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17 JULY 2013

TO SECRETARIAT
FROM ACTING REGISTRAR
RE **APPOINTMENT ON PROBATION POLICY AND RULES FOR ACADEMIC STAFF &
ADMINISTRATIVE AND SUPPORT STAFF**

Attached please find the Appointment on Probation Policy and Rules for the Academic Staff & Administrative and Support Staff which was recommended by the Executive Management Committee at their meeting of 15 July 2013.

Kind regards

PROF J CORNELISSEN
ACTING REGISTRAR


 <p>UNIVERSITY of Jtc WESTERN CAPE</p>	UNIVERSITY OF THE WESTERN CAPE		
	Appointment on Probation Policy and Rules for Academic staff (permanent and fix term contract)	Reference Number	SA2004/09 C 2006/01
		Last Implementation Date	2006
		Revision / Amendment Number	
		Revision / Amendment Date	

APPOINTMENT ON PROBATION POLICY AND RULES FOR ACADEMIC STAFF

- I. The appointment of an employee to the University's *permanent* full-time staffing establishment is subject to a twenty four (24) month period of probationary service in respect of teaching and research staff; and
2. A member of staff who has been appointed on a fixed term contract, for a period of two (2) years or longer, to the University's *temporary* full-time staffing establishment is subject to a twelve (12) month period of probationary service in respect of teaching and research staff; staff appointed on a fixed term contract of one (1) to two (2) years and less has a three (3) months probation period.
3. Council, or a committee of Council duly authorized by Council, in the case of teaching and research staff may grant exemption in whole or in part from the requirement to serve a probationary period if the staff member concerned has:
 - 3.1 been appointed to a position on the University's permanent full-time staffing establishment;

and

has previously been appointed to one or more fixed term contracts on the University's temporary full-time staffing establishment of the University for a period not less than twenty four (24) months in total.
4. If a member of staff still serving his/her probationary period has requested and been granted study, sick, vacation and/or other leave of whatsoever nature, his/her probationary period may, at the discretion of the Senior Management Committee, be extended by the same number of days.
5. The services of a member of staff still on probation may be **terminated** by:
 - 5.1 Council, or a committee of Council duly authorized by Council, in the case of teaching and research staff, provided that such body is convinced that the provisions of the "Procedures for Confirmation of Permanent Appointment" had been strictly adhered to;
 - 5.2 By the staff member him/herself using the applicable notice period.
6. The confirmation of the appointment on the University's permanent or temporary staffing establishment on the expiry of the period, or extended period, of probation is subject to:
 - 6.1 the issue of a declaration in writing by his/her Dean if he/she is a member of the teaching and research staff to the effect that during the period of probation the employee has been diligent and his/her conduct has been satisfactory and that he/she is suitable for appointment to the University's staffing establishment according to the contractual agreement;
 - 6.2 compliance with such rules and/or procedures relating to the confirmation of appointments Council, Senate or both of them jointly may from time to time decide upon; and
 - 6.3 the approval of:
 - 6.3.1 Council, or a committee of Council duly authorized which, in the case of a member of the teaching and research staff for academic rank of Associate Professor, Professor and Senior Professor is the Faculty Professorial committee;

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6.3.2 The General Faculty Appointments and Promotions Committee for academic rank of Associate Lecturer, Lecturer and Senior Lecturer:

7. Council, or a committee of Council duly authorized by Council, may, on the recommendation of the Appointments Committee of the Faculty concerned, extend the probation period of a member of the teaching and research staff, whether appointed to a permanent position or appointed on a fixed term contract, with a period not exceeding twelve (12) months, and such extension must, without delay, be communicated in writing to person concerned.
8. If the appointment of an employee is not confirmed as contemplated in point 5 above, the employment relationship between the University and the employee concerned comes to an end and expires on the last day of such employee's notice period or at a date decided on by Council.

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Approved by SA on 16/09/04 (SA 2004/09)
 Approved by Senate on 26/10/04 (S 2004/4)
 Approved by Council on 03/12/04 (C2004/5) & 11/04/05 (C2005/2)
 Amendments approved by Council on 17/03/06 (C2006/1)

B. PROCEDURES FOR CONFIRMATION OF PERMANENT APPOINTMENT

THE PROCEDURE


The Performance Development System (PDS) will be used to measure performance standards and objectives during the probation period. In general terms the procedure involves the following phases:

PHASE 1:

DEFINING EXPECTATIONS

As soon as practicably possible after a person has assumed duty as a member of the University's teaching and research staff (hereinafter referred to as the "appointee") an entry interview with the appointee should be conducted by the Dean and/or Departmental Chairperson concerned. The following matters should, *inter alia*, be discussed:

- A. Qualifications:** The departmental chairperson will share with the appointee the evaluation of the appointee current qualifications relative to the post and what progress needs to be demonstrated (with what evidence) of developments in this area in order to secure confirmation of appointment. This is especially necessary in the case of development appointments.
- B. Status of the Appointment:** The Dean or Departmental Chairperson discuss with the appointee the status and level of appointment to ensure that there are no misunderstandings or erroneous expectations; particularly if a person has been offered a post lower than the one applied for.
- C. Duties and Responsibilities:** The appointee is informed in writing about the expectations of the faculty and department and offered an opportunity to clarify and comment. Such expectations should be spelt out clearly in terms of the duties and responsibilities of the appointee relating to the central or core areas of academic work, i.e. Teaching; Research and Publication; Faculty and Departmental Administration; and Outreach Work.

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D. Evaluation and Rewards: The Dean must explain to the appointee:

1. How performance will be monitored (e.g. report by the Departmental Chairperson, the self-report format, peer evaluation and student evaluations - whichever is applicable);
2. The importance of self-development (e.g. demonstrated improvements in qualifications, research and lecturer development);
3. The reward system at the University; and
4. That, in essence, the important variable is the *overall assessment* of staff performance.

DEVELOPING THE PERFORMANCE AGREEMENT

The development of performance/developmental objectives must be an inclusive and transparent process.

The performance contract is developed as soon as the strategic objectives and priorities of the unit in which the staff member is based, are communicated to staff members and explained by the most senior manager in the unit. It is essential that performance and developmental objectives of each staff member support the strategic priorities of the unit in which they work. Objectives also support specific deliverables identified in the staff member's role clarity.

Subsequent to this meeting, staff members must develop draft performance standards and objectives and submit them to their departmental chairpersons in advance. It needs to be noted that the involvement of the Dean is essential, especially in view of the relatively short period of office of departmental chairpersons. A sign-off on the document, by the Dean, is required.

PHASE II FIRST EVALUATION


The first appraisal takes place towards the **end of the SECOND semester of service** and is based on:

- A. Peer evaluation:** The nature and form to be determined by the University.
- B. Self-report:** A self-report is to be submitted by the appointee in respect of the two semesters under review.
- The candidate should describe and evaluate his/her work for the relevant period in no more than three pages, and under the following headings:
1. Teaching;
 2. Research and Publication;
 3. Faculty and Departmental Administration (including committee work); and
 4. Outreach work
- C. Student evaluation:** A report on student evaluation of the courses taught during the first two semesters is to be submitted by the appointee.

This is essentially an information gathering and information exchange process where the department and Dean can make suggestions for the improvement of the staff member's capacity to meet his/her teaching, research, and outreach obligations and in particular: *Signal to the appointee how satisfied they are with the performance and progress to date, Indicate where changes are expected and Suggest what help is available within the university system.*

A report (signed by the appointee) is drawn up and retained in the office of the Dean.

PHASE III SECOND EVALUATION

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The second appraisal takes place towards the **end of the THIRD semester of service** and is, like the first appraisal, based on a) Peer evaluation; b) a Self-report; and c) Student evaluation.

During this phase of the review the focus will be on overall performance improvement, especially with regard to the suitability of the appointee for confirmation of the contractual appointment.

For this purpose the relevant Faculty Professorial appointments committee, in the case of academic rank of Associate Professor, Professor and Senior Professor should be provided with a structured report from the department.

Academic ranks of Senior Lecturer, Lecturer, Associate Lecturer and Researcher will be finalised by the General Faculty Appointments and Promotions Committee.

The Dean concerned, will reflect on the fulfilment of the agreed duties and responsibilities (as agreed to in Phase I) and, as appropriate, comment on the appointee's:

1. Improvement of formal academic qualifications;
2. Demonstrated growth;
3. Teaching improvements;
4. Research activities;
5. Willingness to take up the suggestions of the faculty; and
6. Role in new developments in the department or faculty.

Such report must also be provided, without delay, to the appointee. If the appointments committee of the faculty recommends to SA, in case of Faculty Professorial or the General Appointments committee, that the appointee's employment be terminated or that his/her period of probation be extended, such appointee must immediately be informed by the Dean of such recommendation.

The appointee may, through the office of the Dean, forward his/her comments on the report to the relevant committee.

THE DECISION

Having being satisfied that it has all the information necessary to make an informed decision, the Faculty Professorial committee and the General Appointments committee will consider whether to:


1. Confirm employment; **or**
2. Extend the probation period.

In the event that the permanent appointment cannot be confirmed the Faculty Professorial committee or the General Appointments committee will recommend to SA that the necessary procedures be followed to facilitate the poor performance procedure.

In all cases the relevant committees must be sure that all the procedures have been followed correctly. Once the Faculty Professorial or the General Appointments committee has confirmed the permanent appointment, further administrative action is facilitated by the Human Resources department.

The decision of the Faculty Professorial or the General Faculty Appointments and Promotions Committee must, without delay, be conveyed in writing to the employee by the Dean concerned.

This record (i.e. the probation process) forms part of the permanent record during the candidate's term of employment at the University and may also be used in respect of other Human Resources decisions in the future. As a matter of fact, such a record can be used for a variety of purposes, *inter alia*:


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1. Promotion decisions together with other standard processes
2. Confirmation of employment decisions
3. Staff development
4. Feedback and communication to individual staff members
5. Dismissal decisions

(Approved at SAK 96/13 and Senate 96/10)

Amendments approved by SA 2005/8 on 17 November 2005

Amendments approved by Council on 17/03/06 (C2006/1)


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APPOINTMENT ON PROBATION POLICY AND RULES FOR ADMINISTRATIVE & SUPPORT STAFF

1. The appointment of an employee to the University's *permanent* full-time staffing establishment is subject to a six (6) month period of probationary service in respect of administrative and support staff.
2. A member of staff who has been appointed on a fixed term contract, for a period of two (2) years or less, to the University's *temporary* full-time staffing establishment is subject to a three (3) month period of probationary service in respect of administrative and support staff. A member of staff who has been appointed longer than two (2) years on a fixed term contract will have a probation period of six (6) months.
3. The Executive or Dean (on recommendation from the HoD), in the case of administrative and support staff, may grant **exemption** in whole or in part from the requirement to serve a probationary period if the staff member concerned has:
 - 3.1 been appointed to a position on the University's permanent full-time staffing establishment;

And if

previously appointed to one or more fixed term contracts on the University's temporary full-time staffing establishment of the University for a period not less than twenty four (24) months in total.
4. If a member of staff still serving his/her probationary period has requested and been granted study, sick, vacation and/or other leave of whatsoever nature, his/her probationary period may, at the discretion of the relevant executive member or Dean, be extended by the number of days by which such leave was granted.
5. The services of a member of staff still on probation may, be **terminated** by:
 - 5.1 the Rector, duly authorized by Council, in the case of administrative and support staff, provided that the Rector is convinced that the "Procedures for Confirmation of the Probation process" had been strictly adhered to; or by
 - 5.2 the staff member him/herself using the applicable notice period.
6. The **confirmation of the appointment** on the University's permanent or temporary staffing establishment on the expiry of the period, or extended period, of probation is subject to:
 - 6.J the issue of a declaration in writing by his/her line manager, if he/she is a member of the administrative and support staff, to the effect that during the period of probation the employee has been diligent and his/her conduct has been satisfactory and that he/she is suitable for appointment to the University's staffing establishment according to the individual's contract;
7. If the conduct of the staff member is still considered unsatisfactorily during the probation period, the relevant executive member or Dean may, on recommendation of the head of department, in the case of Administrative and Support staff, **extend** the probation period of such member of staff for a further period of three (3) to six (6) months, and such extension must, without delay, be communicated in writing to the person concerned. (This is applicable to a permanent position, a longer than two (2) year contract or a fixed term contract of two (2) years but not less than one (1) year),

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8. If the appointment of an employee is not confirmed as contemplated in point 5 above, the recommendation by the relevant executive member/ Dean, not to confirm appointment, is sent to the Rector for final consideration and approval. Once approved, the employment relationship between the University and the employee concerned comes to an end and expires on the last day of such employee's notice period or at a date decided on by the Rector.

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B. PROCEDURES

FOR CONFIRMATION OF PERMANENT APPOINTMENT


THE PROCEDURE

- I. The Performance Development System (PDS) will be used to determine performance during the first three (3) or six (6) months of the probation period.
2. The following issues, as outlined in the PDS policy, will be addressed during the probation period:
 - 2.1 Clarify and validate individual and team roles and expectations in line with the strategic direction of the University;
 - 2.2 Align goals and results with the kinds of activities and actions effective employees practice as a matter of course;
 - 2.3 Management will encourage ongoing communication and provide a sound basis for positive feedback and dialogue about performance;
 - 2.4 Assist and provide a measurable, common understanding of an individual's contribution towards the collective delivery;
 - 2.5 Discuss and agree on specific development plans to assist the staff member to meet the agreed results and grow in the job;
 - 2.6 Accountability to the role in terms of delivery;
 - 2.7 Provide a sound basis for performance feedback, self-evaluation and recognition.

3. Process steps to follow:

Step 1: Within two weeks after assumption of duty the line manager has an initial meeting with the appointee to define the expectations and goals of the post.

The appointee and the line manager discuss the level of competence required within the individual role and Key Result Areas (KRA's), allocate timeframes and decide on any further developmental needs.

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The PDS form, or any special format, is used to capture this information and is signed by both parties. The original document is kept on file by the staff member and a copy of the signed document is given to the line manager.

Step 2: At the end of the third month or one and half months in the case of a two (2) year or less contract, after assumption of duties, the line manager and appointee have a follow-up meeting to discuss progress with the agreed upon KPA's.

During this period the line manager must make sure that all developmental or training needs as identified in step 1 has been provided. Proof of this must be available at the follow-up meeting.

At the follow-up meeting the line manager must determine whether satisfactory progress has been made to date in regards to the agreed upon KPA's. If there is agreement with satisfactory progress then this must be indicated on the PDS form or chosen format and signed by both parties.

If the progress to date is below expectation the line manager must discuss any further interventions that could assist the appointee to meet the required expectations. The appointee must provide the line manager with sound reasons for unsatisfactory performance and both parties must agree to a timeframe within the probation period when this could be addressed.

Step 3: At the end of the three or six month probation period the line manager and appointee have a final meeting to determine progress to date. At this meeting both parties must agree that performance is at a satisfactory level and that the developmental or training interventions have been successfully applied in the process. The line manager then confirms the appointment in writing to the relevant staff member.

If the performance is still below expectation at this stage, the line manager could request that the probation period be extended with a maximum of a further three months; or that the Rector on behalf of Council authorise that the employee relationship be terminated.