

University of St Andrews - School of Medicine Handbook  
**LINE MANAGEMENT, SUPERVISION AND SPONSORSHIP**

**DRAFT**

In this context Line Management, Supervision and Sponsorship have different and clearly defined meanings. This policy defines these terms.

1. There are a number of staff who 'work'<sup>1</sup> for the school without being employees of the University. The University HR system recognises employees, who are allocated an FTE, and Honorary staff, who do not have an FTE attributed to them. This creates a range of challenges:
  - a. Staff who are not employees don't feature on the HR database and therefore can't be allocated a line manager or be allocated as a line manager. These people can't sign off expenses or leave approvals.
  - b. Honorary staff or NHS staff who do work here are not captured for FTE purposes and therefore do not show in HESA, SSR or Athena Swan calculations. Conversely staff who do clinical sessions are not properly reflected in SSR calculations.
  - c. Restricting the 'line manager' table to just employees leaves confusing gaps.
  - d. Individuals engaged on contracts or bank workers do not have an obvious 'owner / manager.'
2. To meet these challenges the School has adopted a 6-type matrix into which everyone fits. The terms 'supervisor' and 'sponsor' are used to define the managers who are responsible for others, even if they are not 'line managers' in true HR terms. The 6 types are:
  - a. **Type 1.** School staff member with **substantive University contract**. They are **line managed** by another Type 1 employee who holds a substantive university contract. The Line Manager conducts **appraisal**.
  - b. **Type 2.** Staff who deliver a service to the School but who have an **Honorary** engagement with the University and a substantive contract with another employer; normally the NHS. There will usually be an exchange of funds between the University and the employer. These individuals have a **supervisor** who is a Type 1 Employee. They are **appraised** or co-appraised by their **supervisor**. This group should have a 'contract letter' which covers expected outputs, standards and some administration such as expenses etc.
  - c. **Type 3.** Staff who deliver a service to the School but who have an **Honorary** engagement with the University and a substantive contract with another employer; either the NHS or another University. These individuals have a **supervisor** who is a Type 2 Employee. They are **appraised** or co-appraised by their **Supervisor**. The Supervisor is not able to approve expenses or leave claims, this function must be allocated to a third party. This group should have a 'principles and obligations' letter covering expected standards and some administration such as expenses etc.

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<sup>1</sup> In this context the term 'work' is used to define someone who delivers a service, commits time, delivers content, supervises tutees / project students or is involved with collaborations.

d. **Type 4.** An individual holding an **honorary** contract with the University, has **no other employment** and delivers service. The sponsor should judge the individual's suitability for renewal of Honorary Contract.

e. **Type 5.** An individual holding an **Honorary** Contract for the mutual benefit of them and the University. This type has a small or insignificant service obligation<sup>2</sup> and receives no financial reward. These individuals must have a **sponsor** but do **not need to be appraised**. The Sponsor is responsible for coordination of activity. The sponsor should judge the individual's suitability for renewal of Honorary Contract.

f. **Type 6. Flexible Workers** or **short-duration, fixed-term employees** who are not honorary but receive payment. These individuals require a **sponsor** who is responsible for their output and supervising them. **No appraisal**. The Sponsor is responsible for establishing, renewing or cancelling the Bank Worker contract.

3. **Line Manager.** While the Head of School is responsible for all staff in the school the nominated Line Managers should do the following:

Manage Performance (of staff members)	Set aims, objectives and priorities Assign high level tasks <sup>3</sup> Monitor performance Conduct regular, effective appraisals / give regular constructive feedback Consider training and development needs Manage induction and probation for new staff
Demonstrate Leadership	Promote organisational goals Provide technical and professional direction Facilitate two-way communication Provide conditions for staff to achieve their full potential
Manage Routine Attendance	Monitor and approve flexible working and working hours Monitor and approve leave Monitor absence / sickness absence. Manage return to work process.
Manage Conflict	Deal with complaints about/from members of staff Manage discipline/grievance procedures

4. Where individuals work in a defined team, not directly led by their line manager, then an informal 'co-line manager' may be appointed to assist in job planning, coordination of activity and appraisal.

5. **Supervisors.** A university-based supervisor will assist in planning, coordination of activity and appraisal/co-appraisal.

6. **Sponsors.** Sponsors are responsible for overseeing the activity and managing the life cycle of the contract.

7. **Mentor.** Mentoring describes a developmental relationship between colleagues, one of whom will normally be more experienced and be the mentor. See [mentoring handbook page](#)

8. **Appraisal.** The appraiser is responsible for leading the [appraisal process](#). In most cases the appraiser is the line manager however where the individual works in two distinct areas or to two

<sup>2</sup> Less than 2 days 'work' per annum; eg some interviewing, examining or a lecture.

<sup>3</sup> In many cases a team lead or course director will assign day-to-day tasks.

purposes an additional appraiser may be allocated. Most Admin and Technical Staff will have the Executive Administrator as either line manager or an appraiser in order to ensure coherence of work load/ performance in relation to the wider School support responsibilities. The second appraiser should contribute to the process and may be present if required by the line manager and / or the reviewee.

9. **Recruitment.** See Recruitment policy.

10. **Managing Data:**

a. **Type 1.** Extracted from HR system

b. **Types 2-5. Partly extracted from Honorary Employee list from HR system** and supervisory/sponsor information confirmed individually.

c. **Type 6. Extracted from HR system (Bank Workers) and/or lists held internally on in-house systems** (Sim patients)

11. **HR data systems.** The HR system only permits a single line manager, listed by name. The named Line Manager automatically receives prompts for leave and expense claims. NHS staff, who are not employees of the University, are not listed on the table but their appraisal arrangements are addressed in their job plan. This makes annotation of co-line managers challenging. The School publishes an extract of the HR line Manager table for staff to see and this will be updated when staff arrive, leave or if line managers change.

12. **Assigning Line Managers, Supervisors and Appraisers.** There is no one-size-fits-all solution to assigning line managers and appraisers. Staff members will be assigned a line manager by the Head of School. The normal conventions are:

Academic staff	Head of the relevant division
Admissions Team	Dir of Admissions
Assessment	Academic Lead for Assessment
Externally funded research staff	Their PI
LT staff	LT Lead
PG students	The supervisor fills the role of line manager
Professors and members of the Ops / Exec and Mgt Gp	Head of School

13. **Change of Line Manager.** Where it is in the interests of the school or the individual to change a line manager, if duties change substantially or if a change is forced by the departure of a line manager then this will be resolved by the Head of School, the individual and old / new line managers.

## 14. 6-types in tabular format:

Type	name	FTE	Employer	Honorary	LM	Supervisor	Sponsor	Appraiser	Co/appraiser	Work time / leave approval	expenses
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)		
1		%	UoStA		Name			Same as (f)	Name if required	Same as (f)	Same as (f)
2		%	<i>Eg, NHS Fife</i>	Yes		Name		Same as (g)	Name if required	Same as (g)	Same as (g)
3		%	<i>Eg, NHS Fife</i>	Yes		name		Same as (g)	Name if required	Agreed by (g), actioned by 3 <sup>rd</sup> party	3 <sup>rd</sup> party
4		%	None	yes		name					
5			<i>Eg, NHS Fife</i>	yes			name	Not required	Not required	Not required	
6			Bank worker				Name	Not required	Not required	Timesheets	

Notes on FTE. All Honorary staff should have an FTE recorded against them so that the sum total of column (c) amounts to the total staff FTE for Athena Swan and SSR type calculations For type 2 and type 4 an FTE may be established by an equation; (teaching hours x 4) / 170