**Guidance for Managers: Academic Appointments**

**Purpose of this Guidance**

To outline the standards recruiting managers must adhere to when appointing academic staff, including the process to be followed if an exceptional circumstance should arise. It should be read in conjunction with the existing recruitment and selection academic appointment documentation.

**Panel Members**

In all respects for staff recruitment, the chair and panel members are accountable for these decisions and for ensuring that our academic standards are fully adhered to and only candidates who fully satisfy the academic criteria are appointed. The University has set the [academic panel constitution](http://staff.napier.ac.uk/services/hr/recruitmentandselection/Pages/RecruitmentSelection.aspx) as mandatory and the panel constitution must not be varied.

1. **New Academic Appointments**

All academic appointments must be made in accordance with [the academic framework](http://staff.napier.ac.uk/services/hr/workingattheUniversity/career-development/Documents/Academic%20Career%20Development%20framework.pdf) (academic appointment and progression criteria). When advertising for a new academic post, the post must be openly advertised to attract the best candidate.

For all grades, candidates must meet all of the essential criteria. For example [Lecturer (grade 6)](http://staff.napier.ac.uk/services/hr/recruitmentandselection/Pages/The%20Recruitment%20Process.aspx) candidates appointed must hold a doctorate qualification and meet the new academic framework. Whilst it is permissible to shortlist a candidate who expects to be awarded their PhD prior to starting in post, should this position change the Manager must contact the HR Services team to discuss a change in their circumstances and the possible options available. Further, their completion of the PhD will be made a condition of employment. [Associate Professor (grade 7)](http://staff.napier.ac.uk/services/hr/recruitmentandselection/Pages/The%20Recruitment%20Process.aspx) and [Professor Level 1-3 (grade 8 to 10) candidates](http://staff.napier.ac.uk/services/hr/recruitmentandselection/Pages/The%20Recruitment%20Process.aspx) must also meet the essential criteria at the relevant level for the created vacancy.

1. **Existing Academic Staff**

The academic framework applies to all academic recruitment and appointments from 1 January 2015. If a contract of employment is to be renewed or extended, the academic framework must also be considered.

**2.1 Fixed Term Contracts** (All Grades)

Academics on fixed term contracts appointed prior to 1 January 2015 were engaged subject to the old academic criteria.

During the transitional period from pre-2015 fixed-term contracts, the University accepts that it has a contractual obligation to honour all of its existing fixed-term appointments issued subject to the old academic criteria and where appropriate, will not renew the fixed term contract at the end date. Extensions will not routinely be issued and all requests will be subject to an assessment and where an employee does not meet the new academic framework and there is no objective justification for an extension, the fixed term contract will end.

Extending a fixed-term academic contract

All requests for an extension (*i.e*. *requests for issue of a subsequent/extension to contract)* in advance of the end date must be discussed with the HR Services team. In consultation with the manager, the HR Adviser will assess each request on a case by case basis in accordance with legislative requirements.

Note: The assessment will establish if the request satisfies the legal definition of a fixed term contract and if there is objective justification for the continuation.

If there is an ongoing need for the completion of the same project/task is continuing, an extension is likely to be approved. In this instance, the legal position will inform the decisions made regarding extensions and non-renewal of fixed term contracts, regardless of whether or not the fixed term employee can meet the new academic framework i.e. holds a PhD/Professional Doctorate. Refer to Appendix 1 – extending a fixed-term contract.

**2.2 Grade 5 – Lecturers** (Note: Only applies to existing fixed term and permanent appointments made prior to 1 January 2015 and no new Grade 5 academic appointments should be made.)

Grade 5 Lecturer appointments remain subject to their existing contract of employment terms and conditions and the Academic Induction procedure. This means that to be considered for progression from Grade 5 to Grade 6 the following must be fully demonstrated:

* sustained satisfactory performance and PDR objectives fully met
* satisfactory completion of their academic induction period
* their ability and capability as an academic to operate on a sustained basis at the required standard for the new academic criteria

Therefore, if the Grade 5 lecturer satisfies the employment terms for transfer to Grade 6, regardless of whether or not they hold of a PhD or Doctorate qualification, the University is contractually obligated to the existing contractual terms.

1. **Exceptions to appointing**

Limited exceptions to the recruitment, short-listing and appointment against the academic framework may be permitted when all reasonable action has been exhausted. The Dean of School must submit all exception requests to the Vice-Principal and include a written business case. Refer to *Appendix 2 – Submitting an Exception request.*

**Questions** For further details about any matter covered by this guidance note, please contact the [HR Services team](http://staff.napier.ac.uk/services/hr/Pages/The%20HR%20Team.aspx) in the first instance.

**Version and revision information**

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| Document Control Information |
| Title |  Guidance for Managers - Academic Appointment  |
| Version | V2.0 |
| Author | Human Resources and Development |
| Date First Approved |  12 November 2015 |
| Last Review Date  |  12 November 2017 |
| Review Frequency | Two years |
| Scope | All Academic employees |

**Change record**

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| Date | Author | Version | Change reference |
| November 2015 | HR & D | 1.0 | Initial draft for review/discussion. Approved by Career Development Project Board |
| Jan – Mar 2016 | HR & D | 2.0 | Pilot & minor changes made.  |
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**Appendix 1: Extending a fixed-term contract**



**Appendix 2: Applying for exception on appointment**



**Exceptions Form**

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| **Stage 1 - Request for exception approval**  |
| **Submitted by** | *Insert name of Dean submitting request* |
| **Name of School** | *Insert name of School*  |
| **Type of Exception Sought**(Tick as appropriate) | [ ]  To the academic criteria to recruit Lecturer, to waive the qualification requirement for PhD for Lecturer, Grade 6  |
| [ ]  To the recruitment & selection procedure to recruit a Lecturer, Grade 5 (FTC only) |
| **Reason for request**  |
| You must indicate the reason for your exception request and provide detailed justification in the box below to support your request. [ ]  **Normal recruitment options have been exhausted. Unable to recruit to Grade 6 as per the academic framework**. *(Qualification criteria not met)**Request an exception to the academic criteria to recruit Lecturer (Grade 6) with extensive current industry/professional practice experience as essential & the requirement for a PhD qualification criteria to be waived & noted as desirable only.* [ ]  **Existence of current industry/professional practice essential requirement for delivery of a specialist programme/student cohort** **or urgent course/programme short term business need.** *Request an exception to the recruitment & selection procedure to recruit Lecturer (Grade 5) (fixed term appointment) with specific industry/professional practice experience as essential, pending further future recruitment/school actions to appoint /secure a Grade 6 Lecturer.*  |
| **Details of Business Case in support of exceptional request (must address details outlined below)** |
| *The business case must address the details below:** *Justification as to why the academic criteria (qualification criteria) should exceptionally be waived or an exception to the University's normal employee recruitment and selection procedures should be approved.*
* *If seeking an exception to appoint a Lecturer (Grade 6) with current industry experience or specialist subject knowledge without Ph.D.; justification must be provided as to why the Ph.D. qualification criteria should be waived and outline how the specialist subject knowledge and experience sought is commensurate and equally beneficial to the University as the PhD qualification criteria requirement in this role.*
* *Details on all recruitment considerations/activities undertaken to date prior to request being made.*
* *Outline any financial/school program delivery/service implications or risks as a result of the exception not being approved.*
* *The management action to be taken and strategic approach/future plans to be implemented to avoid/reduce a further occurrence of an exception request.*
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| **Approval required by the exceptions panel****Vice Principal, Assistant Principal OC & PD, and HR & D Director**  |

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| **The exception sought is APPROVED/REJECTED delete as appropriate**Enter any conditions attached to exception and timescales.  |
| **Authorised by:** |  | **Date:** |
| **Position:** |  |
| Once approved a copy of signed form should be submitted to HR Services with the appropriate recruitment paperwork |

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| **Stage 2 - Exceptions panel review shortlist****To be completed and submitted for approval by the exceptions panel. Stage 2 approval must be given prior to proceeding to next stage i.e. invite to interview** |
| **Type of exception approved** | [ ]  To appoint a Lecturer, Grade 6 without PhD.  |
| [ ]  To appoint a Lecturer, Grade 5 (FTC) |
| **Documents attached**  | [ ]  Exceptions Form – Stage 1 approval[ ]  Completed Shortlist Matrix |
| **Shortlist matrix to be reviewed and approved by exceptions panel Vice Principal, Assistant Principal OC & PD, and HR & D Director** |
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| **The shortlist matrix was reviewed on** [enter date] **and APPROVED/REJECTED**  |
| **Authorised by:** |  | **Date:** |
| **Position:** |  |

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| **Stage 3 - Exceptions panel review/approve preferred candidate****To be completed and submitted for approval prior to proceeding to offer of appointment** |
| **Type of exception approved** | [ ]  To appoint a Lecturer, Grade 6 without PhD.  |
| [ ]  To appoint a Lecturer, Grade 5 (FTC) |
| **Document attached for final exceptions panel assessment** | [ ]  Chairperson scoring sheet  |
| **Chairperson scoring sheet assessed by exceptions panelVice Principal, Assistant Principal OC & PD, and HR & D Director** |

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| **The chairperson scoring sheet reviewed on** [enter date] and **APPROVED/REJECTED** Note: No offer of appointment must be made until the Exceptions Panel have assessed the chairperson scoring sheet and approved the preferred candidate appointment. |
| **Authorised by:** |  | **Date:** |
| **Position:** |  |