FLINDERS UNIVERSITY

GUIDE TO FORM D

ACADEMIC STAFF PROBATION
(Continuing or Convertible)

CASE FOR CONFIRMATION OF EMPLOYMENT

Revised January 2018

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1: OVERVIEW

1.1 **[Introduction]** Probation offers a period of mutual testing for the employer and employee during which decisions about ongoing employment can be made. These guidelines apply to academic staff serving a period of probation in continuing or convertible (including Scholarly Fellow) appointments.

1.2 **[Guide to Form D]** This Guide has been developed to assist both the academic staff member approaching the end of probation, and their designated supervisor with the steps to be taken for the preparation of a case for confirmation of employment.

1.3 **[Designated Supervisor]** All staff members are advised in writing of the name and position of their designated supervisor, normally the Dean (People & Resources) of the College in which they are employed. Different supervisory arrangements will apply to staff located in Portfolios. The designated supervisor must complete the relevant sections in Part II of Form D unless an alternative arrangement has been approved by the Deputy Vice-Chancellor (Students) in advance of the form being completed.

1.4 **[Authorising Officer]** In most cases the Authorising Officer (the term used in Probation for Academic Staff provisions) is the Vice-President and Executive Dean of the relevant College. An appropriate Authorising Officer will be advised for other academic staff members not located in a College.

1.5 **[Criteria for Confirmation of Employment]** In accordance with Enterprise Agreement (EA) provisions, confirmation of employment at the end of the probationary period is subject to the Authorising Officer being satisfied, as of the time of consideration of the matter, that the staff member:

- ◊ has met the qualification base of, and has demonstrated satisfactory performance relative to the Academic Profile for the staff member's level of appointment, taking into account what may be expected, given their years of service; and
- ◊ has completed relevant orientation and induction training within the probationary period, unless formally exempted by the relevant officer (either the Director, Centre for Innovation in Learning and Teaching (CILT), or the Dean of Graduate Research, as appropriate).

Poor performance in teaching or research may also provide grounds for not confirming employment, notwithstanding satisfactory performance in other areas.

1.5.1 **[Academic Profiles and Position Descriptions]** form the basis for evaluation of an academic staff member's case for confirmation of employment. Academic Profiles and Position Descriptions collectively provide expectations about minimum qualification requirements as well as indicating the nature and range of activities in which a staff member could be expected to be involved, and for which evidence may be provided, in each of the three areas of academic endeavour. There is no significance in the order of the dot points under each area of activity in the Profiles. Position Descriptions are particularly relevant for staff appointed to specialised academic roles (such as Research-only and Teaching Specialists), and **must be authorised by People and Culture**.

1.5.2 **[Mandatory Orientation/Induction Training Programs]** In accordance with the University's EA provisions for Staff Development and Training, academic staff are required, unless specifically exempted from doing so by the relevant officer, to satisfactorily complete:

- ◊ the Flinders Foundation of University Teaching (FFOUT) Program;

and where their position requires it, to participate in specific orientation and induction training with respect to:

- ◊ supervision of research higher degree (RHD) students for all staff new to the supervision of RHD students; and/or
- ◊ work-integrated learning for all staff involved in supervising, leading and managing work-integrated learning including placements and non-placement activities (WIL program); and
- ◊ any other professional development or training requirement specified in their employment contract.

Staff members and supervisors should note that **failure to either complete or be granted formal exemption from prescribed training by the relevant officer will be grounds for extension of the probationary period.**

1.6 **[Resource Materials]** Staff members and supervisors are advised to refer to the Probation for Academic Staff EA provisions, the relevant Academic Profile, the Position Description for the position occupied by the staff member (as authorised by People and Culture), the Academic Staff Performance Review policy and procedures, and the policy and guidelines available regarding evaluation of teaching. Relevant web addresses are as follows:

- Probation for Academic Staff - EA excerpt
  www.flinders.edu.au/hr-files/documents/Flinders_University_Enterprise_Agreement_2014_2017.pdf#page=48&zoom=auto,79,569

- Academic Profiles Policy
  www.flinders.edu.au/ppmanual/staff/classification/academic-profiles.cfm

- Academic Profiles (Levels A to E)
  www.flinders.edu.au/hr-files/documents/Academic_Profiles_Levels_A_to_E.pdf

- Staff Development and Training Policy and Procedures
  www.flinders.edu.au/ppmanual/staff/staff-development-training/staff-development-and-training.cfm

- Mandatory Induction Programs for Academic Staff: Guidelines for Academic Staff and Supervisors
  www.flinders.edu.au/hr-files/documents/AcademicInducPrograms_Guidelines.pdf

- Flexibility in Academic Work policy
  www.flinders.edu.au/ppmanual/staff/classification/flexibility-academic-work.cfm

- Academic Staff Performance Review policy
  www.flinders.edu.au/ppmanual/staff/performance-management/acad-staff-performance-review.cfm

- Teaching Quality Assurance Policy
  www.flinders.edu.au/content/dam/documents/staff/policies/academic-students/teaching-quality-assurance-policy.pdf

- Teaching Evaluation Procedures
  www.flinders.edu.au/content/dam/documents/staff/policies/academic-students/teaching-evaluation-procedures.pdf

- Student Evaluation of Teaching
  www.flinders.edu.au/planning/student-evaluation-of-teaching/student-evaluation-of-teaching.cfm

2: APPLICATION PROCESS

2.1 [Timelines]

2.1.1 [At least 6 months before a probationary end date], an alert will be triggered by People and Culture indicating that a probationary period is due to end, and that the process for preparation and consideration of a case for confirmation of employment should commence. This will take the form of an email to the staff member, designated supervisor and Authorising Officer.

2.1.2 [Three months before a probationary end date], the Authorising Officer should lodge the completed Form D with People and Culture to enable any review and/or processing to be undertaken. Any variation to this timeline should be discussed with People and Culture as this may affect confirmation of the staff member's employment.

2.1.3 [Local deadlines] The staff member and designated supervisor should discuss and agree on a timeline, in consultation with the Authorising Officer, to ensure that the completed Form D reaches People and Culture three months prior to the probation end date. Staff should ensure that this timetable makes allowance for consideration of Form D by all relevant officers.

2.2 [Completion of Form D]

2.2.1 [Format] The application form (Form D) is available as a pdf smart form which should be downloaded from the Staff Services Directory at: www.flinders.edu.au/hr/forms.cfm (search for 'Form D').

2.2.2 [Page Limits] The staff member's typed submissions* with respect to the areas of academic activity – Sections 11, 12, and 13, as required - should normally not exceed the following page limits:

Associate Lecturer (Level A) Lecturer (Level B)	*4 single-sided A4 pages**
Senior Lecturer (Level C)	*6 single-sided A4 pages**
Associate Professor (Level D)	*8 single-sided A4 pages**
Professor (Level E)	*10 single-sided A4 pages**

**not including attachments such as SET reports, report on Peer/Supervisor Evaluation of Teaching, Curriculum Vitae etc.*

2.2.3 [Procedure] The following procedure is reflected in the flowchart on the next page:

[The Academic staff member seeking confirmation of employment] should complete Part I of Form D and forward it, together with attachments, to their designated supervisor within the agreed time-frame to ensure that the supervisor has sufficient time to complete Part II.

[The Designated Supervisor] should complete Part II of Form D and return it to the staff member to allow sufficient time for completion of Part IV and forwarding to the Authorising Officer, with the exception of the following:

◊ **In areas where the designated supervisor is not the Dean (People & Resources)** – the designated supervisor should forward Form D to the Dean (People & Resources) of the relevant College for completion of Part III.

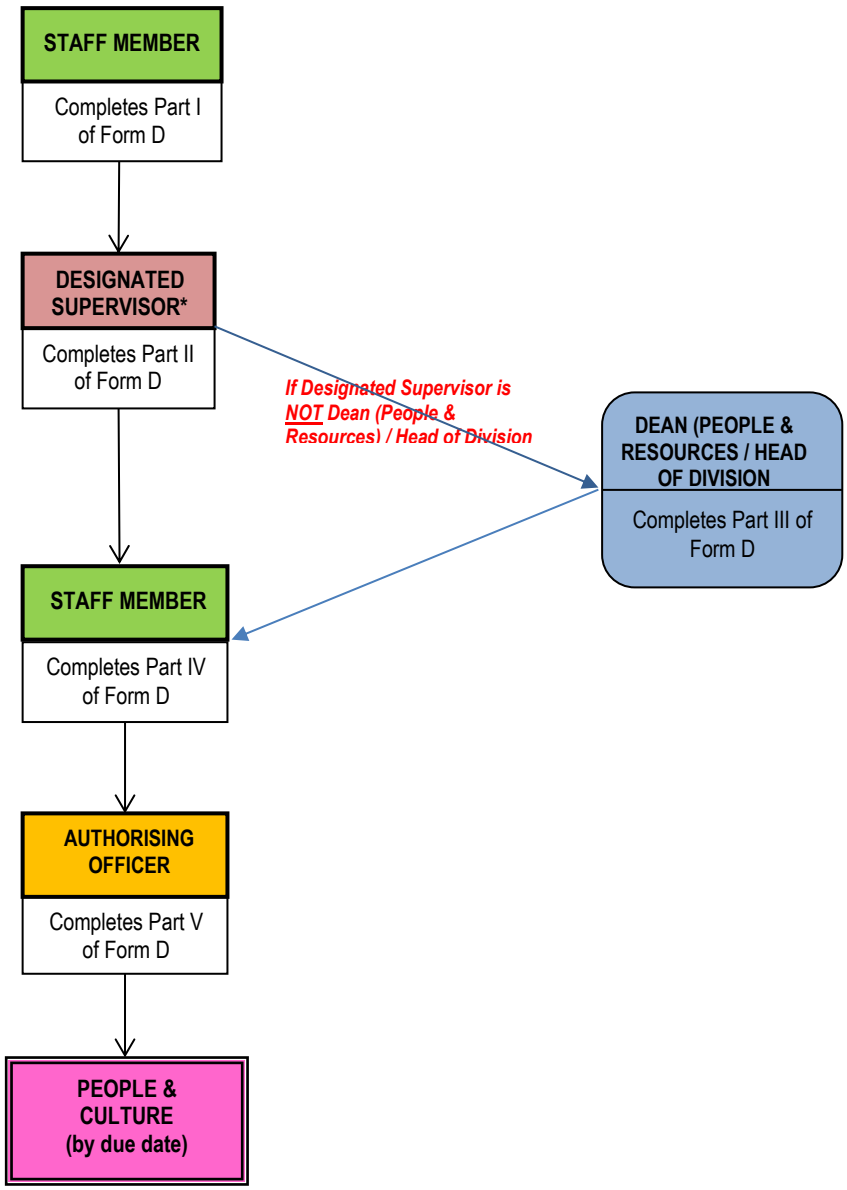
The Dean (People & Resources) should return Form D to the staff member to allow sufficient time for completion of Part IV and forwarding to the Authorising Officer.

[The Authorising Officer] should consider the information provided in Form D and complete Part V.

[The completed Form D] should be lodged with People and Culture in sufficient time prior to the end of the probationary period to enable any review and/or processing to occur (normally by no later than three months before the probationary period is due to end).

FLOWCHART FOR APPLICATION PROCESS

*Please note that the designated supervisor is normally the Dean (People & Resources) but different supervisory arrangements may apply in some areas e.g. central Portfolio areas.



3: EXPLANATORY NOTES

The following notes correspond with the Sections in Form D

This Form has been designed to be completed and forwarded through the various approval levels (as per the flowchart on the previous page) electronically, i.e. by email. Text boxes will automatically expand to accommodate the text entered. Provision has also been made for electronic signatures. Attachments should be converted to PDF format where possible and attached to a covering email.

PART I

TO BE COMPLETED BY STAFF MEMBER

[Section 10: Qualification Base/Other Requirements]

- **[Professional doctorates]** (such as EdD) will be regarded as equivalent to PhDs for the purposes of the Academic Profiles.
- **[Relevant/equivalent experience]** Where a staff member does not have the qualifications normally expected by the relevant Academic Profile, information should be provided on relevant experience or other equivalence.
- **[Research higher degree candidatures]** For a staff member enrolled in a research higher degree where the thesis supervisor is not the staff member's designated supervisor, the thesis supervisor should provide a brief report for the staff member to include with Form D.
- **[Other Specific Requirements]** Where requirements for completion have been specified in the staff member's employment contract (e.g. completion of a qualification, other professional development / training requirements), information about meeting such requirements should be included here.

[Sections 11, 12, and 13 - Position Descriptions]
A staff member whose position does not include responsibilities for any of the three areas of academic activity should comment on this under the relevant section and attach a copy of their Position Description (as authorised by People and Culture).

[Section 11: Performance in Teaching and Related Activities]
Staff members should present information and evidence that demonstrates their teaching performance during their probationary period, addressing the Teaching section of the relevant Academic Profile, the Position Description for the position, and any specific work objectives agreed with their designated supervisor.

[11.1: Teaching undertaken since commencement of probationary period]

[The Summary of Teaching and Related Duties template] should be completed for the years since commencement of the probationary period (Attachment 1 of Form D).

[11.2: Effectiveness of Teaching]

- **[Student Evaluation of Teaching]** In addition to addressing the relevant Academic Profile and the Position Description for their position, staff members should, in keeping with the University's Policy on Evaluation of Teaching, arrange for evaluation of their teaching. Student Evaluation of Teaching reports (SETs) covering the probationary period and for a number of topics should also be submitted with the application.
- **[Other forms of student evaluation]** SET reports are not the sole form of evidence that can be used to support claims made in applications. They may be supplemented by other forms of student evaluation of teaching, such as those used to evaluate problem-based learning and off-shore teaching or reviews of one-on-one teaching as used by Yunggorendi and Student Learning Centre staff. Student evaluation of topics and supervision may also be used. Ideally data from evaluation instruments should be discussed within the application.
- **[Peer and/or supervisor review]** At least one report of peer and/or supervisor feedback on aspects of teaching should be provided. Peer and/or supervisor review should comment on three inter-related aspects of designing and providing effective learning environments:
  - ◊ careful comprehensive planning;
  - ◊ effective program delivery and interaction with students; and
  - ◊ on-going evaluation, development and review.

Evaluation of these aspects of teaching requires more than a single visit to a classroom while a colleague teaches, and a peer and/or supervisor review will only be accepted where it clearly meets the above three criteria and it is obvious that the reviewer has attended the staff member's lectures. The *Teaching Review Guide* (www.flinders.edu.au/teaching/quality/evaluation/resources-links-and-references.cfm) addresses each of these aspects separately although it is recognised that they form part of an interactive process.

- **[Honours/Postgraduate supervision, where applicable]** In addition to addressing the relevant Academic Profile, and, where appropriate, Position Description, the staff member might respond to the following in the context of their teaching responsibilities:
  - ◊ What objectives have been set as a supervisor of honours/postgraduate work?
  - ◊ Are there any special circumstances affecting honours/postgraduate study in the discipline?
  - ◊ What steps have been undertaken by the staff member to ascertain the level of honours/postgraduate student satisfaction with the style or quality of their supervision?

- **[Reflection on teaching performance]** It is vital that staff members include in their report on teaching their analysis of both student evaluation and peer feedback, their reflection on teaching performance and any proposed changes to their teaching in response to the evaluations.

[11.3: Teaching philosophy]
Staff members must ensure that they include a summary of their teaching philosophy.

[11.4: Other contributions to teaching]
Staff members should provide any additional information they think would be relevant for the designated supervisor (and other relevant officer(s) if not the designated supervisor) and Authorising Officer to consider. This might include new methods of delivery, innovation in design, curriculum development, involvement in topic/course coordination, evidence of publication(s) relating to teaching innovation, success in obtaining teaching grants, other information about achievement of teaching-related objectives, etc.

[Section 12: Performance in Research and/or Creative Activity]
Staff members should present information and evidence demonstrating their performance in research and/or creative activity during their probationary period, addressing the Research and/or Creative Activity section of the relevant Academic Profile, the Position Description for their position, and any specific work objectives agreed with their designated supervisor.

[12.1: Research and/or creative activity undertaken since commencement of probationary period]

- **[Research and experimental development]** comprises creative work undertaken on a systematic basis in order to increase the stock of knowledge. The methods employed in carrying out research may vary, but would include formation and testing of hypotheses, investigation of phenomena, data analysis and development and testing of theories, devices and/or software. The nature of these activities will clearly vary according to the academic discipline and the relative emphasis given to particular types of activity will vary for an individual staff member according to their level of appointment and the expectations arising from their position and specific responsibilities.

- **[For education-focused staff members]** it is expected that their research-related activities will have a particular emphasis on the scholarship of teaching.

- **[Creative, literary or artistic work]** Evidence of creative literary or artistic work of merit comparable to evidence of achievements in research may be presented in addition to, or in place of, research.

- **[Non-traditional research]** Increasingly, 'non-traditional' research is seen in the University to be as important as, and is as valued as, traditional research. Non-traditional research-related activities may have more constraints on focus and on the way in which outcomes are disseminated as the activity is often more under the control of the funding organisation. Examples of non-traditional research-related activities include:
  - ◊ consultancies (although the "professional performance" category should be used where the work is performed within the limits of already existing knowledge or where consultancy reports are confidential and outcomes are therefore not able to be independently assessed); and
  - ◊ inventions/patents with detailed information on the kind of work involved in these activities.

- **[Details of grants]** Staff members should provide details of any grants for research or creative activity that they have obtained. They should provide the name of the granting organisation, the title of the project, amount of funds provided, and details of any other chief investigator(s) for that project.

- **[Unsuccessful grant applications]** Staff are also encouraged to provide information on unsuccessful applications for grants.

- **[Grants from non-traditional sources]** should also be listed. These are funds from other than the standard University research funding sources and agencies. In general, such funds will originate directly from the private sector.

- **[Evidence of contribution]** An indication of the objectives of the research/creative activity and the level of success in achieving those objectives should be included.

[12.2: Publications - commentary on progress in achieving research, productions of creative work, and other outcomes]
Staff members should provide a commentary on their progress in achieving outcomes from their research or creative activities (as detailed in their curriculum vitae - see below) during the probationary period.

- **[Details of publications]** since commencement of the staff member's probationary period should be identified in their curriculum vitae. Where applicable, staff members should nominate with an asterisk (*) their most significant publications and indicate how they demonstrate noteworthy achievement.

- **[Conventions to be observed with regard to publications]**
  - ◊ Only books, parts of books or manuscripts, articles and papers which have been formally accepted will be considered as publications; other writings will be treated as work in progress.
  - ◊ In the case of articles, the status of the publication outlet within the discipline should be indicated.
  - ◊ Where a work has been formally accepted but has yet to be published (e.g. "in press"), staff should include, with the application, a copy of the letter of acceptance or a copy of the front page of the accepted publication and information about the stage of publication.
  - ◊ Where publications are jointly authored, staff should provide information on how the order of authors is determined and indicate their role in the production of the publication. For example, information should be provided on the staff member's contributions to the conception and design, or analysis and interpretation of data; to the drafting of the manuscript or critical revision; and to the final version to be published. Staff should also indicate, if appropriate, the number of pages they have contributed to the jointly authored publication(s).
  - ◊ Where staff members have published their own work, information should be provided about the review process to which the work was subjected before publication, the number of copies printed, and any special circumstances surrounding the decision to publish in this way.
  - ◊ Where articles and papers are listed as published in un-refereed journals or as conference papers in proceedings, staff should indicate any review process to which they were subjected by editors, editorial boards, publishing collectives etc.

  Publications should be grouped into the categories below, and full bibliographic details, including page numbers in every case, should be provided:

  - ◊ books
  - ◊ edited books
  - ◊ chapters in books
  - ◊ articles published in refereed journals
  - ◊ articles published in un-refereed journals
  - ◊ conference papers published in Proceedings
  - ◊ commissioned papers and reports (please provide details of commissioning body, intended audience for report and estimated circulation)
  - ◊ creative works (e.g. literature, poetry, film, dramatic productions, computer software programs)
  - ◊ other published work peculiar to the discipline e.g. case histories in psychology, case notes in law, surveys designed for social science research programs, statistical work for the research of others

[12.3: Research Plans for the Future]
Staff members should comment on their plans to advance their work in research/creative activity including their goals for the next one to two years and their strategies for achieving those goals.

[12.4: Other Information about the Achievement of Research-Related Objectives]
Staff members may provide additional information which is relevant to demonstrating achievements in research/creative activity. This may include evidence of standing in areas of research and/or creative activity as indicated by their contribution to activities specified in the relevant Academic Profile (e.g. evidence of leadership in research activities sourcing novel research funds or initiation and leadership in joint publications, grant applications and patents).

[Section 13: University, Professional and Community Service]
Staff members should present information about University, Professional and Community Service undertaken during their probationary period, addressing the University, Professional and Community Service section of the relevant Academic Profile (including School-specific variations where applicable), the

Position Description for their position, and any specific work objectives agreed with their designated supervisor.

[13.1: University Service]

- **[Administrative Responsibilities]** Staff should list their administrative responsibilities and, in addition, should indicate how their role in administration has contributed to the College/Portfolio/University e.g. noting particular committee outcomes and achievements.

- **[Details of participation in College/Portfolio/University Committees]** Staff should list their membership of College/Portfolio/University committees and working parties. Where applicable, staff should indicate how their roles went beyond simple membership to contributions such as:

  ◊ executive responsibility as chair or convenor
  ◊ other administrative responsibilities
  ◊ policy development
  ◊ other outcomes

- **[Other Information]** Staff members should indicate any other areas in which they have contributed to the University, and specify actual achievements in those areas.

[13.2: Professional Service]

- **[Contribution to the profession]** Most academic staff are members of an association based on their subject. Some academic staff work in disciplines which educate and train people for particular professions and they may be eligible to participate in relevant professional associations.

- **[Consultancy and/or commissioned work]** Knowledge can be advanced through consultancy or commissioned work conducted for government or government authorities, industry or private enterprise, community organisations and groups, whether that work is paid or not. Where staff wish to present such work as evidence of contribution to the profession, they should:

  ◊ list any consultancy, tender or commissioned work, its nature and the body for which it was performed; and
  ◊ specify how this activity contributes to the profession.

  Where the work is not widely available for public scrutiny or is not available for peer review (e.g. because of commercial in-confidence reasons), statements from clients regarding their satisfaction with the advice or consultancy work should be provided.

[13.3: Community Service]
Most academic staff actively contribute to the community on the basis of their field of expertise. Such contribution may not constitute commissioned work or specific consultancies but rather take the form of continuing involvement or frequent service. Here staff members should give details of service that they have provided to the general community and which is related to their area of academic expertise. Staff members need to describe the ways in which this service relates to their University activities.

[Section 14: Mandatory Orientation/Induction Training Programs]
Staff must provide information here about completion of the orientation/induction training program(s) required to be undertaken while on probation (see 1.5.2 at the beginning of this Guide). Evidence of completion and/or formal exemption from the relevant program(s) as certified by the Director, Centre for Innovation in Learning and Teaching (FFOUT and WIL programs) or the Dean of Graduate Research (Postgraduate Research Supervision) **must be attached**.

Staff should note that failure to either complete or be granted formal exemption from prescribed training by the relevant officer will be grounds for extension of the probationary period.

[Section 15: Special Circumstances]
Staff may wish to include for special consideration any matters which may have affected their performance during the probationary period or the progress of their career e.g. significant career interruptions, family obligations, illness, etc. It is important to indicate how the circumstances cited are claimed to have restricted opportunity to perform against the Academic Profiles.

[Section 16: Attachments]
Staff should prepare the required documentation (preferably in PDF format), complete the Attachments checklist, and sign and date their Form D prior to forwarding to their designated supervisor by the agreed deadline for completion of Part II.

PART II
TO BE COMPLETED BY DESIGNATED SUPERVISOR

Part II of Form D is to be completed by the person to whom the staff member is responsible i.e. the designated supervisor, who is also normally the Dean (People & Resources) (refer 1.3 at the beginning of this Guide). Care should be taken to ensure timely completion of Part II and on-forwarding as appropriate, to enable the deadline to be met for lodgement of Form D with the Authorising Officer.

[Section 17: Qualification Base/Other Requirements]

- **[Qualification base]** The designated supervisor should indicate whether or not the staff member holds a PhD or EdD or equivalent qualification as specified in the relevant Academic Profile. Where the staff member does not hold the required qualification(s), the designated supervisor should comment on the staff member's relevant experience or other equivalence.

- **[Other requirements]** The designated supervisor should also confirm that any additional probationary requirements specified in the staff member's employment contract have been met.

[Section 18.1: Teaching and Related Activities]
The designated supervisor should consider the quality of the staff member's contribution as reported under Section 11. In making an assessment as to whether the staff member's performance in teaching satisfies the requirements for confirmation of employment, the supervisor should consider whether the staff member's contribution to teaching across the College, ability as a face-to-face teacher, preparation and organisation of teaching material, development of new topics and courses, pedagogical skills, initiatives in teaching methods, capacity to inspire students and availability to students, as appropriate, accord with the teaching section in the relevant Academic Profile and the Position Description for the position held by the staff member.

The designated supervisor should provide comments where they believe that the staff member's teaching performance does not satisfy the requirements for confirmation of employment.

[Section 18.2: Research and/or Creative Activity]
The designated supervisor should consider the quality of the staff member's contribution as reported under Section 12.

- **[Special features]** In completing this section, the designated supervisor may indicate any special features of the staff member's discipline and/or the kind of research and creative activity in which the staff member is engaged.

- **[Impact factor of publication outlets]** Where appropriate, the designated supervisor should comment, if possible, on the relative strength/reputation/standing of the *publication outlets* in which articles are published and/or research results are promulgated by the staff member, in order to indicate the impact of the research undertaken.

The designated supervisor should provide comments where they believe that the staff member's research performance does not satisfy the requirements for confirmation of employment.

[Section 18.3: University, Professional and Community Service]
The designated supervisor should consider the quality of the staff member's contribution to the University, their profession, and to the community as reported under Section 13.

The designated supervisor should provide comments where they believe that the staff member's performance in this area does not satisfy the requirements for confirmation of employment.

[Section 19: Mandatory Orientation/Induction Training Programs]
The designated supervisor should review and confirm whether the staff member has completed the required orientation/induction training program(s) while on probation. The designated supervisor should note that **failure to either complete or be granted formal exemption from prescribed training from the relevant officer will be grounds for extension of the probationary period.**

Where required training has not been completed, the designated supervisor should provide comments.

[Section 20: Support, Recommendation and Comments - Designated Supervisor]

- **[Recommendation]** When making a recommendation, the designated supervisor should first consider whether or not the criteria for confirmation of employment have been met. The Probation for Academic Staff provisions set out the formal requirements for confirmation of appointment (see also 1.5 above), including completion of relevant mandatory orientation/induction training.

- **[Comments]** supporting the designated supervisor's recommendation should address the evidence presented by a staff member with reference to the relevant Academic Profile, the Position Description, any work objectives agreed for the probationary period and any other relevant information such as additional contextual information about the area in which the staff member is employed. For **staff in education-focused roles,** reference should also be made to Schedule A - Supplementary Guidelines for Education-Focused Roles, in the Flexibility in Academic Work policy.

[20.1: Supervisor Support/Special Circumstances]

- **[Supervisor support]** The designated supervisor should briefly comment on the provision of appropriate feedback, support and training opportunities provided to the staff member during the probationary period, in accordance with supervisor responsibilities outlined in Probation for Academic Staff provisions.
- **[Special circumstances]** Where a staff member has cited special circumstances, the designated supervisor should comment on these.

[20.2: Requirements for confirmation satisfied]
Where the designated supervisor is satisfied that the requirements for confirmation have been met (including satisfactory completion of mandatory orientation/induction training), Section 20.2 only should be completed.

[20.3: Requirements for confirmation not satisfied – extension of probationary period]
If the designated supervisor forms the view that the requirements for confirmation have not been satisfied (including failure to fulfil mandatory orientation/induction training requirements), they may then consider whether they are capable of being satisfied within a further period of probation. An extension of probation of up to 12 months (but in any case not beyond the expiry date of a convertible post) may be given (see Probation for Academic Staff provisions for further information).

If an **extension** is to be recommended, the designated supervisor should complete Section 20.3 only and detail specific objectives to be achieved during the extended probationary period (attach to completed Form D if necessary).

Note: Towards the end of an extended period of probation, a staff member should again seek confirmation of employment and would in most circumstances be expected to submit a fresh and complete case in the Form D format. This case should also address the specific objectives to be met during the extension.

[20.4: Requirements for confirmation not satisfied – non-confirmation of employment]
If the designated supervisor forms the view that the requirements for confirmation have not been satisfied, Section 20.4 only should be completed.

[Action] Following completion of Part II, the designated supervisor should sign and date the form and return it to the staff member to formally note the designated supervisor's report and, if appropriate, respond in writing to any concerns raised about performance and/or conduct by completing Part IV, and forwarding to the Authorising Officer – in most cases the College Vice-President & Executive Dean. **Where the designated supervisor is not the Dean (People & Resources)**, the form (and attachments) should be forwarded to the Dean (People & Resources) or Head of Division / area.

PART III

AREAS WHERE THE DESIGNATED SUPERVISOR IS NOT THE DEAN (PEOPLE & RESOURCES) / HEAD OF DIVISION

[Section 21: Staff in areas where the designated supervisor is not the Dean (People & Resources) / Head of Division/area - Recommendation and Comments]
The Dean (People & Resources) / Head of Division/area should complete Section 21, indicating whether they support the designated supervisor's recommendation (Section 20) and making any comments if appropriate. The Dean (People & Resources) / Head of Division/area should sign and date the form and return it to the staff member.

PART IV
TO BE COMPLETED BY STAFF MEMBER

[Section 22: Final comments - Staff Member]
After Parts II and III (where relevant) have been completed, the staff member should sign and date their Form D at Section 22. Section 22 provides for the staff member to formally note the recommendation and comments of the designated supervisor (and other officers if relevant).

In normal circumstances, the staff member would not need to make any further comment, as signing at Section 22 signifies that they have noted the recommendation and comments of the relevant officer(s). Where a staff member wishes to make comments, or respond to any concerns raised about performance and/or conduct, these should not exceed one page and should not contain any new information.

The staff member should forward the completed Form D and attachments to their Authorising Officer.

PART V
TO BE COMPLETED BY AUTHORISING OFFICER

[Section 23: Determination and Comments - Authorising Officer]
The Authorising Officer (normally the Vice-President & Executive Dean) must form a view as to whether the requirements for confirmation have been satisfied as per Probation for Academic Staff provisions. In particular they should be satisfied that the staff member has:

- ◊ met the qualification base of, and has demonstrated satisfactory performance relative to the Academic Profile for the staff member's level of appointment, taking into account what may be expected, given their years of service; and
- ◊ completed relevant orientation and induction training within the probationary period, unless agreed otherwise.

The Authorising Officer should also note that poor performance in teaching or research may provide grounds for not confirming employment, notwithstanding satisfactory performance in other areas.

Before determining that an appointment not be confirmed, the Authorising Officer must also be satisfied that the staff member has been afforded a reasonable opportunity in Section 22 to respond to concerns about their performance and/or conduct (if any).

[23.1: Requirements for confirmation satisfied]
If the Authorising Officer is satisfied that the requirements for confirmation have been met (including satisfactory completion of mandatory orientation/induction training requirements), 23.1 only should be completed.

[23.2: Requirements for confirmation not satisfied – extension of probationary period]
If the Authorising Officer forms the view that the requirements for confirmation have not been satisfied (including failure to fulfil mandatory orientation/induction training requirements), they may then consider whether these requirements are capable of being satisfied within a further period of probation. An extension of probation of up to 12 months (but in any case not beyond the expiry date of the post if it is convertible) may be given (see Probation for Academic Staff provisions for more detail).

If the Authorising Officer has determined that the period of probation is to be extended, they should complete 23.2 only. A statement commenting on the specific objectives to be achieved during the extended period (as determined by the designated supervisor – refer 20.3) should be provided in this Section.

[23.3: Employment not confirmed]
Where the Authorising Officer has formed the view, after due consideration of the case and any subsequent comments provided by the staff member in Part IV, that the requirements for confirmation have **not** been met, and are not capable of being met within an extended probationary period, then they should complete Section 23.3 only.

Additional comments supporting this determination should be provided here.

[Lodgement with People and Culture]
The Authorising Officer should ensure that the completed Form D (and associated documentation) is signed, dated and lodged (preferably by email) with employment@flinders.edu.au, or forwarded in hard copy to People & Culture Client Services in sufficient time prior to the end of the probationary period to enable any review and/or processing to be undertaken. **This would normally be by no later than three months before the probationary period is due to end.**

[Notification of Outcome]
People & Culture will formally advise the staff member of the outcome. Where the staff member's employment has not been confirmed, this may include advice about an extension of the probationary period or about the right to seek a review of a decision.

- **[Extension]** The objectives to be achieved during the extended period (see note for 20.3) would normally be included in the notification, together with advice as to the process to be followed for seeking confirmation of employment once probationary requirements have been met.

- **[Right of Review]** The right to seek a review, as per Probation for Academic Staff provisions, does not apply to a decision to extend probation.