



# PROBATIONARY AND REVIEW PROCEDURES FOR ACADEMIC STAFF

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## Review of Academic Staff on Probation (Procedures Document A)

### 1. SCOPE

To define the College's procedures for review of probation

### 2. THE COMMITTEES

2.1 Probationary and promotional reviews are conducted by the *Academic and Senior Administrative Staff Promotions Committee*. This Committee has responsibility for maintaining an overall consistency and coherence in procedure. It may also make recommendations to the University Council on matters of policy and procedures. For the purpose of review the Committee divides into two sub-Committees. The *Junior Promotions Committee* reviews the probationary periods of all Lecturers, conducts the review for Lecturers at the Merit Bar, and assesses applications for accelerated advancement at the Lecturer grade. The *Senior Promotions Committee* reviews applications for promotion to the grade of Senior Lecturer and Associate Professor and for the award of Personal Chairs. It also assesses applications for accelerated advancement in the Senior Lecturer grade. The Senior Promotions Committee also reviews applications for promotion to the Senior Administrative Grades.

2.2 Membership of the Committee is as follows:

Senior Promotions Committee	Junior Promotions Committee
Provost (Chair)	Vice-Provost (Chair)
Vice-Provost	Senior Lecturer
Senior Lecturer	Dean of Graduate Studies
Deans of Faculties	Members appointed by the University Council - 3
Members appointed by the University Council - 2	Members appointed by Non-Fellow Academic Staff (1)/Academic Staff Association (2)
Members appointed by Non-Fellow Academic Staff (1)/Academic Staff Association (2)	Establishment Manager (Secretary)
College Secretary	
Administrative staff representative	
Staff Secretary (Secretary)	

Where any member of either Promotions Committee is him/herself a candidate for promotion in any year (whether a member *ex-officio* or otherwise) then that member will withdraw from the Committee for the full year in which his/her case is to be considered.

A schedule of Meeting dates shall be published and it is expected that members of the Committees will attend all meetings on the dates listed.

Due consideration will be made to ensure both gender and Faculty balance on the Committee.

Deans shall not be expected to act as advocates for candidates from their Faculty.

Both Committees make their recommendations to the University Council and to the Board of the College.

2.3 An ad hoc *Appeals Committee* shall be established by Board to hear appeals arising from the decisions of the University Council and Board. The only ground for appeal shall be failure of any committee to observe due process. Failure of due process is defined as:

- Failure of the Promotions Committee duly to follow the University policy and procedures for the consideration of applications for promotion or confirmation of a probationary appointment;
- Denial of natural justice;
- Biased or inconsistent application of the criteria for the granting of promotions or confirmation of a probationary appointment.

Membership of the Appeals Committee shall be:

Senior Dean (Chair)

IFUT/ASA Representative

One member appointed by the University Council

No person may be a member of the *Appeals Committee* who is currently a member of the *Academic and Senior Administrative Staff Promotions Committee*. The appellant may not be a member of the Appeals Committee.

The Appeals Committee shall determine its own procedures and its decision shall be final.

2.4 All Committees shall be fully briefed in the exercise of their functions including the evaluation of academic performance, equity and freedom of information issues. All Committees shall maintain adequate records including reasons for their decisions in each case.

### 3 *DEFINITIONS*

3.1 **Research** is any or all of the following:

- the discovery, creation or critical development of new facts, ideas, theories or processes that advance knowledge or result in works of artistic accomplishment;
- the integration of the above into new syntheses;
- the application of new discoveries, creations, developments or syntheses to activities outside the university that are in consequence conducted differently;
- the publication or dissemination by other methods of any of the above for the purposes of education or informing a wider public.

3.2 **Teaching** is:

the conversion of knowledge in the relevant discipline or field of study derived from research as defined above into a reciprocal process of education and learning. It may include any or all of the following:

- the introduction of the concepts, methods, and subject matter of the discipline or field of study in a manner which stimulates those taught and enables them to engage with the knowledge in a critical and independent manner appropriate to the level at which they have been taught;
- curriculum design, course management, instruction, assessment, and the creation of a social and academic environment that promotes learning;
- initiation into research by supervision of dissertations or other research projects at the appropriate level.

### 3.3 **Service to College** includes:

- administrative and management activities at the level of a discipline, school, centre, faculty, or College-wide committee or working party;
- pastoral role as a College tutor;
- management role such as Head of Discipline or School, Dean or College Officer.

### 3.4 **Service to the Discipline or Community** includes:

- external examining;
- invited appearances before academic or public audiences;
- organization of workshops, seminars, conferences or other collaborative intellectual activity;
- service to the intellectual infrastructure of the discipline or field of study (editing research journals, conference proceedings, other scholarly publications, or web sites, refereeing submitted materials, etc.);
- contribution to academic and professional bodies;
- contribution to national and international bodies;
- consultancies;
- professional advice to government and public organizations;
- service to the community relevant to the College's mission statement.

Services unrelated to the mission statement of the College shall **not** be counted. Activities shall not be double counted. Postgraduate supervision shall be included under teaching. Scholarly publications relating to teaching innovation shall be counted as a contribution to research.

## 4. **LECTURERS: PROCEDURE FOR REVIEW DURING AND ON COMPLETION OF PROBATION**

4.1 All Lecturer appointments shall normally be for a probationary period of three years, but in certain circumstances may be for one or two years.

### a. **Lecturers appointed for a probationary period of one year**

4.2 When a Lecturer who has been appointed for a probationary period of *one year* has completed two full terms of the appointment, the following procedure shall apply.

The Lecturer will be required to complete the relevant portions of Application Form A. The Head of Discipline will complete the remaining portion which will be shown to the Lecturer. The Head of Discipline will complete the remaining portion, which will be shown to the candidate before being

forwarded with the candidate's application to the Head of School for review and endorsement. The Head of School, having countersigned the Head of Discipline's report, will send it with the candidate's application to the Secretary of the Junior Promotions Committee.

During the third term following appointment, the Junior Promotions Committee will consider the application, may interview the Lecturer and may interview the Head of Department/School.

The Junior Promotions Committee will recommend to the University Council that:

- (a) the appointment be confirmed *or*
- (b) the appointment be terminated at the end of the third term of the appointment *or*
- (c) the probationary period be extended for no more than one year during which the review procedure will be repeated.**

The decision of the Committee, following confirmation by the Council and the Board, will be communicated to the Lecturer and his/her Head of Discipline by the Secretary to the Committee in writing. The Chair of the Committee or his/her nominee shall provide feedback to unsuccessful candidates and make recommendations which may assist the candidate in applying again.

#### 4.3. *Accelerated Advancement*

Applications for accelerated advancement on the Lecturer scale may be made at three stages:

- at time of confirmation in appointment
- when a Lecturer has attained the 10<sup>th</sup> point of the scale, and has completed a minimum of two years' service in the grade, application may be made for accelerated advancement beyond the Merit Bar.
- at time of review at the Merit Bar).

The Junior Promotions Committee shall review recommendations for accelerated advancement on the Lecturer scale at time of confirmation in appointment. Such accelerated advancement will only be awarded where especially distinguished performance has been clearly demonstrated. Recommendations for accelerated advancement will be made by the Promotions Committee to the University Council and the Board.

Recommendations for accelerated advancement may be made by Heads of Discipline as part of the formal procedures required for confirmation in appointment.

- 4.5 The Junior Promotions Committee may interview all candidates recommended for accelerated advancement. Alternatively, at its discretion, the Committee may select a shortlist for interview from among candidates recommended for accelerated advancement. The Committee may also, at its discretion, interview Heads of Discipline.

The decision of the Committee, following its ratification by the University Council and the Board, will be communicated to the candidate and his/her Head of Discipline by the Secretary to the Committee in writing. The Chair of the Committee or his/her nominee shall provide feedback to unsuccessful candidates and make recommendations which may assist the candidate in applying for accelerated advancement at the next opportunity. 4.8

The accelerated advancement shall have effect from 1<sup>st</sup> October following confirmation in appointment.

**b. Lecturers appointed for a probationary period of two years or more**

4.6 When two full terms have been completed, the Head of Discipline will be asked to submit a statement of progress since appointment. The Committee will consider an initial review and make a recommendation to Council.

Thereafter, the appointment will be reviewed in the final probationary year unless it is considered desirable by the Promotions Committee to hold an intervening review.

[For the purpose of determining length of service in the case of probationary appointments of two or three years, if an appointment is taken up later than 1st January in any year, that portion of the academic year remaining shall not be counted as a year].

4.7 Not later than 30th November in the year in which the probationary period is completed the Lecturer will be required to complete the relevant portions of Application Form A. The Head of Discipline will complete the remaining portion which will be shown to the Lecturer before being forwarded to the Secretary of the Junior Promotions Committee. During the final term of the probationary contract, the Junior Promotions Committee will consider the application, may interview the Lecturer and may interview the Head of Discipline.

The Junior Promotions Committee will recommend to Council that:

- (a) the appointment be confirmed or
- (b) the appointment be terminated at the end of the final term of the appointment or
- (c) **the probationary period be extended for a period of no longer than one year during which the review procedure will be repeated.**

The decision of the Committee, following confirmation by the Council and the Board, will be communicated to the Lecturer and his/her Head of Discipline by the Secretary to the Committee in writing. The Chair of the Committee or his/her nominee shall provide feedback to unsuccessful candidates and make recommendations which may assist the candidate in applying again.

**5. CRITERIA**

5.1 Lecturers appointed on probation are normally at the beginning of their academic careers. They show increasing independence in research and teaching. They are entitled to receive the support of more senior members of staff and they shall not be required to undertake excessive teaching and/or administrative loads. Normally, they will not undertake the duties of Course or Programme Coordinator, nor should they undertake the role of College Tutor. They are entitled to staff development support to develop their professional competencies.

5.2.1 For confirmation of appointment, a Lecturer shall demonstrate **satisfactory** performance in **both teaching and research**. The committee may take into consideration unusually active contributions to College, the discipline or the community.

5.3 **For accelerated advancement, a Lecturer shall demonstrate exceptionally distinguished performance in teaching, research, and contributions to College, the discipline or the community.**

**Application Form A**

**University of Dublin  
Trinity College**

**Review of Academic Staff on Probation**

**Candidates should read Procedures Document A above before completing this application.**

**Section A – General Information (to be completed by the Lecturer)**

**a. Name** \_\_\_\_\_ **b. Department/School** \_\_\_\_\_

**c. Telephone extension** \_\_\_\_\_ **d. E-mail address** \_\_\_\_\_

**e. Date of Appointment** \_\_\_\_\_

**f. Earned degrees received in chronological order beginning with the most recent (specify date, subject, institution and grade of Honours)**

**g. Other qualifications received in chronological order beginning with the most recent (e.g. professional qualifications, honorary degrees)**

**h. Awards and distinctions in chronological order beginning with the most recent since your appointment**

**i. Career to date, including any previous appointments in Trinity College (e.g. as Contract Lecturer), in chronological order beginning with the most recent.**

**j. List any special considerations which the Junior Promotions Committee should take into account**

**Section B – Teaching (to be completed by the Lecturer)**

**a. List courses taught since appointment (use indicated format)**

Indicate with an \* those courses for which you are the only Lecturer or for which you are the Coordinator. Indicate with an \*\* those courses you have designed yourself. Include both undergraduate and postgraduate courses.

Course Title	Level	Number & type of class (enrolment)	Year
<i>Example</i> Advanced Theory */**	Junior Freshmen	50 Lectures (60) 20 Tutorials (15 ea)	2003-04
Practical*	SF	50 Lab sessions x 3hrs (20)	2002-03
Clinical Training	JS	150 Clinical supervision (48)	2003-04

**b. Number and level of research students supervised**

**1) RESEARCH POSTGRADUATES COMPLETED**

**Research Masters:**

Student	Date of Award	Individual/joint supervision

**PhD:**

Student	Date of Award	Individual/joint supervision

**Taught Masters:**

Student	Date of Award	Individual/joint supervision

*2) CURRENT RESEARCH POSTGRADUATES*

Student	Date of initial registration	Qualification	Anticipated completion date	Individual/joint supervision

**c. Other teaching responsibilities** (teaching consultancies etc)

**d. Approaches to teaching** (Give an account of your philosophy of teaching and learning including reasons why you choose your methods of instruction and assessment)

**e. Comment on any student feedback received and on how you used that feedback to improve your teaching** (student feedback results may be included as an attachment to this Form but please note that the written consent of any person, other than the applicant, who is named in a Student Survey must be obtained by the applicant before the submission of Student Survey Forms to the Committee).

**f. List any professional development activities you have undertaken to help you improve your teaching.**

**Section B – Research (to be completed by the Lecturer)**

**a. Describe your research interests and programme *since your appointment*. Discuss the significance of your research and its place within the field**

**b. List any research grants you have received *since your appointment*. (Indicate the source and value to College of the grant. Indicate your role in obtaining each grant – e.g. Principal Investigator, Co-Principal Investigator, Research Strand Leader)**

**c. List your publications *since your appointment*, in each case in chronological order beginning with the most recent (do not include publications which have yet to be accepted)**

*Note: a complete list of your publications may be attached to this Form. Please use the layout below*

**1. MATERIALS SUBJECT TO PEER REVIEW OR EQUIVALENT EDITORIAL PROCESSES**

(a) Books (single or joint author)

(b) Edited books or special issues of journals

(c) Chapters/articles in books

(d) Journal articles

(e) Papers in conference proceedings

(f) Book reviews

(g) Other materials subject to external evaluation (e.g. computer software, professional dramatic or music productions)

**2. PUBLICATIONS NOT SUBJECT TO EDITORIAL REVIEW**

(b) Books (single or joint author)

(b) Edited books or special issues of journals

(c) Chapters/articles in books

(d) Journal articles

(e) Papers in conference proceedings

(f) Book reviews

(g) Other materials (e.g. computer software, professional dramatic or music productions)

**d. If you have been involved in forms of academic activity which have not been detailed above and which you feel are relevant to your case for advancement (e.g. practical applications in health sciences, social services, computer science, or the arts; language learning; other study not leading directly to publication or formal qualifications), please give details here:**

**e. List any professional development activities you have undertaken to help you improve your research**

**Section C – Service to College (to be completed by the Lecturer)**

**Note:** It is not expected that Lecturers on Probation will either have the opportunity, or be expected, to take a significant role in College administration but the Junior Promotions Committee may take into account any unusually active contributions to College.

**a. List any activities which could be classed as service to College (e.g. committee service but excluding routine administration associated with your teaching or research). Describe the nature of your contribution.**

**Section D – Service to the discipline or to the community (to be completed by the Lecturer)**

**Note:** It is not expected that Lecturers on Probation will either have the opportunity, or be expected, to take a significant role in serving the discipline or the community but the Junior Promotions Committee may take into account any unusually active contributions in these areas.

**a. List any activities which could be classed as service to the discipline or the community. Describe the nature of your contribution.**

Signature \_\_\_\_\_

Date \_\_\_\_\_

**Section E – Report by Head of Department/School**

If necessary, Heads should seek information from other senior members of staff.

*Note: If you believe that a member of staff other than your Head of Department may be a more appropriate person to write commentary, please consult with the Secretary to the Junior Promotions Committee*

Having due regard for College’s criteria for confirmation of appointment (see Procedures Document A) please comment on the following:

**a. Teaching – achievement and potential**

**b. Research – achievement and potential**

**c. Service to College (not a requirement for confirmation)**

**d. Service to the discipline/community (not a requirement for confirmation)**

I have shown this report to the candidate.

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_  
Head of Discipline

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_  
Head of School