly with your designated Senior Colleague about your progress. At appropriate intervals, written reports will be completed by your Senior Colleague to confirm the progress you are making in relation to your agreed targets and objectives, and you will have the opportunity to add your comments to these reports before they are submitted to the Head of Academic Unit.

Where further development is required or where it is considered that you have not yet reached the standard expected at that particular stage in your probationary period, the Head of Academic Unit or their nominee will discuss the area of concern with you and agree appropriate actions to address the issue. These actions will be incorporated into the development plan as appropriate.

The Senior Colleague is responsible for the completion of regular probationary reports and will meet with the Head of Academic Unit to discuss the reports and agree future plans and objectives for probationary staff. In advance of the annual appraisal process, you will be required to produce an up to date standard University curriculum vitae or portfolio of appropriate evidence (as agreed with your Senior Colleague) to demonstrate your achievements in the previous 12 months and support the appraisal discussion. The key points covered together with the outcome of the annual appraisal meeting will be captured using the University’s on-line appraisal system. The on-line system should also be used to record the outcome of any “in year” probationary reviews that are held with you to discuss your progress as required. The Senior Colleague may act as your formal appraiser and this appraisal relationship may continue after the successful completion of the probationary period and confirmation of your appointment.

The Head of Academic Unit has responsibility for the final assessment which takes place at the end of the probationary period to consider whether you have met the required academic standards and therefore, whether to recommend to the Faculty’s Promotion Review Panel that the appointment be confirmed. In making their assessment, the Head of Academic Unit will rely heavily on the annual reports produced by the Senior Colleague.

### Concluding probation

As detailed in the probation policy, before the end of the probationary period, the appropriate line manager will decide, based on the reports completed during the probationary period, whether the probationer should:

* Have their appointment confirmed (confirmation of appointment), or
* Have their probationary period extended to provide additional support (extension), or
* Have their appointment terminated (non-confirmation)

### Criteria for confirmation of appointment

The criteria to be used by the Promotion Review Panel in assessing whether the probationary period has been completed satisfactorily will be a combination of those set out below. The combination and the weighting given to each element will be determined by the Promotion Review Panel in the light of the requirements set by the Faculty, but the Promotion Review Panel will need to be satisfied that:

* you have demonstrated satisfactory conduct and performance in relation to your duties and responsibilities,
* that you have adequately met or exceeded the defined targets or objectives set for completion during the probationary period, and
* that you have achieved the required academic standards relevant to your role, pathway and discipline

and that, therefore, it is appropriate for the University to confirm your employment.

The Promotion Review Panel will, therefore, look for evidence that you have:

* satisfactorily contributed to the teaching of prescribed courses and to supervision and tutorial work
* developed a programme of research
* carried out satisfactorily examining and administrative duties allocated to you
* demonstrated potential to develop as a University teacher and scholar and to make effective contributions to the development of your Faculty
* successfully completed the relevant module(s) of the University’s Postgraduate Certificate in Academic Practice, or provided evidence of full or partial exemption for example, by holding the appropriate level of membership of the Higher Education Academy.

### Extension of the probationary period

Extensions are normally only given where there are justified grounds for additional time to be required to reach the required academic standards or complete the objectives set. If your probationary period is extended, the Dean of Faculty will set out the objectives to be achieved and/or academic standards to be met during the extended period in conjunction with the Head of Academic Unit, and your progress towards these goals will be monitored closely.

### Non-confirmation of appointment

Where the required standards of performance and/or conduct have not been met, the procedure set out under the University’s probation policy and Ordinance 3.9 will be followed to discuss non-confirmation of probation with you. Full details of the policy and procedure are available on the [HR website](http://www.southampton.ac.uk/hr/services/probation_explained/how_do_i.php).

### Statement of objectives for the probationary period

During the first three months of your appointment, you will be provided with a written statement setting out the broad objectives for the whole of your probationary period.

The appraiser should sign below when the statement has been provided to you, and you should sign below to confirm receipt. It is recommended that you retain a copy of the statement in this folder for future reference.

|  |  |
| --- | --- |
| Provided by |  |
|  | Appraiser |
| Date |  |
| Received by |  |
|  | Appraisee |
| Date |  |

**On appointment/Start of Year 1**

|  |  |
| --- | --- |
| Date of First Meeting |  |
| Name of Line Manager/Appraiser |  |
| Date |  | Time |  |

**Draft objectives for Probation Period** (to be completed in the first 3 months of appointment)

List the major objectives (typically not more than 5) which have been discussed and agreed between the appraisee and appraiser as being the most important to be achieved in the first appraisal period.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Agreed Major Objectives** |  | **Time Scale** |  | **Order of Priority/Effort** |
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### Division of Effort

Indicate approximately the division of effort for this year:

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Research |  | % | Teaching |  | % | Leadership, Management and Engagement |  | % |

In responding to question about division of effort, include as Leadership, Management and Engagement duties over and above those involved in normal teaching and research, e.g. admissions tutor, examinations officer.

### Preparation/Notes for: Annual Personal Development Plan (ERE Probationary period - Year 1)

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Development Need |  | Agreed Action |  | Timescale |  | Responsible for Action |  | Approx. Cost(if any) |  | Achieved |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

### ERE Probation – Mid-term (3 months) Probation Review

|  |  |
| --- | --- |
| Name of Appraiser/Senior Colleague |  |

Please consider each aspect listed on this form using the following criteria and make an assessment of current performance and conduct using the appropriate letter in the box below. It may be necessary to provide evidence to support particular scores.

Performance Rating Scale:

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level

NB: The Line Manager/Appraiser may need to consult with other senior staff in the Faculty/Academic Business Unit to prepare for this review.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Subject expertise in courses taught
* Use of different teaching methods and ability to plan, manage and organising teaching
* Scores for courses taught on standard student evaluation forms (Section 19 of the standards evaluation forms indicate mean scores and class size, eg., 3.8/25, 4.1/70)
* Suitability of methods of assessment and application as appropriate
* Effectiveness of personal support and academic guidance to individual students
* Ability to stimulate enthusiasm and independent learning in students
* Evidence of progression towards completion of the required module(s) of the Postgraduate Certificate in Academic Practice or evidence of progression, or if exempted, comparable evidence of professional standards in teaching
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Progress in accordance with their research plan
* Progress in preparing and submitting papers for publication
* Contribution to the preparation of grant applications
* Quality of research student supervision

 Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to the ERE Pathways information
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* has shown commitment to annual development plan through appropriate Academic Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Line Manager/Appraiser

This should include details of planned development activities designed to help the probationer reach the standard required in areas where they have not yet met the standard.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Comments by Probationer

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### ERE Probation – Mid-term (6 months) Probation Review

|  |  |
| --- | --- |
| Name of Line Manager/Appraiser |  |

Please consider each aspect listed on this form using the following criteria and make an assessment of current performance and conduct using the appropriate letter in the box below. It may be necessary to provide evidence to support particular scores.

Performance Rating Scale:

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level

NB: The Senior Colleague/Appraiser may need to consult with other senior staff in the Faculty/Academic Business Unit to prepare for this review.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Subject expertise in courses taught
* Use of different teaching methods and ability to plan, manage and organising teaching
* Scores for courses taught on standard student evaluation forms (Section 19 of the standards evaluation forms indicate mean scores and class size, eg., 3.8/25, 4.1/70)
* Suitability of methods of assessment and application as appropriate
* Effectiveness of personal support and academic guidance to individual students
* Ability to stimulate enthusiasm and independent learning in students
* Evidence of progression towards completion of the required module(s) of the Postgraduate Certificate in Academic Practice or evidence of progression, or if exempted, comparable evidence of professional standards in teaching
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Progress in accordance with their research plan
* Progress in preparing and submitting papers for publication
* Contribution to the preparation of grant applications
* Quality of research student supervision

 Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to the ERE Pathways information
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* has shown commitment to annual development plan through appropriate Academic Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Line Manager/Appraiser

This should include details of planned development activities designed to help the probationer reach the standard required in areas where they have not yet met the standard.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Comments by Probationer

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

**NOTE: The main discussion points from this meeting do not need to be recorded on the online appraisal system or this page uploaded to the system for reference, unless you wish to do so.**

### ERE Probation – Mid-term (9 months) Probation Review

|  |  |
| --- | --- |
| Name of Appraiser/Senior Colleague |  |

Please consider each aspect listed on this form using the following criteria and make an assessment of current performance and conduct using the appropriate letter in the box below. It may be necessary to provide evidence to support particular scores.

Performance Rating Scale:

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level

NB: The Senior Colleague/Appraiser may need to consult with other senior staff in the Faculty/Academic Business Unit to prepare for this review.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Subject expertise in courses taught
* Use of different teaching methods and ability to plan, manage and organising teaching
* Scores for courses taught on standard student evaluation forms (Section 19 of the standards evaluation forms indicate mean scores and class size, eg., 3.8/25, 4.1/70)
* Suitability of methods of assessment and application as appropriate
* Effectiveness of personal support and academic guidance to individual students
* Ability to stimulate enthusiasm and independent learning in students
* Evidence of progression towards completion of the required module(s) of the Postgraduate Certificate in Academic Practice or evidence of progression, or if exempted, comparable evidence of professional standards in teaching
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Progress in accordance with their research plan
* Progress in preparing and submitting papers for publication
* Contribution to the preparation of grant applications
* Quality of research student supervision
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to the ERE Pathways information
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* has shown commitment to annual development plan through appropriate Academic Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Line Manager/Appraiser

This should include details of planned development activities designed to help the probationer reach the standard required in areas where they have not yet met the standard.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Comments by Probationer

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Notes/Preparation for: ERE Probation - End of Year 1 Probation Review

|  |  |
| --- | --- |
| Name of Line Manager/Appraiser |  |

Please consider each specific aspect listed on this form using the following criteria for discussion at the review meeting.

Performance Rating Scale:

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level.

NB: The Senior Colleague/Appraiser should where practicable, consult other senior staff in the Faculty/Academic Unit in the preparation of their report.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Evaluation of subject expertise in courses taught
* Appropriateness of teaching methods and skill in planning, managing and organising teaching
* Assessment of teaching from the Senior Colleague who has carried out a peer observation of teaching
* Effectiveness of methods of assessment. Effectiveness of monitoring of student progress
* Effectiveness of personal support and academic guidance to individual students
* Awareness of methods for stimulating enthusiasm and independent learning in students
* Successful completion of modules 1 & 2 of the Postgraduate Certificate in Academic Practice or evidence of progression
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Quality of research plan for probationary period.
* Exploration of potential for collaboration.
* Success in gaining research students.
* Exploration of possible sources of funding
* Progress in implementing research plan
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to ERE Pathways documentation
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* Commitment shown to annual development plan through appropriate Academic Business Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Probationer

*Please now continue to set objectives and plan for the following year on the next page.*

 **Preparing for ERE Probation – end of Year 1 Probation Review**

### Future Objectives

### Objectives for Next Probation Period Review

List the major objectives (typically not more than 5) to be discussed and agreed between the appraisee and appraiser as being the most important to be achieved in the appraisal period.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Agreed Major Objectives** |  | **Time Scale** |  | **Order of Priority/Effort** |
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### Division of Effort

Indicate approximately the division of effort for this year:

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Research |  | % | Teaching |  | % | Leadership, management and engagement |  | % |

In responding to question about division of effort, include as Leadership, Management and Engagement duties over that involved in normal teaching and research, e.g. admissions tutor, examinations officer.

### Preparation/Notes for: Annual Personal Development Plan (ERE Probationary period – Year 2)

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Development Need |  | Agreed Action |  | Timescale |  | Responsible for Action |  | Approx. Cost(if any) |  | Achieved |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

### ERE Probation –Mid-term (18 months) Probation Review

|  |  |
| --- | --- |
| Name of Line Manager/Appraiser |  |

Please consider each aspect listed on this form using the following criteria and make an assessment of current performance and conduct using the appropriate letter in the box below. It may be necessary to provide evidence to support particular scores.

Performance Rating Scale

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level

NB: The Senior Colleague/Appraiser may need to consult with other senior staff in the Faculty/Academic Business Unit to prepare for this review.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Subject expertise in courses taught
* Use of different teaching methods and ability to plan, manage and organising teaching
* Scores for courses taught on standard student evaluation forms (Section 19 of the standards evaluation forms indicate mean scores and class size, eg., 3.8/25, 4.1/70)
* Suitability of methods of assessment and application as appropriate
* Effectiveness of personal support and academic guidance to individual student
* Ability to stimulate enthusiasm and independent learning in students
* Where appropriate, evidence of progression towards or successful completion of module 3LM of the Postgraduate Certificate in Academic Practice, or if exempted, comparable evidence of professional standards in teaching
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Progress in accordance with their research plan
* Progress in preparing and submitting papers for publication
* Contribution to the preparation of grant applications
* Quality of research student supervision
* Where appropriate, successful completion of module 3RDM of the Postgraduate Certificate in Academic Practice
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to ERE Pathways documentation
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* has shown commitment to annual development plan through appropriate Academic Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Line Manager/Appraiser

This should include details of planned development activities designed to help the probationer reach the standard required in areas where they have not yet met the standard.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Comments by Probationer

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

### Preparing for ERE Probation - Final Probation Period Report (prior to the end of Year 2)

|  |  |
| --- | --- |
| Name of Line Manager/Appraiser  |  |

Date of appointment

Date of probation expiry

Date of probation review

Please prepare by considering each specific aspect listed on this form using the following criteria. It may be necessary to provide evidence to support particular scores.

Performance Rating Scale:

1. Performance outstanding
2. Some performance exceeded requirements of the task
3. Performed requirements of the task
4. Some aspects of performance below requirements
5. Performance unacceptable at this level

NB: The Senior Colleague/Appraiser should where practicable consult other senior staff in the Faculty in the preparation of their report.

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Teaching (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Subject expertise and scholarship in courses and options taught
* Contribution to curriculum development within the Faculty
* Expertise in teaching methods and planning, management and organisation of teaching
* Scores for courses taught on standard student evaluation forms (Section 19 of the standard evaluation forms indicate mean scores and class size, eg 3.8/25, 4.1/70)
* Identification and application of suitable methods of assessment
* Effectiveness of personal support and academic guidance to individual students
* Ability to stimulate enthusiasm and independent learning by students
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Research (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Has had the expected number of papers submitted for publication (according to Faculty norms)
* Has submitted applications for research funding (individually or collaboratively in accordance with Faculty norms)
* Has achieved the targets identified in their research plan
* Quality of research student supervision
* Success in gaining research students
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings**A B C D E |
| Leadership, management and engagement (approximate proportion of workload |  | %) |  |
|  |  |  |  |

**Factors to be taken into account under this heading might include:**

* Please refer to ERE Pathways documentation
* Evidence seen/used:

|  |  |
| --- | --- |
|  | **Indicative Ratings****A B C D E** |
| Personal Development* Has shown commitment to annual development plan through appropriate Academic Unit/Faculty/University training and professional development events (see annual development plan for details).
 |  |

### Comments by Probationer

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

**ERE Probation – Final review: Comments by Line Manager/Head of Academic Unit/Service**

This should include an overall assessment of whether the probationer has met the requirements and whether it is recommended that the appointment is confirmed. In cases where an extension of probation is recommended, clear reasons should be given for the recommendation and details of planned development activities designed to help the probationer meet the requirements for confirmation.

If the recommendation is that the appointment should not be confirmed then clear reasons should be given for this decision.

Please append any supporting documentation, as appropriate.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed |  | Date |  |

This probationer’s documentation should now be forwarded to the Faculty Review Body

### ERE Probation – End of Year 2: Decision and Comments of Faculty Promotion Review Panel

Please include details of any action, which should be taken by the Probationer/Senior Colleague/Faculty in relation to the case.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Signed |  | Chair | Date |  |

**RETURN TO**

Please submit the complete and signed application to Ask HR in one of the following ways:

|  |  |
| --- | --- |
| Using HR ServiceNow: | <https://sotonproduction.service-now.com/soton/hr.do> |
| In person/by post: | Ask HR, One Guildhall Square, Southampton, SO14 7FP |

*For Human Resources use only:*

|  |  |  |
| --- | --- | --- |
| *Confirm with effect from* |  |  |
| *Extended Until* |  | *For no more than 1 further year* |
| *Further report due on* |  |  |
| *Further action required (if any)* |  |  |