

# CONTRACT MANAGEMENT/ TRANSFER BETWEEN ACADEMIC CONTRACTS: Policy and procedure



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## **1. Introduction**

- 1.1 There will be occasions when it is in both the interests of the University and individual members of staff for an employee to move from one type of academic contract to another.
- 1.2 This policy and procedure sets out the circumstances in which such a move might take place, the relevant responsibilities and processes.

## **2. Aims and objectives**

- 2.1 The aims of this policy are to ensure that:
  - the equal value that the University places on both Education, Scholarship & Professional Practice (ES&P) and Education & Research (E&R) staff is reinforced by the manner in which any transfer between the two types of contracts are handled;
  - individuals who wish to transfer between one academic contract and another are treated consistently;
  - the process for making a move between contract types is transparent;
  - there is transparency relating to the circumstances in which individuals wishing to transfer from one contract to another can expect developmental support;
  - any moves between these different contract types is accomplished without compromise to the University's need to recruit high quality academic staff across both contractual types.

## **3. Scope**

- 3.1 This policy applies to all staff on either an ES&P or an E&R UK contract of employment, and who is not on probation, subject to disciplinary procedures, or working their notice period having resigned from the University's employment.

## **4. Responsibilities**

- 4.1 Human Resources & Organisational Development, is responsible for:
  - 4.1.1 advising individuals considering transfer, Heads of School and Deans as to the application of this policy so as to ensure transparency of application of the process (via Assistant Director - Business Partnering);
  - 4.1.2 holding the log of discipline-specific recruitment benchmarks and exercising version control; it is the version held in HR that will be preferred in the event that there different versions of this document are held in schools and HR (via Assistant Director - Resourcing).
- 4.2 Heads of School/Centres are responsible for:
  - 4.2.1 maintaining any disciplinary-specific guidance relating to education, research and scholarship for each discipline within their school/centre and (where applicable) relating to each career stage. Schools may choose not to develop disciplinary-specific guidance if it is deemed unnecessary. Where it is developed, Heads will be responsible for providing these to HR. Any such disciplinary-specific guidance will supplement the Academic Career Map and reflect the standards that they reasonably aspire to meet through external appointments;

4.2.2 in all cases, determining:

- whether individuals have clear potential for a change of contract type and should be supported to attain the appropriate portfolio/credentials;
- what resources can be assigned to assist that individual;
- whether the school has a viable and demonstrable operational need to change its workforce profile (ie by replacing a ES&P member of staff with E&R or vice versa);
- whether a change of contract type should be recommended to the relevant Faculty Dean;

and reaching a decision accordingly.

4.3 Staff are responsible for:

4.3.1 raising their wish to be considered for transfer to a different academic contract with their appraiser through the RPD process, and for recording this in their RPD paperwork.

4.4 Individuals nominated by their Heads of School (HoS nominee) are responsible for:

4.4.1 reviewing and discussing such requests with their appraisees.

## 5. Guiding principles

5.1 Transfers between academic contract types will be made by exception.

5.2 ES&P and E&R contracts represent two different career choices and career pathways, each with an underpinning requirement of excellence in practice. Neither type of contract should be viewed as a “stepping stone” to the other. This said, it is recognised that individuals can change career direction and seek new opportunities and, where this is in the interests of the University, then such moves can be facilitated.

5.3 Normally the University will have no obligation to assist the career development of those who wish to transfer between one type of academic contract and another. The responsibility for developing an appropriate portfolio of either research or demonstrable excellence in education and scholarship rests with the individual.

5.4 In order for a transfer to take place between one type of academic contract and another, the individual concerned must demonstrably meet the requirements of the new contract type and be of a calibre that the relevant school/centre would reasonably expect to secure thorough a competitive recruitment exercise.

5.5 A school/centre must have a requirement to enhance either its ES&P or E&R (as appropriate) capacity; alternative roles will not be created unless there is a clear academic operational need (eg to enhance research or teaching performance and/or capacity).

5.6 Unless the transfer is recommended by the University's Academic Probation or Promotions Committee and on detailed review of activity and credentials, individuals wishing to transfer between one type of academic contract and another will be subject to the process and procedure set out in this policy.

## 6. Procedure

### 6.1 Open advertising & competitive appointments

6.1.1 On occasion the University will advertise E&R or ES&P positions. Where existing staff meet the criteria for such roles they will be assessed for

shortlisting alongside other candidates with the strongest candidates (by reference of fit with the Person Specification) shortlisted for the final selection phase. Where individuals consider that they meet the Person Specification they may apply and be considered as a part of the normal selection process.

## 6.2 Consideration of individual applications

6.2.1 Heads of School will determine who is best placed within schools to advise on potential transfers in the first instance. This may be the Head of School themselves or a nominated senior academic or appraiser. Individuals wishing to be considered for transfer between contracts should first approach their Head of School who will direct them to the correct person for a fuller discussion (referred to as HoS nominee).

6.2.2 Individuals who consider that they meet the requirements to transfer to an alternative type of contract should write to the HoS nominee in the first instance, setting out their achievements within those themes of the Academic Career Map that they believe support their case for a contract change; making reference to any discipline specific benchmarks as set out in guidance published by the School.

6.2.3 In raising this issue the member of staff should indicate:

- where they believe opportunities may exist to expand on experience and/or research activity that would also be in the interests of the School; and
- any support they are seeking from the University/School in order to meet the requirements of the Kent Academic Career Map at the appropriate level.

6.2.4 The HoS nominee will discuss the strength of that application with the member of staff and determine whether they are able to support that application based on the academic credentials supplied (and the degree to which these align with the Academic Career Map). On discussion both parties may at that point agree that further developmental activity is desirable before progressing to a formal application to the Head of School.

- Where an individual is already demonstrating competence or clear potential against the relevant areas of the Academic Career Map (and it will be for the individual to adduce relevant evidence in this respect), the HoS nominee will then advise on what opportunities may exist within the individual's current role for establishing a relevant portfolio of work/evidence<sup>1</sup>, or otherwise indicate that this cannot be facilitated.
- In this latter case the HoS nominee may still suggest to the individual how they might independently pursue their career interests in order to build a portfolio of relevant work/evidence of excellence.
- In order to guide the employee appropriately and give relevant advice, the HoS nominee will undertake any necessary enquiries and, where additional WAM time is the only route by which relevant experience and credentials can be developed (and the individual otherwise shows potential and has a good record of citizenship), they will raise this with the Head of School. In reviewing such requests the Head of School will give priority to the operational viability and financial sustainability of the School alongside the requirements of the School Plan.

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<sup>1</sup> A relevant portfolio/credentials will relate to those activities which would support the business model of the school and its academic activities and focus.

- 6.2.5 If the individual wishes to proceed with their application then this should be forwarded to the Head of School alongside the assessment of the HoS nominee.
- 6.2.6 The Head of School/Centre will:
- Assess academic credentials by reference to the discipline specific benchmarks;
  - Consult the Dean with a view to reaching mutual agreement on whether a preliminary view can be taken that the discipline specific standards have been met. Heads of Schools and Deans will determine whether, on the basis of written evidence submitted by individuals and supported by a statement from the relevant HoS nominee there is prima facie evidence that an individual has the necessary academic portfolio/credentials (by reference to the Academic Career Map and any supplementary discipline specific benchmarks) to be considered via a formal selection process.
  - Where the assessment is positive, determine, again in consultation with the Dean, whether or not there is an operational requirement to increase capacity for teaching or research excellence;
  - Where both assessments are positive the formal selection process outlined below will take place.
- 6.2.7 Where there is a positive assessment of academic credentials but no operational requirement to increase capacity then the individual concerned will be advised by the Head of School and given feedback relating to the assessment of their credentials.
- 6.2.8 Where the assessment of academic credentials is not positive then the individual concerned will be advised by the Head of School and given feedback relating to the assessment of their credentials and where there were felt to be gaps or weaknesses. Where clear potential has been demonstrated and where appropriate in the context of the requirements of the school plan, a development plan may be discussed and agreed to enable future consideration of transfer. Where a development plan is put in place, follow up meetings will take place over a timescale to be agreed between the individual and the person nominated by the Head of School to discuss progress and what further support may be needed.
- 6.2.9 **Formal selection process:**
- 6.2.9.1 Where the Head of School/Centre and the Dean agree that a formal selection process can take place this will normally be arranged within 28 days of that positive assessment and the individual advised at least 10 calendar days in advance of the process.
- 6.2.9.2 For a move to ES&P the process will comprise:
- Personal statement from the applicant by reference to the Academic Career Map<sup>2</sup>
  - Panel Interview
  - Observed teaching by the Director of Education and one panel member;
  - Submission of plan of scholarly activity for the next three years.

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<sup>2</sup> Available on the HR website

6.2.9.3 For a move to E&R the process will comprise:

- Personal statement from the applicant by reference to the Academic Career Map
- Panel Interview
- Three references (or two references in the case of a transfer at Senior Lecturer level) from appropriately qualified experts in the relevant field<sup>3</sup>
- Submission of research plan for the next five years.

6.2.10 12 months after a transfer from one form of academic contract to another, a follow-up review should be undertaken. This allows the opportunity for both the member of staff and Head of School to discuss how the individual is performing following the change.

### 6.3 Appeals

6.3.1 There is no right of appeal at any stage of the process and the decisions of the Head of School/Centre and Dean are final.

## 7. Review

7.1 As and when required, this policy will be reviewed in accordance with UK employment legislation.

7.2 As and when a full review is undertaken, trade union and representative partners will be consulted in line with the Terms of Reference for Staff Policy Committee (SPC), Joint Staff Negotiating and Consultation Committee (JSNCC) and any other bodies, as required.

## 8. Associated practices

8.1 This policy complies with relevant UK employment legislation.

8.2 In addition, other relevant University of Kent People Practices include:

- Academic Career Map
- Equality, Diversity & Inclusivity

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<sup>3</sup> To be identified by the University