

Leiden University Regulation on Initial Interviews & Performance and Development Interviews

This translation of the Regulation on Initial Interviews & 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 Startgesprekken & Resultaat- en Ontwikkelingsgesprekken Universiteit Leiden).

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 Initial Interview, in which performance targets are agreed with the employee within three months of starting in a position, and the Performance and Development interview (hereafter: P&D interview), where on an annual basis **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 Initial or P&D interview, and on **the basis of the employee's job profile with performance criteria.**

Section 1 Initial Provisions

Article 1. Legal basis

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

Article 2. Definitions

The following definitions apply:

1. *Assessment*: assessment of the employee's performance during the assessment period, to be drawn up in the agreed format;
2. *Assessing Authority*: A body created within the faculty or supporting unit and charged with the tasks set forth in the present regulation;
3. *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;
4. *Regulation*: The Regulation on Initial Interviews & Performance and Development Interviews of Leiden University;
5. *In writing*: In writing or by e-mail;
6. *Employee*: A person employed by Leiden University, as defined in the Collective Labour Agreement of Dutch Universities;
7. *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.

Section 2 Initial Interviews

Article 3. Initial interview

1. The initial interview is an interview between the supervisor and employee in which performance targets are agreed.
2. Within three months of the employee entering employment or starting in a new position, the supervisor sets up an initial interview with the employee.
3. The following topics must be discussed in the initial interview between the supervisor and the employee:
 - a. agreements regarding the performance targets to be achieved
 - b. agreements regarding the employee's skills and development
 - c. other relevant agreements

The agreements made will be based on the strategic principles and objectives of Leiden University as well as the criteria drawn up by the faculty or support unit in question concerning the performance targets that need to be achieved in certain categories of job profiles.
4. The supervisor is responsible for drawing up a report of the initial interview in the relevant format in Self Service.
5. The supervisor makes sure that the employee receives the report of the agreements made in Self Service within four weeks of the initial interview.
6. The employee should sign the report specifying the agreements as **'seen/approved'** within four weeks of receipt in Self Service. If the employee fails to observe the time limit, s/he is deemed to have signed the agreements as 'seen'.
7. Once the employee has signed, or if s/he has failed to observe the time limit, the supervisor will record the agreements in Self Service.

Section 3 Performance & Development interviews

Article 4. 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 5. Invitation

1. 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.
2. The employee is entitled to be assisted in a P&D interview by a third party. S/He must notify the supervisor of this at least one week prior to the interview.

Article 6. 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 8, subsection 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 7. 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 subsection 1. of this article does not apply may submit the aforementioned annual report to their supervisor, although this is not compulsory.

Article 8. 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 Initial or P&D interview, or to the agreements as altered on a later date. 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 Initial or P&D interview, or to the agreements as altered on a later date.
 - 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 support unit with respect to the desired results in certain categories of job profiles, constitute the departure point of these agreements.

2. The assessment referred to in article 8, subsection 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. If improvement is required, targets will be established in order to achieve the desired improvement and a period will be set within which one or more progress interviews are to be held as referred to in Article 4, sub-section 2, of this Regulation, unless the employer judges that no further improvement can reasonably be expected. The first progress interview will be held within 6 months after the date of the P&D interview.

Article 9. 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 four 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'**. If the employee fails to observe the time limit, **s/he is deemed to have signed the agreements as 'seen'**.
4. The supervisor then signs the report of the assessment and the agreements made.
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 subsection 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 subsection 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 subsection 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 subsection 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.

Section 4 Other provisions

Article 10. 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 11. 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 12. Commencement Date

This regulation comes into effect on 1 June 2017. This regulation replaces all previous regulations relating to this subject, which fall within the scope of authority of the employer.

Article 13. Official Title

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

The regulation was adopted by the Executive Board on 23 May 2017, following the agreement of the Local Employees' Organisation on 16 May 2013.

These regulations were modified by the Executive Board on 19 November 2019 following the agreement of the Local Consultative Body on 19 September 2019. The amended regulation shall enter into force on 31 December 2019.