

DECISION

**Promulgating the Statute on assessment and classification of employees
of the Saigon International University**

**CHANCELLOR
OF THE SAIGON INTERNATIONAL UNIVERSITY**

Pursuant to the Law on Cadres and Civil Servants dated November 13, 2008 and the Law on Public Employees dated November 15, 2010;

Pursuant to the Law on Higher Education dated June 18, 2012;

Pursuant to Decision No. 70/2014/QĐ-TTg dated December 10, 2014 of the Prime Minister on the promulgation of the university's charter;

Pursuant to Decision No. 1273/QĐ-TTg dated September 24, 2007 of the Prime Minister on the establishment of the Saigon International University;

Pursuant to the Statute on organization and operation of the Saigon International University;

Pursuant to the Regulation on working regime for lecturers of the Saigon International University.

DECIDE:

Article 1. Promulgate together with this Decision the Statute on assessment and classification of employees of the Saigon International University.

Article 2. This Decision takes effect from the date of signing. The School Board and leaders of units in the University are responsible for implementing this decision./.

Recipients

- As in Article 2;
- Archive: Admin

CHANCELLOR

Tran Xuan Dinh

STATUTE

On the assessment and classification of employees of the Saigon International University

*(Issued together with Decision No. 72/QĐ-SIU dated March 12, 2021
by the Chancellor of the Saigon International University)*

CHAPTER 1

GENERAL PROVISIONS

Article 1. Scope of statute and subjects of application

This statute applies to the assessment and classification of managers, full-time permanent employees and lecturers (except for contract employees, probationary workers; managers on probationary period) working at the Saigon International University (the University), hereinafter collectively referred to as employees (abbreviated as NLD).

Article 2. Principles of assessment and classification of employees

1. Ensure proper competence: The head of each unit shall evaluate and classify employees assigned to management. The system-level management board shall appraise and approve the results of assessment and classification of employees by the head of each unit.

The Principal evaluates and classifies the Vice Principals and Unit Heads.

2. The assessment is based on assigned responsibilities and tasks and the performance results as well as the degree of compliance with the rules and regulations of the University and the State.

3. Ensure objectivity, fairness, accuracy and no respect, oppression, favoritism or formality.

4. The assessment and classification of school leaders and managers is based on the performance results of the school; the assessment and classification of managers is based on the performance results of the unit assigned to manage and take charge of.

5. In case the employee fails to complete the tasks due to objective factors or force majeure, he/she shall be considered in the process of assessment and classification.

Article 3. Basis for assessment and classification

1. For leaders and managers, the basis for assessment includes:

a) Obligations, ethics, communication culture and things not to be done specified in the Law on Cadres and Civil Servants;

b) Leading and managerial positions;

c) Tasks according to the annual work program or plan assigned or designated to direct and organize the implementation.

2. For lecturers and staff, the basis for assessment includes:

- a) Commitments in the signed work contract;
- b) Regulations on professional ethics, codes of conduct of lecturers and staff and regulations and statutes of the University.

Article 4. Time of assessment and classification

1. Assessment and classification shall be carried out twice a year: at the end of the school year, at the end of the fiscal year.

2. If the employee is recognized for the expiration of the probationary period and is appointed to the ranks of leaders, managers or lecturers and staff before the time of assessment and classification, the institutional unit shall use the assessment results when recognizing the expiration of the probationary period for evaluation and classification for that semester.

3. Failure to assess and classify in case the employee is still in the probationary period.

Article 5. Subjects to be assessed and classified

1. The employee has worked at the school for 6 months or more (including the probationary period) up to the time of assessment and classification.

2. In addition to specific cases specified in Clause 1 of this Article, if any other cases arise, the Principal shall consider and decide on the assessment and classification of such cases.

CHAPTER II

CONTENTS, ASSESSMENT AND CLASSIFICATION CRITERIA OF LEADERS AND MANAGERS

Article 6. Contents of assessment for Leaders and Managers

1. Leaders and managers shall be assessed according to the following contents:

- a) Abide by the lines, guidelines and policies of the Party and the laws of the State;
- b) Abide by the school's rules, statutes and regulations;
- c) Quality, ethics, lifestyle, working style and manners;
- d) Capacity, professional qualifications and skills;
- e) Progress and results of task performance;
- f) Sense of responsibility and coordination in the performance of tasks;
- g) Service attitude.

2. In addition to the provisions in Clause 1 of this Article, leaders and managers shall also be assessed according to the following contents:

- a) Operation results of the University;
- b) Leadership and management capacity;

c) The capacity to gather and unite employees.

Article 7. Classification and assessment for Leaders and Managers

Based on the assessment results, leaders and managers are classified according to one of the following levels:

1. A;
2. B;
3. C;
4. D.

Article 8. Criteria for classification and assessment of Leaders and Managers at level A

Leaders and managers who meet all of the following criteria shall be classified at level A:

1. Always be exemplary and well abide by the lines, guidelines and policies of the Party and the laws of the State;
2. Have good moral qualities and ethics; lead a healthy lifestyle, strictly observe discipline and rules in the schools and units; be dedicated, have a sense of responsibility in performing the assigned tasks and jobs.
3. Have professional capacity and qualifications; cooperate closely and effectively with relevant colleagues and units in the process of performing tasks and jobs;
4. Have the spirit of initiative and creativity in performing the assigned tasks and jobs;
5. Have a proper attitude and cultural behavior in the performance of tasks and jobs; well implement the prevention and combat against acts of authoritarianism, bossiness, causing difficulties, troubles, negativity, corruption, embezzlement and waste;
6. Complete tasks according to the program or work plan for the semester/academic year or tasks assigned by superiors, with quality and efficiency;
7. Subordinate units: Complete all targets and tasks;
8. Lead, manage and administer the completion of tasks with quality and efficiency;
9. Be capable of gathering and constructing schools and units in the direction of solidarity and unity;
10. There are no manifestations of deterioration in ideology, morality or lifestyle.

Article 9. Criteria for classification and assessment of Leaders and Managers at level B

Leaders and managers who meet all of the following criteria shall be classified at level B:

1. Always be exemplary and well abide by the lines, guidelines and policies of the Party and the laws of the State;
2. Have good moral qualities; lead a healthy lifestyle, strictly observe discipline and rules in schools and units; be dedicated, have a sense of responsibility in performing the assigned tasks and jobs;
3. Have professional capacity and qualifications; cooperate closely and effectively with relevant colleagues and units in the process of performing tasks and jobs;

4. Have the spirit of initiative and creativity in performing the assigned tasks and jobs;
5. Have a proper attitude and cultural behavior in the performance of tasks and jobs; well implement the prevention and combat against acts of authoritarianism, bossiness, causing difficulties, troubles, negativity, corruption, embezzlement and waste;
6. Complete tasks according to the program or work plan for the semester/academic year or tasks assigned by superiors, with quality and efficiency;
7. Subordinate units: Complete all targets and tasks;
8. Lead, manage and administer the completion of tasks with quality and efficiency;
9. Be capable of gathering and constructing schools and units in the direction of solidarity and unity;
10. There are no manifestations of deterioration in ideology, morality or lifestyle.
11. Violations are dealt with up to the level of second written Reprimand or leave exceeding 50% of the leave days of the classification assessment period.

Article 10. Criteria for classification and assessment of Leaders and Managers at level C

1. Be exemplary and well abide by the lines, guidelines and policies of the Party and the laws of the State;
2. Have good moral qualities; lead a healthy lifestyle, strictly observe discipline and rules in schools and units; be dedicated, have a sense of responsibility in performing the assigned tasks and jobs;
3. There are no manifestations of deterioration in ideology, morality or lifestyle;
4. The criteria for the results of the performance of functions and tasks are completed, but at most 20% of the criteria have not yet guaranteed the quality, progress or low efficiency.
5. Subordinate units: Complete from 70% of the targets and tasks.

Leaders and managers who achieve all of the above criteria and have one of the following criteria shall be classified at level C:

6. The work of leading, directing and administering the performance of tasks of the school and units is behind schedule;
7. Resolving the work of the school or unit does not comply with the provisions of law or without causing consequences that need remedial measures;
8. The leadership, management and administration of the performance of tasks of the school and units that have not yet guaranteed quality and efficiency;
9. Disunity occurs at the schools and units assigned to lead and manage.
10. Violations are dealt with at the level of Decision to remind or leave exceeding 100% of the leave days of the classification assessment period.

Article 11. Criteria for classification and assessment of Leaders and Managers at level D

Leaders and managers who have *one of the following criteria* shall be classified at level D:

1. Fail to implement or violate the lines, guidelines and policies of the Party and the laws of the State which shall be disciplined by competent authorities or competent agencies as prescribed;
2. Violate discipline, rules or working statutes of the school or unit but not to the extent of being disciplined in the highest form;
3. Fail to complete the duties commensurate with the current held title;
4. Perform tasks or jobs with such violations that corrective measures must be taken;
5. Cause disunity within agencies, organizations or units;
6. Complete less than 70% of the tasks according to the program and work plan for the semester/academic year;
7. Commit acts of authoritarianism, bossiness, causing difficulties, troubles, negativity, corruption, embezzlement or wastefulness shall be disciplined.
8. Directly related to negativity, embezzlement, corruption and waste at the school or unit assigned to take charge and be handled in accordance with the State's law;
9. The unit in charge completes less than 50% of assigned or set targets and tasks;
10. Direct and organize the performance of tasks with such violations that corrective measures must be taken;
11. Disunity occurs at the schools and units assigned to lead and manage.
12. Show manifestations of deterioration in ideology, morality or lifestyle;
13. More than 50% of the criteria for responsibilities and tasks are assessed as incomplete.
14. Violations are dealt with at the level of Warning & Probation Decision or leave exceeding 200% of the leave days of the classification assessment period.

CHAPTER III

CONTENTS, ASSESSMENT AND CLASSIFICATION CRITERIA OF LECTURERS AND STAFF

Article 12. Contents of assessment for lecturers and staff

1. The assessment of lecturers and staff shall be considered according to the following contents:
 - a) The results of the performance of the work or tasks according to the signed work contract/ labor contract;
 - b) The observance of regulations on professional ethics;
 - c) The implementation of statutes, regulations and rules of the University;
 - d) The sense of responsibility, service attitude, the spirit of cooperation with colleagues and the implementation of the code of conduct of lecturers and staff;

e) The performance of other obligations of lecturers and staff.

2. The assessment of lecturers and staff holding managerial positions shall be considered according to the contents specified in Clause 1 of this Article and the following contents:

a) The capacity to lead, manage, administer and organize the performance of tasks;

b) Operation results of the unit assigned to manage and take charge.

Article 13. Classification and assessment for lecturers and staff

Based on the assessment results, lecturers and staff are classified according to one of the following levels:

1. A;

2. B;

3. C;

4. D.

Article 14. Criteria for classification and assessment of lecturers and staff at level A

1. Lecturers and non-managerial staff who meet all of the following criteria shall be assessed and classified at level A:

a) Have good capacity, professional qualifications and skills; complete 100% of the work or tasks under the signed work contract/labor contract, exceed schedule, with quality and efficiency; strictly abide by the work assignment of competent persons; have a high sense of responsibility, be proactive and creative in performing assigned tasks;

b) Successfully complete the unexpected tasks;

c) Strictly, fully and appropriately comply with regulations on professional ethics, charters, statutes and rules of the schools and units, regulations on corruption prevention and fighting, thrift and anti-waste practices; dedication to the profession, be dedicated to the profession and devoted to the work;

d) Strictly observe the code of conduct of lecturers and staff, have a polite and respectful attitude in service and communication; have the spirit of solidarity, effective cooperation, close coordination with relevant colleagues and units in the process of performing tasks;

e) There are no manifestations of deterioration in ideology, morality or lifestyle;

2. Lecturers holding managerial positions who meet all of the following criteria shall be assessed and classified at level A:

a) The criteria specified in Clause 1 of this Article;

b) Have a sense of initiative and creativity in the administration and organization of work performance;

c) The unit assigned to manage and administer completes 100% of the workload, with quality and efficiency.

Article 15. Criteria for classification and assessment of lecturers and staff at level B

1. Lecturers and non-managerial staff who meet all of the following criteria shall be assessed and classified at level B:

a) Have good capacity, professional qualifications and skills, complete 100% of the work or tasks under the signed work contract/labor contract, ensure progress with quality and efficiency; strictly abide by the assignment of competent persons; have a sense of responsibility in performing the assigned tasks.

b) Successfully complete the unexpected tasks;

c) Strictly, fully and appropriately comply with regulations on professional ethics, charters, statutes and rules of the schools and units, regulations on corruption prevention and fighting, thrift and anti-waste practices; dedication to the profession, be dedicated to the profession and devoted to the work;

d) Strictly observe the code of conduct of lecturers and staff, have a polite and respectful attitude in service and communication; have the spirit of solidarity, effective cooperation, close coordination with relevant colleagues and units in the process of performing tasks;

e) There are no manifestations of deterioration in ideology, morality or lifestyle;

f) There is 01 violation handled at the maximum level of second written Reprimand or leave exceeding 50% of the leave days of the classification assessment period.

2. Lecturers holding managerial positions who meet all of the following criteria shall be assessed and classified at level B:

a) The criteria specified in Clause 1 of this Article;

b) The unit assigned to manage and administer completes 100% of the workload, ensuring progress, quality and efficiency.

Article 16. Criteria for classification and assessment of lecturers and staff at level C

1. Lecturers and non-managerial staff who meet all of the following criteria shall be assessed and classified at level C:

a) Have good capacity, professional qualifications and skills, complete from 70% to less than 100% of the work or tasks under the signed work contract/labor contract, including the work that is still behind schedule, limited in quality and efficiency;

b) Comply with regulations on professional ethics, charters, statutes and rules of the school and units, regulations on prevention and fighting of corruption, thrift and anti-waste practices;

c) Observe the code of conduct of lecturers and staff, have a polite and respectful attitude in service and communication; have the spirit of solidarity, cooperation and coordination with relevant colleagues and units in the process of performing tasks;

d) There are no manifestations of deterioration in ideology, morality or lifestyle;

e) Violations are handled at the level of the Decision on reminder or leave exceeding 100% of the leave days of the classification assessment period;

f) Or the criteria for the performance of functions or tasks are completed but up to 20% of the criteria have not yet ensured quality, progress or low efficiency.

2. Lecturers holding managerial positions who meet all of the following criteria shall be assessed and classified at level C:

- a) The criteria specified in Clause 1 of this Article;
- b) The unit assigned to manage and administer completes from 70% to less than 100% of the workload.

Article 17. Criteria for classification and assessment of lecturers and staff at level D

1. Lecturers and staff who do not hold managerial positions *and meet one of the following criteria* shall be assessed and classified at level D:

- a) Complete less than 70% of the work or tasks under the signed work contract/labor contract;
- b) Not seriously comply with the work assignment of competent persons; lack of sense of responsibility in the performance of assigned tasks;
- c) Perform unsatisfactory jobs or tasks;
- d) Violate professional procedures and regulations;
- e) Violate the code of conduct and professional ethics of lecturers and staff; cause trouble or harassment to others to the point of disciplinary action;
- f) Commit acts of internal division or cause disunity;
- g) There is no spirit of coordination with relevant colleagues and units in the process of performing tasks that affect the operation results of the unit;
- h) Violate the law in the performance of duties to the extent that disciplinary action must be taken;
- i) There are manifestations of deterioration in thought, morality and lifestyle;
- j) More than 50% of the criteria on responsibility and tasks is assessed as incomplete.
- k) There are violations handled at the level of warning & probation Decision or leave exceeding 200% of the leave days of the classification assessment period;

2. Lecturers holding managerial positions *who meet one of the following criteria* shall be assessed and classified at level D:

- a) The criteria specified in Clause 1 of this Article;
- b) The management and administration of the work is limited, ineffective or does not meet the work requirements;
- c) Allow disciplinary violations or violations of law to occur to the extent that disciplinary action must be taken;
- d) The unit assigned to manage and administer completes less than 50% of the assigned or set criteria and tasks.

CHAPTER IV

ORDERS AND PROCEDURES FOR ASSESSMENT AND CLASSIFICATION

Article 18. Orders and procedures for assessment and classification for leaders and managers

1. For the Principal

- a) The Principal self-assesses the work results according to assigned tasks;
- b) The Principal shall report on the self-assessment of the work results at the meeting of the School Council and the School Board. Members attending the meeting contribute their opinions recorded in the minutes, and at the same time approve the content of the minutes at the meeting;
- c) The members attending the meeting vote in secret on the classification level for the Principal; after counting the votes, they shall make a minute and send it to the Office of the School Council and the votes shall be kept at the school;
- d) The Office of the School Council shall summarize the references in Sections b and c of this Clause for the Principal; submit to the Chairman of the School Council for consideration and decision on assessment and classification for the Principal.

2. For Vice Principal and leaders

- a) The Vice Principal shall make a report on self-assessment of work results according to the assigned tasks;
- b) The Vice Principal shall report on self-assessment of the work results at the meeting of the School Council and the School Board. Members attending the meeting contribute their opinions recorded in the minutes, and at the same time approve the content of the minutes at the meeting;
- c) Members attending the meeting vote in secret on the classification level for the Vice Principal; make a minute of vote counting after counting the votes;
- d) The Principal shall, in consultation with Sections b and c of this Clause, consider and decide on the assessment and classification for the Vice Principal. The Principal shall notify the assessment and classification results to the Vice Principal according to the provisions of Clause 1, Article 20 of this Statute.

Article 19. Orders and procedures for assessment and classification of employees

1. For employees who do not hold managerial positions

- a) The head of the unit assesses employees in his or her unit in charge;
- b) The head of the unit transfers the employee assessment form to the relevant management level for comments;
- c) The head of each unit transfers the assessment form to the leader level for comments;
- d) The Principal shall, in consultation with the participating opinions in Sections a, b and c of this Clause, decide on the assessment and classification for the employee and notify the employee as prescribed in Clause 1, Article 20 of this Statute.

2. For employees holding managerial positions as Deputy heads of units;

- a) The head of the unit assesses employees in his or her unit in charge;

- b) The head of the unit transfers the employee assessment form to the relevant management level for comments;
- c) The head of each unit transfers the assessment form to the leader level for comments;
- d) The Principal shall, in consultation with the participating opinions in Sections a, b and c of this Clause, decide on the assessment and classification for the employee and notify the employee as prescribed in Clause 1, Article 20 of this Statute.

3. For employees holding managerial positions as Head of units

- a) The head of the unit assesses employees in his or her unit in charge;
- b) The head of the unit transfers the employee assessment form to the relevant management level (Administration and Student Services Department, Finance - Human Resources Department) for comments;
- c) The head of each unit transfers the assessment form to the the School Board for comments
- d) The Principal shall, in consultation with the participating opinions in Sections a, b and c of this Clause, decide on the assessment and classification for the employee and notify the employee as prescribed in Clause 1, Article 20 of this Statute.

CHAPTER V

THE NOTIFICATION, USE, RESULT REPORTING AND RECORD KEEPING OF ASSESSMENT AND CLASSIFICATION DOCUMENTS

Article 20. Notification of assessment and classification results

1. The results of assessment and classification of employees shall be notified to employees during the salary/bonus increase period.
2. After receiving the notice of the assessment and classification results, if the employees do not agree with the assessment or classification conclusion, they have the right to complain.

Article 21. Use of assessment and classification results

1. The assessment results are an important basis for arranging, employing, training, fostering, or promoting professional titles, planning, appointing, reappointing, ceasing to hold positions, resigning, dismiss, transfer ing, rotating, rewarding, disciplining and implementing regimes and policies towards employees.
2. If the manager fails to complete the tasks, the University has the authority to consider other work arrangements; if consecutively failing to fulfill the tasks, the University has the authority to consider and settle the termination.

3. If lecturers and employees are assessed and classified at level D, the University has the authority to consider terminating the working contract/labor contract for lecturers and employees.

Article 22. Report results, keep records of assessment and classification documents

After completing the assessment and classification of employees at the unit, the reporting of results and keeping records of assessment and classification documents of employees shall be carried out as follows:

For members of the School Board, the documents are managed, kept and monitored by the Principal.

For managers, lecturers and staff, the documents are managed by the University and kept at the Finance and Human Resources Department./.

CHANCELLOR

Tran Xuan Dinh