

Authority: Approved by the President

Chapter 36. Performance Evaluation

36.1 Policy

The OIST Graduate University's Annual Performance Evaluation (APE) 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 APE.

36.3 Rules

36.3.1 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 Gender Equality and Human Resource Development (VPGEHR) 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.

36.3.2 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.

36.3.3 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 [\[link:\]](#) based on the Employee Evaluation Implementation Regulations [\[link: 36.5.1\]](#) developed separately by the Vice President for Gender Equality and Human Resource Development (VPGEHR).

36.3.4 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 Gender Equality and Human Resource Development (VPGEHR).

36.3.5 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.

36.3.6 Complaints Procedures

Employees may complain in confidence about the evaluation results through the Compliant Procedures developed by Vice President for Gender Equality and Human Resource Development (VPGEHR). Every complaint is taken seriously by the HR Management Section.

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

36.3.7 Retention of Evaluation Documents

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

36.3.8 Implementation

The Employee Evaluation Implementation Regulations [\[link: 36.5.1\]](#) prepared by the Vice President for Gender Equality and Human Resource Development (VPGEHR) 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.

36.4 Responsibilities

36.4.1 All employees to whom the APE program applies

All employees to whom the APE 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 [\[link: 36.5.1\]](#).

36.4.2 Supervisors

Supervisors are responsible for evaluating their staff in accordance with the Employee Evaluation Implementation Regulations [\[link: 36.5.1\]](#) . Supervisors are expected to engage in on-going communication with their staff and to provide feedback and coaching throughout the evaluation period.

36.4.3 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.

36.4.4 Vice President for Gender Equality and Human Resource Development (VPGEHR)

Vice President for Gender Equality and Human Resource Development (VPGEHR) provides the Employee Evaluation Implementation Regulations [\[Link: 36.5.1\]](#) to implement the APE program, and is responsible for the management of the program. VPGEHR also prepares the Complaint Handling Guidelines [\[Link: 36.5.2\]](#).

36.4.5 HR Management Section

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

36.5 Procedures

36.5.1 Employee Evaluation Implementation Regulations

Employee Evaluation Implementation Regulations [\[link:\]](#)

36.5.2 Complaint Handling Guidelines
Complaint Handling Guidelines[\[link:\]](#)

36.6 Forms

36.7 Contacts

36.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development
(VPGEHR)

36.7.2 Other Contacts

HR Management Section

36.8 Definitions