



Leiden University Regulation on Performance & Development Interviews

Preamble

At Leiden University there are a number of methods in place to monitor and/or assess the performance of staff. This regulation relates to the Performance and Development interview (hereafter: P&D interview), where the evaluation of the employee's performance takes place and where attention is paid to the employee's further development. The assessment of the employee takes place on the basis of the agreements made with the employee concerned in a previous interview, and on the basis of the employee's job description with performance criteria.

Article 1. Legal basis

This regulation is based on the Collective Labour Agreement of Dutch Universities.

Article 2. Definitions

The following definitions apply:

- a. *Assessing Authority*: A body created within the faculty or supporting unit and charged with the tasks set forth in the present regulation;
- b. *Supervisor*: A person to whom the employee is directly accountable in his/her daily activities and who is charged with supervising and instructing the employee regarding his/her working activities, and who is not the assessing authority;
- c. *Regulation*: The Regulation on Performance and Development Interviews of Leiden University;
- d. *In writing*: In writing or by e-mail;
- e. *Employee*: A person employed by Leiden University, as defined in the Collective Labour Agreement of Dutch Universities.
- f. *Self Service*: The self-service environment is a secure environment within which staff can apply for particular facilities and arrange certain activities. The self-service system is linked to SAP, the business administration system.

Article 3. Frequency

1. The supervisor conducts a P&D interview with the employee at least once a year.
2. In addition to the P&D interview, the supervisor and the employee are entitled to one or more progress sessions. The initiative for this lies with the person who wishes to make use of this entitlement. During a progress session, the agreements made in the previous P&D interview can be modified. No new assessment is drawn up during the progress session.

Article 4. Invitation

No later than two weeks before the P&D interview, the supervisor invites the employee. Where applicable, this invitation must also indicate:

- a. Who has been consulted for information about the employee;
- b. Whether third parties will be present at the P&D interview.



Article 5. Preparation for the Assessment

1. Should s/he deem it necessary, the supervisor may obtain information from third parties:
 - a. Concerning the employee's performance during the evaluation period;
 - b. For the purpose of assessing the relevant employee in accordance with article 7, paragraph 1 under b.
2. In those cases where the supervisor has no personal knowledge of (part of) the employee's performance, the supervisor is obliged to obtain information from third parties.

Article 6. Annual Report

1. The following staff are required to submit an annual report:
 - a. Non-academic staff in salary scale 8 or higher;
 - b. Supervisory staff;
 - c. Academic staff.

The annual report should be submitted in writing to the supervisor no later than one week – or other interval agreed upon – before the P&D interview.

2. The annual report should comprise a quantitative and qualitative account of the employee's performance and development during the evaluation period.
3. Employees for whom paragraph 1 does not apply may submit the aforementioned annual report to their supervisor, although this is not compulsory.

Article 7. Topics for Discussion

1. During the P&D interview, the following four topics should be addressed:
 - a. *Performance Assessment*
The assessment of the employee's performance with regard to the agreements made in the previous P&D interview. This entails a discussion of the degree to which the employee has lived up to the agreements made. Additionally, the degree to which the supervisor has provided the employee with the opportunities and means to achieve these results should be discussed.
 - b. *Assessment of the Employee Based on the Agreements Made*
The employee is assessed on the basis of the agreements made in the previous P&D interview.
 - c. *Agreements Pertaining to the Employee's Development*
The supervisor and the employee exchange ideas concerning the desired development and career of the employee over a three- to five-year period. The employee's future development should be viewed in relation to the requirements that are currently placed upon the employee, and that will be placed upon the employee in the future, bearing in mind the changes that the organisation may undergo. The employee and the supervisor can then make agreements concerning the mutual efforts that they will undertake in the coming year in order to make it possible for the employee to achieve the desired development. These agreements will be assessed in the next P&D interview. Development-related agreements must be in line with the policy agreements of the relevant faculty or support unit.



d. Performance-Related Agreements

The supervisor and the employee should reach new agreements regarding the employee's performance objectives in the coming period, and the ways in which the supervisor can facilitate the realisation of these objectives. The strategies and objectives of the university, as well as the criteria established by the faculty or supporting unit with respect to the desired results in certain job-profile categories, constitute the departure point of these agreements.

2. The assessment referred to in article 7, paragraph 1 under b. should be made using the following valuation code:
 - 5 = Far exceeds the requirements set;
 - 4 = More than meets the requirements set;
 - 3 = Meets the requirements set;
 - 2 = Improvement needed;
 - 1 = Improvement needed in the short term.
3. Both the supervisor and the employee may be assisted by third parties during the P&D interview. They should indicate this in advance.

Article 8. Report of the Assessment and Agreements

1. The supervisor is responsible for writing a thorough report on the P&D interview in Self Service.
2. The supervisor should ensure that, within four weeks of the P&D interview, the employee receives in Self Service the report of the assessment compiled by the supervisor, including the agreements made relating to the performance and development to be achieved.
3. No later than two weeks after receiving the report of the assessment and the agreements made relating to the performance and development to be achieved, the employee should sign the report in Self Service as 'seen/approved'.
4. The supervisor then signs the report of the assessment and the agreements made by means of a digital signature in Self Service and submits this to the employee.
5. Within two weeks, after receiving the assessment, the employee may submit to the supervisor in writing a substantiated request for reconsideration of the assessment.
6. The supervisor should give the employee an opportunity to explain in person his/her request for reconsideration.
7. The supervisor confirms the assessment:
 - a. Upon expiry of the term referred to in the 5th paragraph if this term has expired without having been used, or
 - b. After having modified the assessment in full accordance with the request for reconsideration. In this case, the assessment should be confirmed within three weeks after receipt of the request for reconsideration.
8. Once the supervisor has drawn up the assessment in accordance with paragraph 7, s/he should without delay submit the assessment to be signed as seen by the supervisor's superior or by the assessing authority.
9. Should the supervisor see no reason to grant the employee's request for reconsideration in full, the supervisor should forward the assessment and the request for reconsideration to the supervisor's superior or to the assessing authority. This should take place within two weeks of receipt of the request for reconsideration.



10. If paragraph 9 applies, the supervisor's superior or the assessing authority provides the employee with the opportunity to explain his/her request in person.
11. If paragraph 9 applies, the supervisor's superior or the assessing authority should confirm the assessment within four weeks of receipt. In confirming the assessment, the supervisor's superior or the assessing authority must inform both the employee and the supervisor in writing whether the request for reconsideration has been granted, and whether in full or partially, and on what grounds the decision was taken.

Article 9. Scope of Applicability and Exceptions

If an employee has been hired on a fixed-term basis for a period under one year and it is clear that no long-term working relationship will be established with the employee in question, the provisions of the present regulation need not apply.

Article 10 Final Provisions

1. In special circumstances, the Executive Board may deviate from the stipulations contained in this regulation.
2. In instances not covered by this regulation, the decision rests with the Executive Board.

Article 11. Commencement Date

This regulation comes into effect on 1 January 2013. This regulation replaces all previous regulations relating to this subject, which fall within the scope of authority of the employer. The regulation was adopted by the Executive Board on 9 October 2012, following the agreement of the Local Employees' Organisation on 13 September 2012.

Article 12. Official Title

This regulation may be referred to as the Regulation on Performance and Development Interviews of Leiden University.

Changes adopted, following the agreement of the Local Employees' Organisation on 4 December 2014.

This translation of the Regulation on Performance and Development Interviews of Leiden University is intended as a service to non-Dutch speaking employees, and as such has no legal status. Any legal claims can only be made on the content of the Dutch regulation (*Regeling Resultaat- en Ontwikkelingsgesprekken Universiteit Leiden*).