

Trial Run of the Personnel Evaluation

(Agreement of the Personnel Management Council Executive Board Meeting held on August 8, 2007)

In the National Public Service Law (1947 Law No. 120) revised based on the Law concerning Partial Amendment of the National Public Service Law and other Laws (2007 Law No. 108), personnel evaluation is positioned as the “basis for appointment, remuneration, change in status and other personnel management matters” and is specified to be enforced within two years from promulgation. Based on this, the NPA implement the trial run of the personnel evaluation, following the first and the second trial runs, as follows:

1. Objective

- Confirming the agenda related to personnel evaluation empirically and obtaining reference materials related to institutional design
- This trial run focuses on verifying appropriateness of evaluation items for regular administrative services of local branch bureaus and departments, facility organizations and special organizations (hereinafter referred to as “local branch bureaus and departments, etc.”) and specialized staff of the headquarters of the Office and Ministries (including extra-ministerial bureaus) and local branch bureaus and departments, etc., who were not involved in previous trial runs. This trial run is also aimed to enhance awareness of the personnel evaluation among employees.

2. Targeted Employees and Implementing Organizations

Targeted employees of this trial run are regular administrative services of local branch bureaus and departments, etc. and specialized staff of the headquarters of the Office and Ministries and local branch bureaus and departments, etc. Evaluators and target employees are specified by the Office and each Ministry in the following manner.

① Regular administrative service

A. Implementing organizations: Basically as follows:

- Block organization: All organizations
- Prefectural organization: All organizations
- Other offices, etc.: As many organizations as possible

- Facility organizations and special organizations: All organizations with regular administrative services

B. Targeted employees

- Below Director-General employees (excluding organization heads)
- Sampling survey is permissible depending on actual duty conditions and the number of employees. However, block organizations of local branch bureaus and departments must conduct the sampling evaluation of all departments.

C. Evaluators

- Supervisors (Basically Director-level personnel or above; Assistant Director-level personnel or other personnel can serve as evaluators depending on actual duty conditions and the number of employees.)
- Evaluators may appoint their subordinates to assist administrative duties related to the evaluation.

② Specialized staff

A. Implementing organization: Basically as follows:

- Headquarters of the Office and Ministries
- Local branch bureaus and departments, etc. (based on ①A. above)

B. Targeted employees

- Specialized staff who belong to an organization above and rank at Director-level or below of the headquarters of the Office and Ministries (excluding organization heads)
- Sampling survey is permissible depending on actual duty conditions and the number of employees.

C. Evaluators

- Supervisors (Basically Director-level personnel or above; Assistant Director-level personnel or other personnel can serve as evaluators depending on actual duty conditions and the number of employees.)
- Evaluators may appoint their subordinates to assist administrative duties related to the evaluation.

3. Trial Run Period

The trial run period is basically six months from October 1, 2007 to March 31, 2008. (Evaluation procedures should be completed by the end of the period in principle.)

4. Details of the Trial Run

① Job action evaluation and role achievement evaluation portions

The evaluation is comprised of job action evaluation and role achievement evaluation portions.

The job action evaluation portion is designed to evaluate employees' job actions during the evaluation period, using standards with a focus on job actions representing the ability required to perform duties.

The role achievement evaluation portion is designed to evaluate results of employees' duty performance during the evaluation period. This is done after clarifying tasks, goals and procedures in accordance with details of employees' duties. The two portions are aimed to evaluate employees' ability to accomplish duties and performance on duty as objectively as possible in a combined manner.

Both portions are evaluated based on an absolute evaluation method in the light of prescribed evaluation standards.

Basically, supervisors of evaluators adjust evaluation results to ensure fairness of the evaluation.

The Exhibit 1 Personnel Evaluation Sheet is used in this trial run in principle. Evaluation items in the job action evaluation portion are added or modified in accordance with "6. Others" described below, where necessary, in accordance with actual duties. Examples are shown in Exhibits 2 (for regular administrative services of local branch bureaus and departments, etc.) and 3 (for specialized staff).

② Self-evaluation and interview

A self-evaluation and interview between evaluators and evaluated employees are conducted to enhance the reliability and effectiveness of the personnel evaluation. Evaluators give guidance and advice from perspectives of clarification of duty goals, review of work performance and human resources development.

③ Evaluation feedback

In this trial run, feedback is provided to encourage employees to review their own ability to accomplish and perform on duty objectively, develop their ability voluntarily, and perform duties on their own initiative (in an appropriate form such as disclosure of evaluation results,

comments in line with evaluation results or guidance and advice in accordance with situations of the Office and each Ministry). In providing feedback, evaluators should endeavor to provide detailed guidance and advice in line with individual evaluation items and goals.

The NPA will continue to study how to provide feedback as a preparation for full-scale implementation of the personnel evaluation.

④ Explanation to participants

The NPA will give sufficient explanation to evaluators and target employees to be evaluated in the trial run in advance to deepen their understanding of the personnel evaluation and ensure a smooth trial run.

⑤ Complaint handling

- Troubles and complaints generated in the process of the trial run will be ascertained and handled appropriately through sufficient communication between evaluators and the evaluated employees and accumulated as data to be used in future consideration.
- Local branch bureaus and departments set up a point of contact within the personnel management department of each block organization in accordance with the number of employees and administrative processing systems so that evaluated employees can ask questions and bring complaints about the method and results of the evaluation. These questions and complaints are accumulated to be utilized in review after completion of the trial run.

The NPA's existing complaint counseling system also deals with complaints related to the trial run.

- The NPA will continue to study the system to handle complaints related to the evaluation appropriately as a preparation for the full-scale implementation of the personnel evaluation.

▪ **5. Verification of Trial Run Results**

The trial run is implemented separately from the existing performance appraisal as a preparation for the full-scale implementation of the personnel evaluation. Therefore, evaluation results in the trial run are not reflected in appointment or remuneration.

- The instituting government offices collect information on the situation of the trial run implementation from the Office and Ministries, as appropriate, during the trial run period

to ensure smooth implementation of the trial run. These government offices analyze trial results, consolidate opinions from officers in charge of personnel management at the Office and Ministries, evaluators and evaluated employees through hearings and questionnaire surveys, and utilize such opinions for consideration of institutional design, etc.

The government offices continue to exchange opinions with employee organizations, based on trial results.

6. Others

- The Office and Ministries may modify part of the implementation details of the trial run after discussing with the instituting government offices when they think it necessary based on their actual conditions.
- The Office and Ministries making voluntary efforts on personnel evaluation will coordinate their efforts with the trial run closely as preparation for full-scale implementation of the personnel evaluation. Results of such voluntary efforts will be utilized for consideration of institutional design, etc.