



UNIVERSITY OF LEEDS

Policy on the Employment of Researchers



Policy on the Employment of Researchers

The Importance of Researchers

A key University of Leeds objective is to deliver international excellence in all our areas of research. The University recognises the major contribution played by researchers in delivering research of the quality and impact which characterises a world-class research intensive University. It is committed to attracting the very best researchers and helping them to develop their careers and make their career choices realistically and effectively, whatever their chosen career path.

Policy Statement

This policy provides a clear statement of the University's expectations for the support, management and development of researchers. It covers seven key aspects of employment (sections 2-7) and (in section 1) the responsibilities for implementing and delivering the policy in faculties, schools and the University:

1. Responsibilities for Policy Implementation and Delivery.
2. Appointment of Researchers and Terms and Conditions of Service.
3. Induction.
4. Probation.
5. Staff Review and Development Scheme.
6. Contribution Pay and Promotion.
7. Personal, Professional and Career Training and Development.
8. Fixed-Term Contracts.

For the purpose of this policy, the term *researchers* includes pre- and post-doctoral staff on fixed-term research contracts, open-ended contracts funded through limited period grants and named fellowships.

1. RESPONSIBILITIES FOR POLICY IMPLEMENTATION AND DELIVERY

1.1 Faculty Deans

- a) Work with the Faculty Human Resources (HR) Manager to ensure that appropriate Faculty procedures are developed and in place, in line with the University policy on the employment of researchers. In particular all Faculties should have procedures on Equality and Diversity and Contribution Pay and Promotion.
- b) Assign responsibilities at Faculty level for delivery of University policy and implementation of Faculty procedures.
- c) Ensure that Faculty procedures are implemented by all Schools within the Faculty. Where Faculty-level procedures are not appropriate, ensure that School procedures exist and are implemented.
- d) Ensure that Heads of Schools report back on the outcomes of University policy implementation and development of procedures in their Schools.

1.2 Heads of Schools/Institutes

- a) Take overall responsibility for ensuring the development, implementation and delivery of effective staff recruitment, management, development and contractual procedures in the School, in line with Faculty procedures and the University policy on the employment of researchers.
- b) Assign responsibilities at School level for delivery of University policy and implementation of Faculty/School procedures.
- c) Ensure that those responsible are trained in staff review and staff management.

- d) Ensure that the responsibilities are carried out effectively and that the management and development responsibilities of Principal Investigators as line managers are part of their own reviews.
- e) Have general oversight of staffing matters, particularly any cases of disagreement between a line manager and member of staff and of underperformance.
- f) Ensure that *all* researchers have:
 - i. An effective induction to the School, their project and the University.
 - ii. Regular probation meetings.
 - iii. Annual staff review meetings, with interim follow-up.
 - iv. The opportunity to have a mentor.
 - v. A personal development plan and follow-up action.
 - vi. Access to staff development opportunities.
- g) Report annually to the Dean on the outcomes of University policy implementation and development and implementation of procedures in their Schools.

1.3 Line Managers

For researchers employed on a project basis, the line manager will normally be the principal investigator from the outset. For researchers who are independent investigators (e.g. holders of Fellowships) the line manager will be determined by the Head of School (or equivalent). Line managers have the following responsibilities:

- a) Take seriously management and development responsibilities towards researchers.
- b) Undertake training as a staff reviewer and appropriate additional management training.
- c) Wherever possible include provision for training when costing research grant applications.
- d) Be aware of, and implement for the researchers they manage, the Faculty/School procedures that support the University policy on the employment of researchers.
- e) Provide researchers with clear and unambiguous information from the outset about the nature of their contract¹.
- f) Ensure that new researchers receive an effective induction to the project and project group, even if they are not new to the School.
- g) Meet with the researcher during the first 8 weeks of appointment to agree and document a probation plan, and return this to the School HR administrator to forward to Human Resources.
- h) Have regular discussions throughout the period of probation to monitor and review the researcher's performance and progress against objectives, resulting in constructive outcomes including a personal development plan and follow-up action. At least two discussions per year will be formal meetings at which notes must be taken and retained.
- i) Have a formal review, including a detailed career discussion, at the end of the first probationary year, to help the researcher to begin to identify and plan a career route that is both desirable and potentially available, their potential to achieve that route and the actions needed. A number of example career pathways for researchers have been identified – see Annex 2 to this policy.
- j) Have a formal review towards the end of the probationary period, when a decision will be made as to whether probation should be confirmed.
- k) Throughout the period of employment hold an annual Staff Review and Development meeting with the researcher to review contribution and achievements, set objectives, discuss career development and agree staff development.
- l) Work with the researcher to help them to develop their career by:
 - Keeping them informed about the funding for their post and project and about the likelihood of future funding and employment at the end of the current appointment.
 - Being aware of, and encouraging participation in, training and development opportunities within the School, Faculty, University and beyond, including the opportunities for enhanced personal skills development made available through 'Roberts' funding.
 - Guiding and helping them to choose a mentor.
- m) Provide opportunities within projects for researcher development.

¹ For example that the contract is for a fixed term or otherwise and that, in the case of a fixed-term contract, there is no guarantee of a further contract once it ends.

1.4 Mentors

- a) Take mentoring responsibilities seriously and undertake any appropriate training.
- b) Be aware of the procedures in the University policy on the employment of researchers.
- c) Be aware of training and development opportunities within the project, School, Faculty, University and beyond, including opportunities for enhanced personal skills development made available through 'Roberts' funding and support from the Careers Centre.
- d) Meet when appropriate with the researcher to encourage and support their career development during and beyond the end of the current contract or project and to help them to plan an appropriate career route.

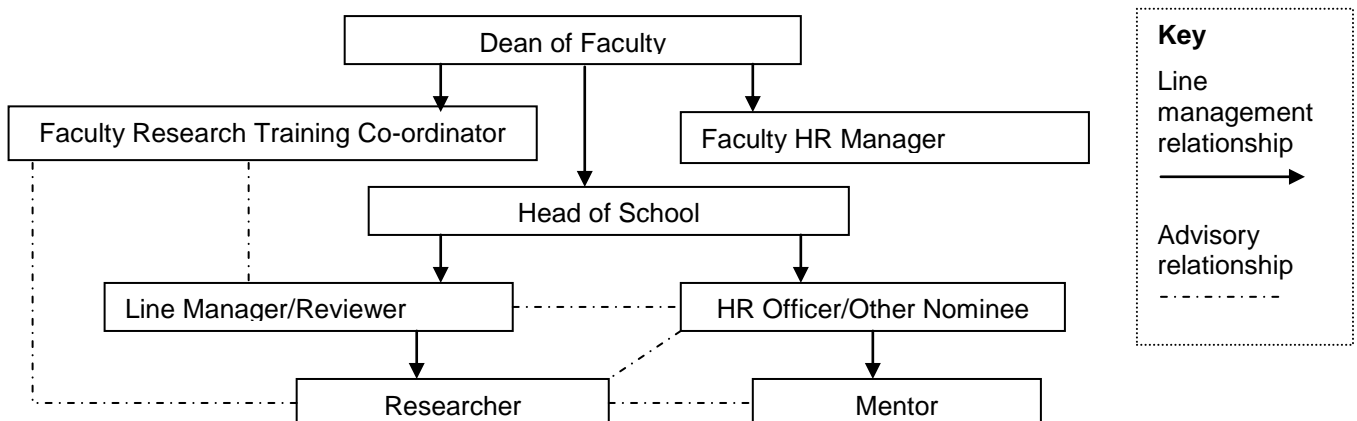
1.5 Researchers

- a) Take primary responsibility for furthering own professional and career development, including choosing a mentor (with the help of the line manager and Head of School as appropriate), working in partnership with the line manager and any mentor.
- b) Be proactive in meeting with the line manager and any mentor during probation and subsequently, working collaboratively to ensure that probation, staff review and career development meetings occur regularly and are productive.
- c) Take responsibility for keeping informed of personal, professional and career development opportunities available within and beyond the University.
- d) Take an active interest and participate in such opportunities, including the University's Introductory Programme for Recently-Appointed Academic, Professional and Managerial Staff and the support available from the Careers Centre.
- e) Engage in the wider aspects of the School/Faculty beyond the particular project.
- f) Keep an up-to-date CV and personal development plan.
- g) Keep informed about the funding of own post and project and about the likelihood of future funding and employment at the end of the current appointment.
- h) Take a proactive approach to obtaining a new contract in the University or a post elsewhere, through use of media such as the University website <http://www.leeds.ac.uk/about/jobs/> and Redeployment Register <http://www.leeds.ac.uk/hr/policy/documents/redeploymentframework.doc> the external press and web-based resources such as <http://www.jobs.ac.uk/>.

1.6 Faculty Research Training Co-ordinators (or equivalent)

- a) Work with the Faculty Pro-Dean for Research to develop and implement a Faculty strategy for enhanced personal skills development for researchers.
- b) Communicate the strategy to all Heads of School, line managers and researchers in the Faculty to ensure that all are aware of the opportunities available in the Faculty, the University and beyond.
- c) Ensure that all eligible staff are able to benefit from the available opportunities.
- d) Develop and implement a strategy to evaluate the impacts and benefits of the provision made possible by the 'Roberts' funding.
- e) Report annually to the Faculty management team and Research Board on strategy development, implementation and evaluation.

1.7 Responsibility Structure



1.8 Summary of Roles and Responsibilities in Schools for Implementation and Delivery of Policy on Employment of Researchers

- ✓ primary responsibility for policy implementation
- ✓✓ primary responsibility for policy delivery
- (✓) responsibility for supporting policy delivery

Responsibility ⇒	Faculty Dean	Faculty HR Manager	Head of School	Head of School Nominee e.g. HR Officer/ Research Group Leader	Line Manager	Mentor	Researcher	Faculty Research Training Co-ordinator
Aspect ⇩								
1. Appointment			✓	(✓)	✓✓			
Equality	✓	✓	✓	(✓)	✓✓	(✓)	(✓)	(✓)
2. Induction to School			✓	✓✓				
Induction to Project				✓	✓✓			
Induction to University				✓	✓✓		✓✓	
3. Probation			✓	(✓)	✓✓			
4. Staff Review and Development Scheme			✓	(✓)	✓✓			
5. Contribution Pay and Promotion	✓	✓	✓	(✓)	✓✓		✓✓	
6. Personal/ Professional/ Career Development and Training	(✓)	(✓)	✓	(✓)	✓✓	✓✓	✓✓	✓✓
7. Fixed-Term Contracts			✓ ✓✓	(✓)	✓✓			

1.9 Timeline for an Initial 3-Year Fixed-Term Contract Subsequently Extended for 3 Years

Month	Activity	Employment Policy Section	Lead Responsibility
1	- Appointment - Induction - Probationary adviser nominated	2 3 4.1, 4.2	Head of School
2	Probation plan agreed and sent to Human Resources	4.2.i	Line Manager
6	Formal probation meeting (notes taken and retained)	4.2.ii	Line Manager
12	Formal probation review including detailed career discussion and updating of probation plan	4.2.iv	Line Manager + Head of School
18	Formal probation meeting (notes taken and retained)	4.2.ii	Line Manager
21	Formal probation review and decision re whether probation should be confirmed, extended for 12 months or not confirmed:	4.2.iii	Line Manager + Head of School
21	<ul style="list-style-type: none"> Probation not to be confirmed: - Contact Human Resources 	4.2.iii	Head of School
24	<ul style="list-style-type: none"> Probation to be confirmed: - Objectives + PDP agreed and documented for months 25-36 - Completed probation plan returned to Human Resources - Formal career review meeting 	5.1 8.4	Line Manager
24	<ul style="list-style-type: none"> Probation to be extended for 12 months maximum: - New probation plan agreed, documented and sent to Human Resources - Revisit process for months 12-24 	4.2 4	Line Manager + Head of School
30	Contract review and meeting with researcher. Decision re whether contract should: <ul style="list-style-type: none"> - Be extended for a further fixed-term (normal maximum 3 years) - Be made permanent - Come to an end 	8.6 & Annex 1: 3 Annex 1: 5 & 7 Annex 1: 4 Annex 1: 6 & 7	Head of School in consultation with Line Manager
36	Contract completed. If made permanent or extended for a further fixed-term (normal maximum 3 years): <ul style="list-style-type: none"> - Annual staff review and development meeting including formal career review meeting 	5 8.4	Line Manager
The following assumes a 3-year extension:			
48	- Annual staff review and development meeting	5	Line Manager
60	- Annual staff review and development meeting - Formal career review meeting	5 8.4	Line Manager
66	Contract review and meeting with researcher. Decision re whether contract should: <ul style="list-style-type: none"> - Be extended for a further fixed-term (exceptional circumstances) - Be made permanent - Come to an end 	8.6 & Annex 1: 3 Annex 1: 5 & 7 Annex 1:4 Annex 1: 6 & 7	Head of School in consultation with Line Manager
72	Contract completed. If made permanent or extended for a further fixed-term (exceptional circumstances): <ul style="list-style-type: none"> - Annual staff review and development meeting including formal career review meeting 	5 8.4	Line Manager

Notes

1. Additional informal meetings should take place throughout the period of probation.
2. It is recommended that line manager and researcher should meet informally between formal staff review meetings.
3. Meetings between the researcher and any mentor should take place on an ongoing basis as agreed between the two people.

ASPECT OF EMPLOYMENT	RESPONSIBILITY
2. APPOINTMENT OF RESEARCHERS AND TERMS AND CONDITIONS OF SERVICE	
<p>2.1 Appointments of researchers are made in accordance with University policy on Recruitment and Selection http://www.hr.leeds.ac.uk/policies/UploadedFiles/Recruitment%20and%20selection%20guidelines.doc</p>	Head of School ⇒ Principal Investigator
<p>2.2 Researchers are employed on the terms and conditions of service which apply to all Academic and Academic Related Professional and Managerial staff groups http://www.hr.leeds.ac.uk/policies/Default.aspx?PGId=5 The role profiles for researchers are at http://www.hr.leeds.ac.uk/policies/Default.aspx?PGId=23</p>	Head of School ⇒ Principal Investigator
<p>2.3 Researchers have the same opportunities as all staff in accordance with University policy on Equality and Diversity http://www.equality.leeds.ac.uk/ed/policy/</p>	Faculty Dean & HR Manager ⇒ Head of School ⇒ Line Manager
<p>2.4 Researchers have automatic membership of the faculty with which their School is associated. Membership of a faculty is the basic qualification enabling a member of staff to play a part in the government of the University. It includes the rights to elect faculty representatives to the Court, Council, Senate and main committees and to stand for election to the same; and to attend meetings of the relevant faculty.</p>	Member of researchers
<p>2.5 Each researcher will have a line manager. For researchers employed on a project basis, the line manager will normally be the principal investigator. For researchers who are independent investigators the line manager will be determined by the Head of School (or equivalent).</p>	Head of School
3. INDUCTION	
<p>3.1 Within the early weeks of their employment, researchers will receive an effective induction to their School² and their project http://www.hr.leeds.ac.uk/policies/UploadedFiles/Induction.doc</p>	a) Head of School ⇒ nominee, eg HR Officer b) Line Manager
<p>a) Induction to the School will be provided by the member(s) of staff designated by the Head of School.</p> <p>b) Responsibility for induction to the project lies with the line manager.</p>	
<p>3.2 The University strongly encourages researchers to attend the <i>Introductory Programme for Recently-Appointed Staff</i>, coordinated by the Staff and Departmental Development Unit (SDDU) http://www.leeds.ac.uk/sddu/ All new researchers are invited to this programme and are expected to participate in the early months of their career. Researchers are also encouraged to visit the Careers Centre at an early stage http://careerweb.leeds.ac.uk/</p>	Line Manager & Researcher + SDDU
4. PROBATION	
<p>4.1 Appointees who have not successfully completed a period of probation, either at Leeds or at another University in a post including the same range of responsibilities as those associated with the new post, have a two year probationary period, in line with normal University probationary procedures for academic staff http://www.leeds.ac.uk/hr/policy/documents/probation.doc</p>	Head of School and Line Manager
<p>4.2 Within the first six weeks the Head of School, in agreement with the staff member, will nominate a probationary adviser to the member of staff. The adviser will normally be the line manager. The adviser will:</p>	Head of School

² The term 'School' is used throughout this policy statement. It includes Institutes, Centres and any other organizational units in which researchers are employed.

ASPECT OF EMPLOYMENT	RESPONSIBILITY
i. Meet with the probationer within the first eight weeks of appointment to agree and document a probation plan setting out work and personal/career development objectives, and send this to the School HR contact, who will forward it to Human Resources.	Line Manager
ii. Have regular discussions with the probationer to monitor and review performance and progress against objectives. At least two discussions per year will be formal meetings at which notes must be taken and retained.	Line Manager
iii. There will be formal documented reviews between the adviser, researcher and Head of School (or nominee) at the end of the first year and towards the end of the probationary period, when a decision will be made as to whether probation should be confirmed, extended or not confirmed.	Line Manager /Head of School
iv. Have a detailed career discussion with the probationer at the end of the first year, as part of the formal review, helping the researcher to begin to identify and plan a career route that is both desirable and potentially available, their potential to achieve that route and the actions needed. A number of career pathways for researchers have been identified – see Annex 2 to this policy.	Line Manager
v. Provide guidance and advice that relates specifically to the objectives detailed in the probation plan.	Line Manager
vi. Ensure that appropriate support, including training and development, is in place to help the individual to achieve their objectives.	Line Manager
4.3 Passing probation does not imply that the contract is indefinite or that probation for any other type of post has been completed.	
5. STAFF REVIEW AND DEVELOPMENT SCHEME	
5.1 On completion of probation, all staff, including researchers, participate in the University's annual Staff Review and Development Scheme (SRDS) http://www.hr.leeds.ac.uk/policies/UploadedFiles/SRDS%200809.doc The objectives agreed at the end of probation are those discussed at the first review meeting.	Head of School
5.2 The Head of School will indicate the suggested reviewer. This will be someone who is able to discuss progress with the reviewee and help them to set meaningful objectives and development plans. For most researchers this will be the line manager or a more senior colleague.	Head of School ⇒ Line Manager
5.3 SRDS provides an opportunity for the reviewer and reviewee to look back at past contribution, recognise achievements, successes and difficulties, and provide constructive feedback. SRDS also looks forward, providing an opportunity to set objectives for the next period, to discuss career aspirations and to agree any development needed to achieve these objectives and further these aspirations.	Line Manager & Researcher
5.4 The outcome of the review process is a set of agreed objectives and a development plan to help the researcher meet the objectives. Interim discussions should be held during the year to review objectives and progress. Reviewer and reviewee should agree the timing of these meetings.	Line Manager & Researcher
5.5 The Head of School is responsible for ensuring that all reviewers are trained before undertaking a review and that all reviewees are invited to attend a briefing.	Head of School and Line Manager
6. CONTRIBUTION PAY AND PROMOTION	
6.1 Researchers may apply for contribution pay and/or promotion or may be recommended by their manager using the normal University procedures http://www.leeds.ac.uk/hr/progression/index.htm	Researcher and/or Line Manager

ASPECT OF EMPLOYMENT	RESPONSIBILITY
<p>6.2 Contribution pay. For transparency and consistency there is one scheme for all staff which encompasses all recurrent and one-off payments to reward members of staff who exceed the normal expectation of their role. Award is dependent on merit and not on the availability of funding in research project budgets.</p>	<p>Faculty Dean & HR Manager ⇒ Head of School ⇒ Researcher and/or Line Manager</p>
<p>6.3 Promotion. All roles have been evaluated using the University of Leeds role analysis scheme. A member of staff who believes that their role has grown significantly since appointment or since their role was analysed may submit a promotion application.</p>	<p>Faculty Dean & HR Manager ⇒ Head of School ⇒ Researcher and/or Line Manager</p>
<p>6.4 All applications and recommendations for promotion are considered by Faculty/School Promotions Committees. Decisions are made through the University's promotions procedures.</p>	<p>Faculty Dean & HR Manager ⇒ Head of School</p>
<p>7. PERSONAL, PROFESSIONAL AND CAREER TRAINING AND DEVELOPMENT</p>	
<p>7.1 The University takes the development of all its staff very seriously and its policy relates to the training and development of <i>all</i> employees http://www.leeds.ac.uk/sddu/top/sd_policy.html</p>	<p>Faculty Dean & HR Manager ⇒ Head of School ⇒ Line Manager + SDDU</p>
<p>7.2 Line managers are responsible for helping researchers to identify opportunities in a conscious and structured way that will develop and broaden their skills and knowledge. This can often be done by working alongside and perhaps shadowing more experienced staff. For staff who have the potential to move onto the Teaching and Research or Teaching and Scholarship academic career pathways, opportunities might include involvement in teaching and/or supervising research students; being a co-applicant on a grant proposal; publishing and presenting work; supervising or managing staff, budgets and projects; support to obtain a prestigious Fellowship. For those who wish to work in an industrial or commercial environment, particularly one related to academic research, opportunities to work in a University spin-out company or to obtain a Knowledge Transfer or Enterprise Fellowship might be developed.</p>	<p>Line Manager with Researcher</p>
<p>7.3 Mentoring is an important way of developing staff. It is recommended that each researcher, whether appointed on a fixed-term or open-ended contract, should have a mentor who has responsibility for encouraging and supporting the member of staff's career development during and beyond the end of the current fixed-term contract or project. The role of mentor is not to replace or substitute for the role of the line manager but rather to provide guidance, encouragement, support, challenge and vision to help the researcher to identify and plan a career route that is desirable and potentially available, to develop their potential to achieve that route and to plan the actions needed.</p>	<p>Researcher with Line Manager/ Head of School as appropriate</p>
<p>The University has developed guidelines for research mentoring as part of its repertoire of opportunities for supporting individual performance http://www.leeds.ac.uk/sddu/research/mentoring.html</p>	
<p>The choice of mentor should be driven by the researcher, with the help of the line manager and Head of School as appropriate.</p>	

ASPECT OF EMPLOYMENT	RESPONSIBILITY
<p>7.4 Ultimate responsibility for individual career development rests with the researcher, working closely with the line manager and any mentor, and taking advantage of the opportunities afforded by their School and Faculty, the Staff and Departmental Development Unit (SDDU), Careers Centre and other University and external providers of training and development.</p>	<p>Researcher with Line Manager and Mentor</p>
<p>7.5 In particular, researchers are expected to:</p> <ol style="list-style-type: none"> a) Take responsibility for keeping themselves informed of personal, professional and career development opportunities available within and beyond the University. b) Take an active interest and participate in such opportunities. c) Engage in the wider aspects of their School/Faculty beyond their particular project. d) Take primary responsibility for furthering their professional and career development, working in partnership with their line manager and any mentor. The choice of mentor should be driven by the researcher, with the help of the line manager and Head of School as appropriate. e) Keep informed about the funding of their own post and project and about the likelihood of future funding and employment at the end of the current appointment. 	<p>Researcher</p>
<p>7.6 Researchers cannot be <i>required</i> to undertake teaching duties unless these form part of the duties of the post that are included in the job description and are communicated to the staff member at the time of appointment. Teaching duties <i>may</i> be undertaken, provided:</p> <ol style="list-style-type: none"> a) that they are agreed with the staff member and the line manager (for example as part of probationary or staff review discussions); b) that such duties would assist the individual's personal development; c) that they are consistent with the conditions of the funding body. <p>In such circumstances, the researcher will have access to necessary training courses and support through the Staff and Departmental Development Unit and/or Faculty/School.</p>	<p>Head of School ⇒ Line Manager & Researcher</p>
<p>7.7 The Staff and Departmental Development Unit (SDDU) http://www.leeds.ac.uk/sddu/ is the principal central support agency for staff development, working in close partnership with other corporate services, faculties and schools to meet the training and development needs of all University staff and research students. SDDU aims to provide a continuum of research development opportunities covering career development, good research practice, managing the research degree, attracting research income, planning and managing research, presenting and publishing the results of research, commercialising the output of research, supervising research students, and research leadership and management. A range of generic skills courses is also available. See http://www.leeds.ac.uk/sddu/research/research_home.php</p>	<p>Principal Investigator & Researcher + SDDU</p>
<p>7.8 The University receives Research Councils UK 'Roberts' funding for enhanced personal skills development for researchers. The funding is split between the faculties and the central University, with the majority going to the faculties. In some faculties a dedicated research training co-ordinator is responsible for developing faculty-based training and support for researchers and working closely with the 'Roberts'-funded staff in the central services - SDDU, the Careers Centre, the Library and Information Systems Services. In other faculties, these responsibilities are carried out by a member of academic staff. Faculty research training co-ordinators, and equivalent, and SDDU share the responsibility for ensuring comprehensive awareness of these funds and their purpose.</p>	<p>SDDU</p> <p>Faculty Research Training Co-ordinator or equivalent</p>

ASPECT OF EMPLOYMENT	RESPONSIBILITY
<p>7.9 The University Careers Centre http://careerweb.leeds.ac.uk/ works closely with SDDU, faculties and individual researchers to support researchers' employability in the broadest context. A range of workshops and individual discussions about career paths within and outside higher education are available.</p> <p>7.10 Through the Careers for Research Online Survey (CROS) and other surveys the University is committed to regular review of training needs and provision for researchers to ensure that needs are identified and, wherever reasonably practicable, met.</p> <p>7.11 A new <i>Concordat to Support the Career Development of Researchers</i> was launched in June 2008 and sets out the expectations and responsibilities of researchers, their managers, employers and funders http://www.researchconcordat.ac.uk/ The <i>Vitae</i> programme, funded by Research Councils UK, supports the personal, professional and career management of UK researchers http://www.vitae.ac.uk/</p>	<p>Researcher + Careers Centre</p> <p>SDDU ⇒ Head of School or nominee, eg HR Officer</p>
<p>8. FIXED-TERM CONTRACTS</p> <p>8.1 The University's policy on the use of fixed-term contracts, which applies to all University staff including researchers, is set out at http://www.leeds.ac.uk/hr/policy/documents/fixedtermcontract.doc The <i>Guidelines on Good Employment Practice in Relation to Fixed-Term Contracts where the continuous service is more than 6 months</i>, which form part of the policy, are reproduced as Annex 1 to this policy. The aim of these procedures is to provide fair, effective and transparent mechanisms by which decisions relating to the use of fixed-term contracts can be taken and implemented.</p> <p>8.2 Since July 2006, unless there are objectively justifiable grounds to do otherwise (as set out in the above policy statement), the employee shall be deemed to hold a permanent contract with effect from the later of the following two dates:</p> <ol style="list-style-type: none"> a) the last renewal date of the current contract, <i>or</i> b) the date when the member of staff achieved four years' continuous service, <i>provided that</i> all the following conditions are met: <ol style="list-style-type: none"> i. the member of staff is on a fixed-term contract at the University; <i>and</i> ii. the fixed-term contract has previously been renewed by the University, or the member of staff has previously been employed on a fixed-term contract at the University without a break in service before the start of the present contract; <i>and</i> iii. the member of staff has been continuously employed at the University under the current contract, or under the current contract taken with one or more previous fixed-term contracts, for a period of four years or more. <p>Where objectively justifiable grounds exist, the University takes the view that there is a reasonable case for extending the total length of a fixed-term appointment for up to, but not normally beyond, six years*, provided that career guidance has been given.</p> <p>* Many appointments are for three years. This equates to two such appointments.</p> <p>8.3 A detailed career discussion should be held with the line manager at the end of the first probationary year, as part of the probationary review, helping the researcher to begin to identify and plan a career route that is both desirable and potentially available, their potential to achieve that route and the actions needed. A number of career pathways for researchers have been identified – see Annex 2 to this policy. After completion of probation career discussions should take place during staff review meetings, and with any mentor, on an ongoing basis throughout the employment period.</p>	<p>Human Resources</p> <p>Line Manager with Researcher</p>

ASPECT OF EMPLOYMENT	RESPONSIBILITY
<p>8.4 One year before the end of the employment contract, or after three years in post (whichever is the earlier), there should be a <u>formal</u> career review meeting with the line manager to discuss the choices available at the end of the fourth year, including the likelihood of extension of the contract, and to ensure that the researcher has a clear understanding of their likely career path. This will include an assessment of the researcher's potential and readiness for the preferred career path and agreement of an appropriate personal development plan. Where an appointment has been extended to six years, a further formal career review meeting should take place after five years.</p>	<p>Line Manager with Researcher</p>
<p>8.5 Line managers should keep researchers informed about the state of funding for their projects and the likelihood of future funding or employment at the end of their present appointment. Researchers should in turn take a proactive approach to job searching, for example through use of the University website http://www.leeds.ac.uk/about/jobs/ and Redeployment Register http://www.leeds.ac.uk/hr/policy/documents/redeploymentframework.doc, the external media and web-based resources such as http://www.jobs.ac.uk/</p>	<p>Line Manager Researcher</p>
<p>8.6 In accordance with the policy on the use of fixed-term contracts, 6 months before the end of the contract of a fixed-term researcher, the Head of School should review the contract and meet with the researcher to:</p> <ul style="list-style-type: none"> a) offer a further fixed term post at the end of the existing contract (explaining the objective justifiable reasons for the post remaining fixed-term), <i>or</i> b) offer a permanent post at the end of the existing contract, <i>or</i> c) explain that no further funds are available and that the appointment will come to an end at the end of the existing contract. 	<p>Head of School</p>
<p>8.7 In making any decision, different options should be considered, including alerting the individual to the University Redeployment Register http://www.leeds.ac.uk/hr/policy/documents/redeploymentframework.doc</p>	
<p>8.8 Where ending the contract is necessary, Heads of Schools should try to ensure that the researcher receives appropriate support, which may include access to career advice and training to help the researcher to find alternative employment. A member of staff with the appropriate qualifying service will be entitled to redundancy pay.</p>	

GOOD EMPLOYMENT PRACTICE IN RELATION TO FIXED-TERM CONTRACTS WHERE THE CONTINUOUS SERVICE IS MORE THAN 6 MONTHS

1. INTRODUCTION

- 1.1. The Employment Act 2002 (Dispute Resolution) Regulations 2004 came into force on 1 October 2004 and set out a statutory minimum dismissal procedure which must be applied to all staff. The Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 came into force on 1 October 2002 to ensure that staff on fixed-term contracts are not treated less favourably than staff on similar permanent contracts. In addition, the Regulations confirm that the expiry or non-renewal of a fixed-term contract is a dismissal in law on the grounds of redundancy. Therefore statutory dismissal procedures apply to staff on fixed-term contracts.
- 1.2. From October 2004, employers have been required to follow a minimum three-stage process when ending any fixed-term contract. Simplified, the required process is as follows.
 - i. Written invitation to consultation meeting
 - ii. Consultation
 - iii. The right to appeal
- 1.3. If an employer fails to follow the minimum 3 steps the dismissal could **automatically be deemed as unfair** and taken to tribunal.

2. PRINCIPLES

- 2.1. These procedures will be applied consistently and fairly to all staff employed on fixed-term contracts who have continuous service of 6 months or more. Members of staff who are paid on a timesheeted basis with more than 12 months service will also be included in these procedures.
- 2.2. These procedures do not apply to staff who have been appointed beyond their normal retirement date.

3. PROCEDURE

- 3.1 The University has revised its procedure to comply with the Regulations. It is important that Heads of Schools/Services take immediate action and manage staff on fixed term contracts in accordance with this procedure. Whilst responsibility may be delegated, it remains their responsibility to ensure that the overall spirit and intention of the steps described are adhered to. Your Faculty HR Manager can provide advice on these procedures. A Flowchart of the process is attached for information.
- 3.2 Six months before the contract is due to expire the School/Service should be considering the prospective possibilities when the contract comes to an end (viz. permanency, termination, extension of present contract, issue of new contract etc).
- 3.3 The Human Resources Office sends the appropriate re-appointment form to the Head of School/Service to inform him/her of staff in their area whose appointments are due to come to an end.

4. Where the post is to be converted to permanent

- 4.1 The Head of School/Service informs the member of staff, completes the re-appointment form and returns it to Human Resources.
- 4.2 Human Resources writes to the individual to confirm details of the appointment.

5. Where a re-appointment can be offered

- 5.1 The Head of School/Service writes to the member of staff informing him/her that the contract is due to end and inviting him/her to a consultation meeting to discuss the prospect of their employment continuing. The individual will be offered the opportunity of having a Trade Union representative or workplace colleague at the meeting. See example letter at <http://www.leeds.ac.uk/hr/policy/documents/invitationpossibletoextend.doc>
- 5.2 At the meeting the Head of School/Service confirms the extended contract date and explains the objective justifiable reason❶ for the appointment continuing on a fixed term basis.
- 5.3 Following the meeting, the Head of School/Service completes the re-appointment form and returns it to Human Resources.
- 5.4 Human Resource writes to the member of staff to confirm the details of the re-appointment.
- 5.5 If further funds are available to extend the employment contract, but the individual wishes to resign, the Head of School/Service confirms this on the reappointment form and returns the form to Human Resources, who will confirm this in writing to the individual.
- 5.6 A file note of the meeting must be kept by the Head of School/Service.

6. Where it is not possible to renew a contract or a decision is not known

- 6.1. If it is not possible to renew the contract at that stage, Human Resources will refer to this in its monthly communication to the Union by way of consultation.
- 6.2. The Head of School/Service writes to the member of staff informing him/her that the contract is due to come to an end and inviting him/her to a consultation meeting to discuss their employment position. The individual will be offered the opportunity of having a Trade Union representative or workplace colleague at the meeting. See example letter at <http://www.leeds.ac.uk/hr/policy/documents/invitationnotabletoextend.doc>
- 6.3. At the meeting, the Head of School/Service explains to the member of staff that no further funds are available and the contract will come to an end. An explanation of the objective justifiable reason❶ for the non renewal of the contract and details of the redeployment service are given.
- 6.4. Following the meeting, the Head of School/Service writes to the individual to confirm the discussions of the meeting. See example letter at <http://www.leeds.ac.uk/hr/policy/documents/notpossibletoextendlet.doc>
- 6.5. If an individual wishes to be placed on the redeployment register they must put their request in writing by completing a Skills Analysis Form and forwarding it to the Faculty Human Resources Manager within 4 weeks of receipt of the written notification from the Head of School/Service confirming that the contract will end. This is to ensure that they are placed on the redeployment register at the earliest opportunity.
- 6.6. If redeployment or further funding is not found 4 months before the expiry of the contract the Head of School/Service completes the re-appointment form and returns it with copies of correspondence to Human Resources. This is to ensure that the requisite period of notice of the end of contract is given.
- 6.7. Human Resources writes to the member of staff to confirm that the contract will come to an end, outlining the objective justifiable reason surrounding the decision to dismiss and to inform them of their right of appeal against the decision.
- 6.8. A file note of all meetings should be retained by the Head of School/Service.

- 6.9. If funds subsequently become available to offer a further fixed term contract, the Head of School/Service follows steps outlined in Section 5.
- 6.10. The individual may request a further meeting with the Dean of the Faculty/Head of Service or nominee within 10 working days upon receipt of confirmation regarding the decision to dismiss. The individual may be accompanied at the meeting by a colleague or trade union representative.
- 6.11. Where an individual has opted to join the redeployment register, the University will continue to offer whatever assistance possible in helping them to find a new position up to the date their employment ends.
- 6.12. Whilst looking for suitable alternative employment individuals will be entitled to time off during normal working hours to attend interviews.
- 6.13. The Head of School/Service also gives advice to the employee which may be helpful to him/her in career terms. Where training would be appropriate and feasible within the remainder of the contract which might help the individual in his/her search for another job, the Head of School/Service should offer to facilitate this.
- 6.14. If no suitable alternative employment is available or secured the contract expires on the due date and the individual is paid redundancy compensation where applicable.

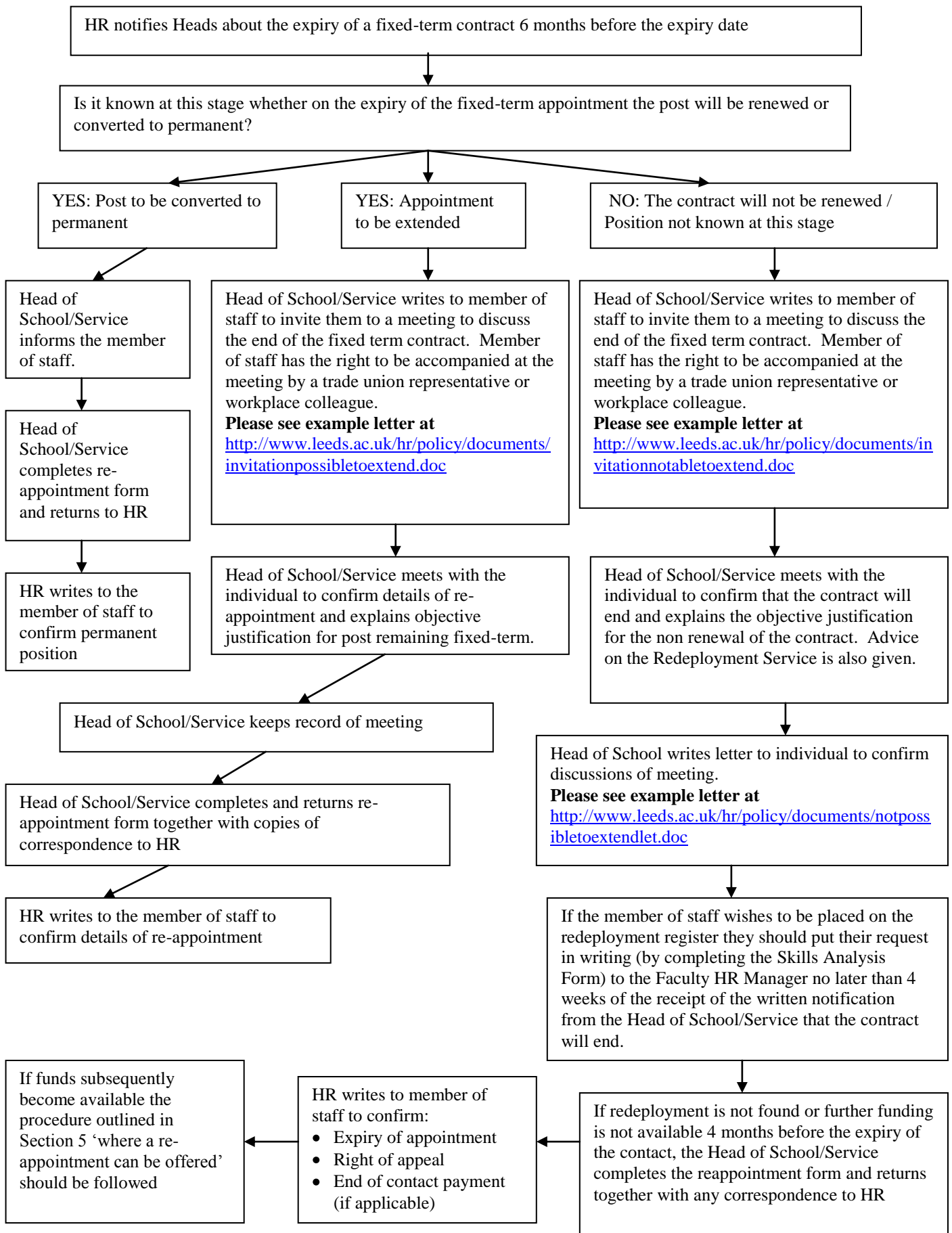
7. Right of Appeal

Within 21 days of receipt of notification from Human Resources of a decision concerning a fixed term contract, the member of staff may request a review of the decision. The request must be made to the University Secretary in writing, setting out clearly the grounds on which the request is made, and the Secretary shall convene a committee of the Council to conduct the review. The committee will normally include a lay member of Council and a member of Senate. The member of staff may address the committee in person and be represented by an adviser, friend or trade union representative. If the committee considers that the University's decision was unreasonable it may require the University to renew or extend a fixed term contract or to offer the member of staff a permanent contract. The committee's decision shall be final. The committee shall give reasons for its decision, which shall be sent to the member of staff and reported to Council.

- ❶ Please refer to section 4.2 of the Policy on the use of Fixed-Term Contracts available at www.leeds.ac.uk/hr/policy/documents/fixedtermcontract.doc

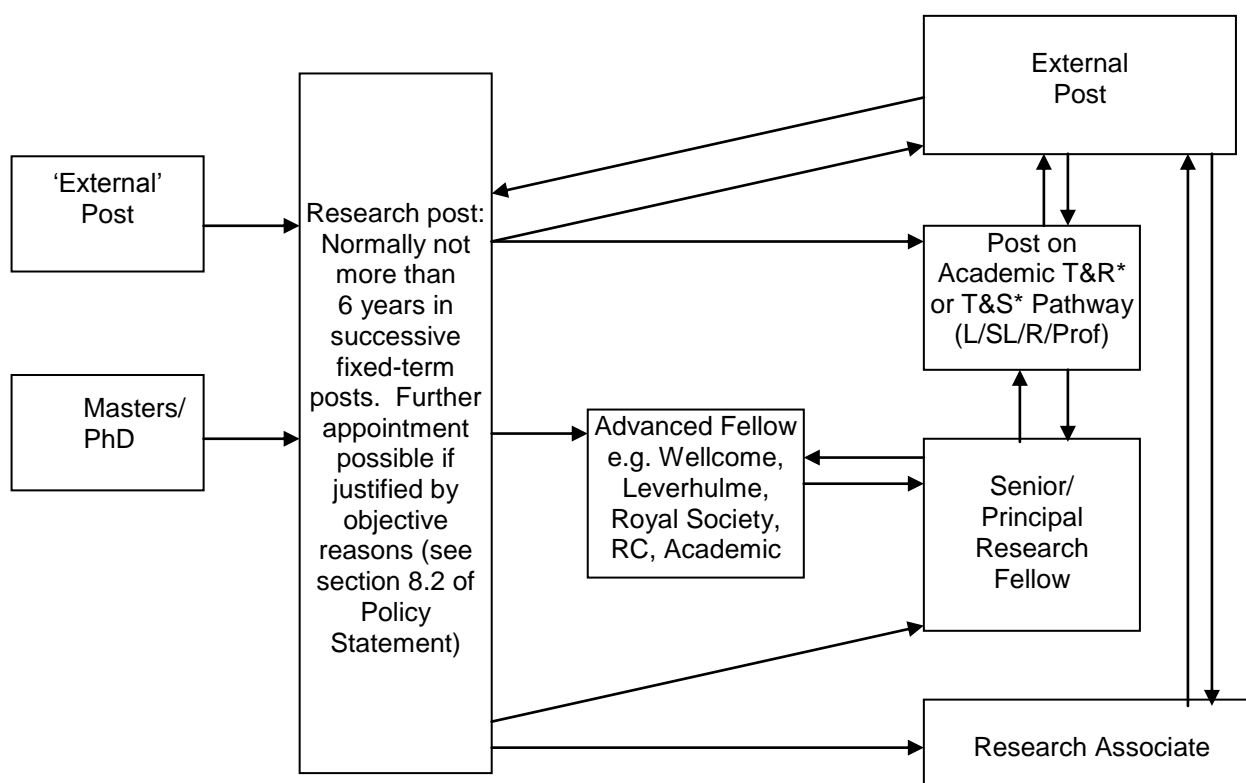
**GUIDANCE FOR HEADS OF SCHOOL/SERVICES ON THE
PROCESS FOR DEALING WITH THE EXPIRY OF FIXED TERM CONTRACTS WHERE THE CONTINUOUS
EMPLOYMENT IS MORE THAN 6 MONTHS**

To meet statutory requirements under the Employment Act 2002 (Dispute Resolution) Regulations 2004 it is important that Heads of School/Service take **immediate action** in managing fixed-term contracts in line with the procedures outlined below.



CAREER PATHWAYS FOR RESEARCHERS

- **Academic Teaching and Research or Teaching and Scholarship Career Pathway:** For those desiring *and* having the potential to achieve a full academic profile. One route to such a pathway in science and engineering (though not necessarily in other disciplines) might comprise a doctorate followed by up to 6 years' postdoctoral research experience. Obtaining a prestigious fellowship such as a Research Council Advanced or 'Roberts' Academic Fellowship is another route. In some disciplines this progression might incorporate planned career moves to other UK and/or overseas institutions. The entry level to the pathway will, however, vary from discipline to discipline.
- **Research Career Pathway:** Permanent research-only post for researchers who have a proven track record of generating research income to fund themselves and producing high quality research output. These posts would be equivalent in standing to posts on the Academic Teaching and Research or Teaching and Scholarship career pathways. The number of such posts will vary from one faculty to another depending on the mix of research activities;
- **Research Associate:** A new type of permanent post providing a long-term career option for a small number of researchers who have specialist expertise but choose not to become independent researchers. Such staff would become part of the core research infrastructure, supporting academic and research colleagues and willing to develop continuously to provide the most appropriate support over time;
- **'External':** Move to an external organisation/employer for the majority of researchers who will obtain other employment (this may be in public or private sectors or in a different type of post within the University).



* T&R: Teaching and Research; T&S: Teaching and Scholarship