

Authority: Approved by the President

## **Chapter 36 Performance Evaluation**

### **36.1 Policy**

The OIST Graduate University's Performance Evaluation (PE) program encourages ongoing communication between supervisors and staff in order to foster performance improvement and career development. Supervisors are required to hold performance evaluation discussions with all employees whom they directly supervise. The APE program is also used in determining salary merit increase.

Excluded from this chapter are the following:

- Faculty Members;
- Researchers;
- Part-time Employees.

#### **36.1.1 Review by the Salary Review Committee: SRC**

SRC will review the related guidelines, parameters and scope for the PE.

### **36.2 Rules**

#### **36.2.1 Evaluation Period and Schedules**

Performance evaluation is conducted annually to evaluate the employee's performance during the previous fiscal year and to set goals for the upcoming year. The supervisor may conduct a performance evaluation more frequently if it is deemed necessary.

Performance evaluation schedules are determined each fiscal year by the Vice President for Human Resource (VPHR) and announced to employees. Generally, supervisors are expected to complete their evaluation discussions by the middle of March, and the results are reflected in the salary merit increases in April of the following fiscal year.

#### **36.2.2 Goal Setting and Coaching**

At the beginning of evaluation period (normally April every year), employees are expected to work with their supervisors to develop a set of measurable and achievable goals that can be worked on during the performance period. Supervisors are expected to actively engage in providing feedback and coaching based on the employee's level of achievement toward each goal.

#### **36.2.3 Evaluation Elements**

Employee Evaluation is conducted by Performance Evaluation (Evaluation of the performance delivered by the employee against pre-set annual goals), and Value Competency relevant to the employee's job grade will also be taken into

consideration.

Employees are rated for each element and given an overall rating by their immediate supervisors on [the on-line system](#) based on the [Employee Evaluation Implementation Regulations](#) developed separately by the Vice President for Human Resource (VPHR).

#### **36.2.4 Confirmation and Adjustment**

Evaluation results are submitted to and confirmed (and adjusted if necessary) by the Supervisor's Supervisor (hereinafter as "Certifier") to ensure fair and consistent evaluations throughout the organization. The Certifier is usually the supervisor's supervisor, designated separately by Vice President for Human Resource (VPHR).

#### **36.2.5 Disclosure of Evaluation Results**

Confirmed evaluation results are disclosed to the evaluated employees. Employees have access to evaluation documents upon request and may make copies.

#### **36.2.6 Merit Increase**

Merit increase is a salary increase program designed for permanent increases to Annual Salaries adjusted by the result of annual review of the employee's performance. The performance of employees other than Faculty members and researchers is annually assessed and rated by the Performance Evaluation (PE) results.

A "Merit Increase Guideline" that specifies an increase percent for each performance rating, is proposed annually by the Vice President for and Human Resource (VPHR) and reviewed by the SRC.

The Guideline is set in view of trends in the cost of living, competitiveness of the job market, University budgets, and other relevant factors.

Eligibility. Employees are not eligible for salary increase if:

- Their salaries exceed their job level maximum salary;
- They have been continuously employed by the University for less than 3 months;
- They are on [Administrative Leave](#);
- They have been on leave without pay for a period longer than 9 months during the current fiscal year;
- They are not subject to the Performance Evaluation, as is the case typically for Postdoctoral Scholars; or
- The length of their employment contracts is 1 year or less.
- Faculty members and PE eligible employees whose age reaches beyond the following at the beginning of the new fiscal year (as of April 1)
  - Faculty Members: 70
  - Permanent Employee: 65
  - Fixed Term Employee: 65
  - Non-Fixed Term Employees (including Continuing Appointment Employees): 65

A Merit Increase does not guarantee an annual salary increase every year. The salary may fluctuate depending on the change in the rate ranges, the result of each employee's performance review, and other relevant factors.

### **36.2.7 Year-End Bonus**

Year-End Bonus may be given to a relatively small number of individuals who made a significant achievement or contribution to the University, based on their PE. A "Year-End Bonus Guideline," proposed by Vice President for Resource (VPHR) and approved by the SRC, will specify the percentage of the bonus relative to annual salary, criteria for the bonus, and other relevant matters. Employees who are not eligible for a Merit Increase are similarly not eligible for Year-End Bonus.

### **36.2.8 Complaints Procedures**

Employees may complain in confidence about the evaluation results through the Compliant Procedures developed by Vice President for Human Resource (VPHR). Every complaint is taken seriously by the Human Resource Division.

Any harassment and discriminatory treatment that is in response to the filing of a complaint is prohibited.

### **36.2.9 Retention of Evaluation Documents**

All evaluation documents are deemed confidential and are electronically sent to the and Human Resource Division to keep in confidential files for a minimum of 5 years, or longer if there is a good business reason.

### **36.2.10 Implementation**

The [Employee Evaluation Implementation Regulations](#) prepared by the Vice President for Human Resource (VPHR) provides details necessary to implement this policy, such as treatment of employees who are hired or transferred or who took a leave during the course of a fiscal year.

## **36.3 Responsibilities**

### **36.3.1 All employees to whom the PE program applies**

All employees to whom the PE program applies must develop a set of goals, in collaboration with their supervisors, at the beginning of each evaluation period in accordance with the [Employee Evaluation Implementation Regulations](#).

### **36.3.2 Supervisors**

Supervisors are responsible for evaluating their staff in accordance with the [Employee Evaluation Implementation Regulations](#). Supervisors are expected to engage in on-going communication with their staff and to provide feedback and coaching throughout the evaluation period.

### **36.3.3 Certifiers**

Certifiers are responsible for ensuring that evaluations are conducted fairly and in a consistent manner. Certifiers must make adjustments in evaluation results if

necessary for that purpose.

### **36.3.4 Vice President for Human Resource (VPHR)**

Vice President for Human Resource (VPHR) provides the [Employee Evaluation Implementation Regulations](#) to implement the PE program, and is responsible for the management of the program. VPHR also prepares the [Complaint Handling Guidelines](#).

### **36.3.5 Human Resource Division**

The Human Resource Division is responsible for implementing the Performance Evaluation program. The Human Resource Division must provide employees, supervisors, and Certifiers with necessary training and guidance for the Performance Evaluation. The Human Resource Division is also responsible for developing and managing the complaint procedures and for handling complaints in accordance with those procedures.

## **36.4 Procedures**

### **36.4.1 Employee Evaluation Implementation Regulations**

[Employee Evaluation Implementation Regulations](#)

### **36.4.2 Complaint Handling Guidelines**

[Complaint Handling Guidelines](#)

## **36.5 Forms**

## **36.6 Contacts**

### **36.6.1 Policy Owner**

Vice President for Human Resource (VPHR)

### **36.6.2 Other Contacts**

Human Resource Division

## **36.7 Definitions**