

University of Bayreuth, 95440 Bayreuth

To be sent to all employees

in the academic support units of the
University of Bayreuth

Ref. № P1000/0-14/17
Please include in future correspondence
Bayreuth, 09.11.2017

The University of Bayreuth's Guidelines for Staff Appraisals

Dear Managers and Members of Staff,

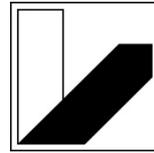
Conversations between manager and employee take place quite often during our daily work, yet the topics are usually acute issues and work tasks. In addition to this, regular, structured staff appraisals offer an important communication and feedback tool for all employees and managers, because they address overarching issues of cooperation and development and change perspectives of the employees. I strongly urge you to make use of this valuable tool.

To support you, the Human Resources Department, the Employee Council and the Coordination Office for Human Resources Development have jointly developed the "University of Bayreuth's Guidelines for Staff Appraisals", which I am sending to you with this message.

In the winter semester, various workshops for managers and non-managerial staff are offered as part of the personnel development and university health management. This offer will also be continued in the summer semester.

If you have any questions, please contact Dr. Braun (Coordination Office for Human Resources Development) and Ms. Herrmann (Employee Council).

Yours faithfully,
[signature]
Dr. Markus Zanner
Provost



The University of Bayreuth's Guidelines for staff appraisals

version date: 9 November 2017

I. Foreword

Our performance depends on the commitment of our employees. Not only the motivation of the individual plays an important role, but also the appreciation of the managers for their employees and the work they do.

In addition to daily interaction, mutual appreciation is expressed in particular in regular staff appraisals between the manager and the employee.

Staff appraisals at the University of Bayreuth are therefore to

- intensify **communication** and the **flow of information** between the employee and the manager,
- develop **understanding** between the interlocutors,
- support the **motivation** and **job satisfaction of** employees and also of managers,
- improve the communication and leadership culture of the University.

This guide is intended to provide employees as well as managers with basic information on staff appraisals and how to conduct them.

II. Basic points

■ Rights and obligations:

Every employee has the right to a staff appraisal. Managers are obligated to offer staff appraisals. The impulse for the meeting usually comes from the manager. The employee can also request the meeting.

■ Intervals:

A staff appraisal should be held with each employee at least every two years. In view of the objectives of the staff appraisal, holding such meetings once a year is strongly recommended. Of course, the meetings can also be held at shorter intervals.

■ Confidentiality:

The staff appraisal is (as a rule) a one-on-one talk with one's immediate superior. The discussion and the minutes of the meeting must be treated with absolute confidentiality by both parties. Minutes may not be passed on in the event of a change of manager.

The minutes are neither part of the personnel file nor do they have legal consequences. A breach of the principle of confidentiality is an official offence.

■ Appreciative communication:

It is important that both interlocutors engage in **dialogue** and listen attentively to the other side. Therefore...

- let the other side finish his/her thought before speaking.
- ask questions to make sure you have understood the other side correctly.
- remain objective and calm, especially if you and the other side disagree.
- formulate criticism in an appreciative way, for example as a wish for your interlocutor.
- look for solutions together.

III. Framework conditions of the conversation

■ Preparation

For the meeting to be successful, it is essential that both sides are well-prepared for it. The appointment for the meeting should therefore be scheduled about two weeks, but at least one week, in advance.

Both sides should refer to the minutes of the last meeting and focus their preparation on any changes or innovations that have occurred since then.

■ Time and place

Sufficient time should be planned for the meeting itself. Normally, one should plan for about one hour.

The staff appraisal be conducted in an open, relaxed atmosphere. Therefore, avoid disturbances (telephone, e-mail, etc.) and ensure confidentiality (no other persons in the room!).

IV. Contents of the staff appraisal

The essential topics of the staff appraisal are as follows:

■ Work tasks of the employee, e.g.

- What are the focal points/tasks of the work?
- How are these developing? Have tasks been dropped? Are there new tasks?
- What are the employee's strengths and weaknesses in everyday work? What do they like or dislike doing?
- In what areas does the employee need more support?
- How good is the organization of the work processes? How could it be improved?
- ...

■ Working environment, e.g.

- How does the employee feel about the working conditions?
- How does cooperation within the team work (organization, substitution arrangements, information flow, etc.)?
- How is cooperation with other research groups/departments/units of the University of Bayreuth going?
- What is the condition of the work tools/equipment? Are they sufficient?
- Are there any particular stress factors in the workplace? (Questions regarding occupational safety, mental stress, noise, etc.).
- In the case of severely disabled persons, the special concerns with regard to the workplace, equipment, and working environment should also be addressed.
- ...

■ Cooperation and leadership ...

... with their own manager, e.g.

- Does the employee receive the necessary help and support from the manager?
- Are the specifications and information sufficient for the work?
- Is there sufficient feedback from the manager?
- Is the feedback/acknowledgement/criticism timely?
- Is criticism respectful?
- Is the employee sufficiently involved in important decisions?
- Is there room for improvement in the cooperation with the manager?

...

... with the team, e.g.

- Are there conflicts in the team?
- How are conflicts dealt with?
- Is there sufficient support from the manager?
- Is there room for improvement?

...

■ Perspectives for change and development, e.g.

- What are the employee's wishes with regard to professional development?
- What opportunities does the manager see with regard to the employee's professional development?
- Discuss short-term development perspectives (e.g. training and development needs) as well as those that are longer-term and bound to the framework of job-related possibilities (e.g. implementation wishes or plans, etc.).

Each of these areas can be composed of the following methodological elements:

■ Review and analysis:

These serve to take stock and jointly assess the current state of affairs.

■ Agreeing on targets (optional):

Based on review and analysis, goals for improvement can be agreed upon. Agreed goals should not only relate to the employee's specific work, but also to other areas (e.g. working environment, cooperation, etc.).

V. Documentation

During the meeting, a record of the contents and results of the meeting should be drawn up in agreement with both participants. Both parties shall receive a copy of the minutes, which will be kept confidential and protected from access by third parties. The minutes may not be passed on to third parties and will not be included in the personnel file.

If both parties agree, individual parts of the minutes (e.g. those relevant to training or professional development) can be passed on to other bodies (HR department, HR development) with their consent. These offices are also bound to absolute confidentiality.

Below you will find a template for the appraisal minutes to assist you.

Minutes of the Staff Appraisal

| | |
|---|--|
| Employee | |
| Office/ Designation | |
| Organizational unit and function | |
| Manager | |
| Date of the last conversation | |
| Period to which this conversation relates | |

Work tasks

Working environment

Cooperation and leadership

Work results and goals

Prospects for change and development

A separate statement will be made by the employee:

yes no

Signatures:

Copy: Staff

Date

Employee

Manager

Original:
Manager