## Probation flowchart

<table>
<thead>
<tr>
<th>Document type</th>
<th>Guidance</th>
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<tbody>
<tr>
<td>Scope (applies to)</td>
<td>All staff</td>
</tr>
<tr>
<td>Applicability date</td>
<td>01/03/2023</td>
</tr>
<tr>
<td>Review / Expiry date</td>
<td>07/03/2025</td>
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<tr>
<td>Approved date</td>
<td>05/07/2024</td>
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<tr>
<td>Approver</td>
<td>Director</td>
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<tr>
<td>Document owner</td>
<td>Human Resources Officer</td>
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<td>School / unit</td>
<td>Human Resources</td>
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<tr>
<td>Document status</td>
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<td>Information classification</td>
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<tr>
<td>Equality impact assessment</td>
<td>None</td>
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<td>Key terms</td>
<td>Staff/Employee relations/Probation</td>
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<tr>
<td>Purpose</td>
<td>Probation process in the form of a diagram. EDI confirmed EIA not required.</td>
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<tbody>
<tr>
<td>1.1</td>
<td>Amending the expiry date only to coincide with policy review consultation dates.</td>
<td>Published</td>
<td>Lisa Stewart HR</td>
<td>04/07/2024</td>
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</tbody>
</table>
A new employee joins the University.

HR Data emails the probation manager confirming their probation obligations.

Yes

Email HR Probation (cc HRBP) confirming the new probation date/how many weeks to extend the probation, and rationale for the change to dates.

HR Probation emails employee confirming new probation dates (cc probation manager).

No

Probation Manager: Does the probation dates need to be extended e.g. to cover term-time leave, pre-approved long term absence? (Refer to 6.2 of the Policy)

Probation Manager sets up a meeting with the employee (within the first 2 weeks of employment) to agree objectives during the probation period. (8.1 of policy)

Probation Manager updates the probation review form with the agreed action points/feedback and shares with the employee.

Probation manager reviews progress against objectives set throughout the probation period and provides feedback to the employee using the Review Meetings. (8.3 of policy)

Tip: Probation Manager should schedule all of the probation review meetings at the start of the probation period to ensure the meetings are in the diary, and take place on time.

Note: If no response is provided by the probation end date, HR Probation will escalate this to the Head of School/Unit (or equivalent other) to confirm the outcome.

HR Probation will send an email reminder to the probation manager usually 6 weeks before the probation end date.

Has probation been successful?

Yes

Probation manager carries out the final probation review with the employee ensuring examples are provided of where the employee has not met the required standards and confirm next steps and outcome of the probation.

HR will invite the employee to the Formal Probation Hearing (11.2)

HR will appoint a Chair to conduct the Probation Hearing.

The Probation Hearing will take place (11.3)

Resume probation or confirm the appointment

Probation manager carries out the final probation review with the employee ensuring examples are provided of where the employee has not met the required standards and confirm next steps and outcome of the probation.

Tip: Line Managers must take reasonable steps to ensure that all probation documentation is kept secure and confidential whilst in their possession.

Probation manager updates the probation review form with the agreed action points/feedback and shares with the employee.

Probation manager reviews progress against objectives set throughout the probation period and provides feedback to the employee using the Review Meetings. (8.3 of policy)

Tip: Review meetings should take place at least every 2 to 3 months. For probation durations that last 3-months in total, the probation review should take place roughly every 4 weeks (after the initial meeting).

Has probation been successful?

No

Probation manager carries out the final probation review with the employee and verbally informs the employee of the probation outcome at this meeting (8.5)

HR Probation writes to the employee to confirm the probation outcome.

Has probation date been extended?

Yes

Probation manager updates the Probation Review Form and submits the full report to HR Probation confirming how long the extension will last, the probation end date and the rationale.

Probation manager confirms the terms of the extension in writing to the employee using the Probation Extension Form template (issued from HR Probation) copying in their HRBP to the email.

Note: The final review meeting should take place at least 2 weeks before the end of the probation period.

HR will update the appropriate personnel records.

No

Probation manager updates the probation review form to the employee ensuring examples are provided of where the employee has not met the required standards and confirm next steps and outcome of the probation.

Probation Manager notifies their HRBP of the concerns.

HR Probation will send an email reminder to the probation manager usually 6 weeks before the probation end date.

Probation manager will update the personnel record and processes the dismissal.

Tip: Probation Manager should schedule all of the probation review meetings at the start of the probation period to ensure the meetings are in the diary, and take place on time.

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**Appeal Process**

1. **Is there an appeal?**
   - **Yes**: The Appeal manager will review the reasons for recommending dismissal (or other formal sanction) and consider evidence put forward by the employee.
   - **No**: No further action.

2. **Is the employee required to attend the formal appeal hearing?**
   - **Yes**: HR will invite the employee to the Formal Probation Appeal Hearing.

3. **Is the appeal against the dismissal (or other formal sanction) upheld?**
   - **Upheld**: HR will update the appropriate records and the line manager.
   - **Not upheld**: Chair notifies employee of the outcome of appeal in writing within 10 working days. Sanction could be amended or cancelled.

4. **Chair notifies employee of the outcome of appeal in writing within 10 working days.**
   - **No**: HR will update the appropriate records and the line manager.

**Note:** There is no further right to appeal.
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<td>Lisa Stewart, HR</td>
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