

Appendix 3 Personal performance evaluation system for teaching and research staff

The personal performance evaluation system comprises the procedures for evaluating the performance of individuals, the associated evaluation factors and the evaluation scale. The impact of personal performance on the personal salary element is stipulated in the collective agreement.

The evaluation is an important element in the work of supervisors and staff administration, and in interaction between individual employees and their supervisors. A successful evaluation requires careful preparation.

1. Personal performance evaluation

The personal salary element is based on how individual employees have performed the duties assigned to them in a work plan or in some other corresponding manner. An evaluation of personal performance and merits will allow for the operating environment and for the nature and scope of international activities and interaction that the job requires.

The personal performance of teaching and research staff is evaluated as an overall assessment in relation to the work plan. The performance criteria applicable to the individual are determined on the basis of duties, having regard to any individual facts concerning the particular university in question. If the duties of an individual involve only teaching or only research, then performance will be evaluated solely on the basis of these duties.

The evaluation is performed as a joint overall assessment with respect to all main criteria, on which basis the person's placement in the performance category and personal performance percentage shall be determined.

The merits associated with personal performance are collated and documented over at least the past two years to serve as the basis for evaluation. Any specific level criteria applied at individual universities must be determined before beginning the performance evaluation.

The teaching and research staff member will list his or her job-related merits (publications, pedagogical merits etc.) before the evaluation discussion. The supervisor will review the merits and apply them when formulating a proposed evaluation of performance, performance category, and performance percentage. Reasons shall be given in particular for unusual job performance evaluations that satisfy the position requirements.

The employer will thereafter, in accordance with the evaluation practice of the university, evaluate performance by comparing the merits for positions with the merit levels of other employees working in corresponding fields, in the same job requirement groups, and in positions of a corresponding type. In other words, the merits of an employee working at a certain level will be compared to the merits of other employees working in positions with equivalent requirements.

If the outcome of the evaluation does not accord with the employee's own view of his or her performance, then the employee will enter his or her own view and the reasons for it in the evaluation summary.

2. The evaluation criteria / factors

The main criteria of personal performance evaluation for teaching and research staff are:

- 1. Pedagogical merit**
- 2. Research merit**
- 3. University community and social merit**

Personal performance is evaluated in relation to duties and to the work plan or to objectives assigned in some other corresponding manner.

2.1. Pedagogical merit

Examples of factors to be considered when evaluating the pedagogical merits of an employee:

- teaching skills
- pedagogical competence and training, and its application in teaching
- other acquired competence benefiting teaching and skills gained through teaching experience
- enhancement of teaching and participation in general teaching development duties
- student counselling, progress of studies and degrees completed by students
- creation of teaching materials
- participation in international teaching
- receipt of awards and distinctions related to teaching
- creation, maintenance and participation in networks related to teaching

2.2. Research merit

Examples of factors to be considered when evaluating the research merits of an employee:

- academic or artistic publications (especially refereed publications)
- international research collaboration
- counselled postgraduate studies and doctoral theses
- procurement and management of external funding
- acquired academic or artistic qualifications (degrees or adjunct professorships)
- academic or artistic specialist duties (serving as doctoral dissertation opponent, issuing statements)
- esteem earned in the academic or university community
- receipt of awards and distinctions related to academic or artistic activities
- artistic merit will also be considered under guidelines for the individual university.

Evaluation of the research merits of doctoral students will consider progress in the thesis under the plan of research and other success in preparing the thesis (dissertation, etc.).

2.3. University community and social merit

Examples of factors to be considered when evaluating the university community and social merits of an employee:

- commitment to work and workplace
- participation in university community duties
- co-operation skills
- co-operation with stakeholders to the extent required by the position
- specialist duties in society

Employees working in supervisory capacities will be evaluated for success and improvement in supervisory and leadership work (including participation in supervisory and leadership training), for supervisory skills in general, and for the ability to serve as an academic leader. The evaluation will consider how the supervisor supports, encourages and motivates employees to achieve their objectives and how the supervisor fosters a positive, effective and productive workplace.

An evaluation will also be made of overall economy and care in the use of resources in all functions falling with the employee's sphere of responsibility.

3. The evaluation scale

The performance categories applied shall be determined as follows:

Performance category IV

The employee's performance is excellent and clearly exceeds all position requirements and the quantitative and qualitative objectives assigned to the employee.

Performance category III

The employee's performance satisfies all position requirements very well. The performance exceeds the quantitative and qualitative objectives assigned to the employee in some respects.

Performance category II

The employee's performance satisfies the requirements of the position well, and most of the objectives assigned to the employee. Performance attains a high quality standard in key fields of duty.

Performance category I

The employee's performance satisfies the basic position requirements and some of the objectives assigned to the employee. Some aspects of performance are nevertheless in need of improvement.

Appendix 4 Personal performance evaluation system for other staff

The personal performance evaluation system comprises the procedures for evaluating the performance of individuals, the associated evaluation factors and the evaluation scale. The impact of personal performance on the personal salary element is stipulated in the collective agreement.

The evaluation discussion is an important element in the work of supervisors and staff administration, and in interaction between individual employees and their supervisors. A successful evaluation discussion requires careful preparation. Individual employees may prepare for it, for example, by evaluating their own performance in advance. Both parties must set aside time for the discussion away from the distraction of other duties.

1. Personal performance evaluation

The personal performance of an employee is evaluated in the course of an evaluation discussion. The evaluation focuses on the performance of individual employees in the duties assigned in their job descriptions and otherwise by the employer, and on the objectives assigned for the employee in the previous performance appraisal or in some other corresponding manner.

The job performance of an individual is evaluated on an overall assessment with respect to the three main criteria specified below. Sub-criteria are used for assessing each main criterion, but are not evaluated independently.

A supervisor will evaluate the employee's performance. The supervisor records the outcome of the evaluation and its grounds, and these are communicated to the employee. On the basis of the evaluation s/he has completed, the supervisor shall make a proposal for the performance category and performance percentage. If the outcome of the evaluation does not agree with the employee's own view of his/her performance, the employee will enter his/her own view, including the justifications. The performance category and performance percentage will be confirmed by the employer in relation to such factors as the grounds for the performance evaluation, the general evaluation policy, and the performance of employees working in duties observing the equivalent position requirements.

Reasons shall be given in particular for unusual evaluations of job performance that satisfy the job requirements. If the performance level is 1 or 2, then measures for supporting improved performance shall be mutually agreed.

2. The evaluation criteria / factors

The main criteria of personal performance evaluation for other staff are:

2.1 Professional competence

Skills, evaluated with reference to such factors as

- overall command of the employee's duties; knowledge, skills, methods and tools

- maintenance of professional skills
- ability to focus on essentials

Personal development, evaluated with reference to such factors as

- how the employee responds to new challenges and ideas, and views new duties and practices
- an active role in improving the job
- how the employee improves personal skills

Plurality of skills / special ability, evaluated with reference to such factors as

- whether the employee has skills exceeding the employee's own basic duties that benefit the workplace, or some special ability or expertise
- general diversity of the employee's skills or some special ability that benefits the workplace

2.2. Responsibility at work and activity in the workplace

Initiative, evaluated with reference to such factors as

- how spontaneous the employee is in his/her work
- how the employee takes the initiative in improving working methods and the workplace

Co-operation skills, evaluated with reference to such factors as

- how the employee co-operates at the workplace, and with external parties and stakeholders
- how the employee promotes community and a positive atmosphere
- how the employee deals with conflict

Commitment to work and colleagues/co-workers, evaluated with reference to such factors as

- how the employee participates in improving the workplace
- how the employee adheres to mutually agreed practices
- how the employee is committed to duties and to the aims of the employee's workplace
- the extent of the employee's involvement in discharging university community functions

Employees working in supervisory capacities will be evaluated for success and improvement in supervisory and leadership work (including participation in supervisory and leadership training) and for supervisory skills in general. The evaluation will consider how the supervisor supports, encourages and motivates employees to achieve their objectives and how the supervisor fosters a positive, effective and productive workplace.

2.3. Quality and performance

Productivity, evaluated with reference to such factors as

- achievement of, for example, quantitative objectives or deadlines imposed on the employee

Quality of work, evaluated with reference to such factors as

- quality of work in relation to the demands and goals of duties

Economy, evaluated with reference to such factors as

- overall economy in discharging duties
- careful use of resources

3. The evaluation scale

The performance categories applied shall be determined as follows:

Performance category IV

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Performance category III

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Performance category II

The employee's performance satisfies the requirements of the position well, and most of the objectives assigned to the employee. Performance attains a high quality standard in key fields of duty.

Performance category I

The employee's performance satisfies the basic position requirements and some of the objectives assigned to the employee. Some aspects of performance are nevertheless in need of improvement.