



## Guidelines

### Employee Appraisal – Guidelines – Employee

*This English translation is provided for convenience purposes only. The original German text fully prevails.*

#### 1. Purpose of the Employee Appraisal and These Guidelines

The employee appraisal (EA) is an important basis for your professional development. The annual appraisal by your line manager enables you and them to assess the extent to which you are achieving both the organization's and your own professional goals through your performance and conduct. The EA also provides an opportunity to reflect on the cooperation with your line manager. As part of the EA, goals and the associated expectations of your work and behavior and, if required, specific development measures are agreed with you. The outcome of the EA also forms the basis for your employment reference letter, salary reviews, etc. In principle, you are entitled to one EA per year.

Prepare well. Use the opportunity to reflect on your own assessment of your performance and behavior during the appraisal period and then discuss it with your line manager. Your line manager is entitled and obliged to reach a differentiated assessment of you and may view your performance or conduct differently than you do yourself.

The following section contains instructions for using the EA form and provides an overview ("checklist") of the key points to consider in preparing for, implementing and doing follow-up work for the EA.

If you have any questions, your line manager and the HR Business Partner in the HR Department responsible for you will be happy to help.

#### 2. Content of the Form

##### a. Personal Details

The form can be used for the following appraisal types:

- Periodic EA
- Accompanying document, performance improvement period
- Accompanying document for issue of reprimand

##### b. Basis for Appraisal

Please use the upcoming EA as an opportunity to check whether your job description is still up to date. If you discover that the job description needs to be changed, talk about this in the EA and agree the next steps to be taken in this regard with your line manager. Please note that it is your current duties in the appraisal period that are relevant for the EA. If it is not possible to agree with your line manager on the content of the job description during the EA, please arrange a separate meeting with them to clarify this matter.

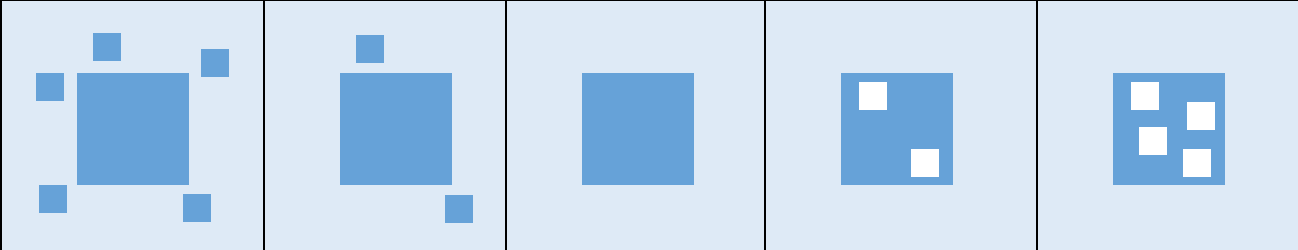
If your line manager has agreed additional assigned and expected duties for the appraisal period with you that go beyond the job description on the date indicated above, these will be documented in the box provided.

### c. Rating Scale

The rating scale is the cantonal scale in accordance with paras. 16–19 of the employment ordinance (PVO). It is applied consistently to both the individual criteria and the overall appraisal. However, the scores for individual criteria and the overall appraisal do not have to match precisely in mathematical terms; your line manager can give their own weighting to individual criteria.

The appraisal is drawn up personally for you and can only be compared with other employees' appraisals to a limited extent.

The following diagram may be used as a guide for the appraisal:

					
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Excellent	Very good	Good	Sufficient	Insufficient	

### d. Goal Attainment in Past Appraisal Period

The meeting begins with the evaluation of your goal attainment in the past appraisal period. This is also the time to talk from your perspective about the successes you have enjoyed in the appraisal period and what, if anything, did not go well.

### e. Criteria of Appraisal

The following sub-skills/qualities can be used when evaluating individual criteria (list not exhaustive):

Category	Criteria	Skills/qualities appraised	Sub-skills/qualities (optional)
Performance	Fulfillment of work duties	Specialist knowledge and methodology	In relation to current duties; newly acquired knowledge
		Practical implementation and problem solving	Focus on application; capacity for innovation
		Organization of (own) work and efficiency	Self-management, working techniques, effort/return on work performance
		Ability to follow statutory and UZH rules and instructions	Compliance with requirements; compliance with line manager's instructions
		Ability to work independently	Independent work; use of own scope for action; formation and advocacy of own opinion
		Leadership	Compliance with UZH leadership and management principles ( <a href="https://www.staff.uzh.ch/en/personal/uzh-leadership-and-management-principles.html">https://www.staff.uzh.ch/en/personal/uzh-leadership-and-management-principles.html</a> ); appraisal in all applicable contexts (leading yourself, leading others, leading and managing organizational units); emphasize individual leadership and management principles in the detailed appraisal if required; if applicable, also assess lateral leadership

Category	Criteria	Skills/qualities appraised	Sub-skills/qualities (optional)
	Accomplishments	Digital Skills	Efficient and security-conscious use of digital instruments/tools in different work environments
		Quality	Individual results and consistent work quality; in terms of teaching: research-based teaching, etc.; quality of teaching; long-term efficacy of results
		Quantity	Quantity of work, duties/projects completed; in terms of teaching: fulfillment of teaching obligations, etc.; additional efforts in relation to teaching performance
		Sustainability	The person contributes to sustainable development goals as part of their position ( <a href="http://www.sustainability.uzh.ch/en/policy-reporting/sustainability-policy">www.sustainability.uzh.ch/en/policy-reporting/sustainability-policy</a> ). They contribute new ideas and suggestions in this regard.
Behavior		Taking responsibility	In own field of duties; and beyond if applicable
		Communication	Expression, appearance, information management
		Integrity	E.g. reliability, loyalty, function as a role model
		Initiative and commitment	Contribution of new, thought-provoking input, identification of potential improvements, personal commitment to work, willingness to be involved in university committees or working groups, resilience
		Approach to new ways of working	Adaptability, ability to collaborate, thinking and acting systemically
		Cooperation/working together	Internally and externally
		Desire to learn	Openness towards new things, own continuing education, ability to accept criticism
		Diversity skills	Their personal behavior helps to ensure that the working atmosphere is characterized by appreciation and respect towards everyone

[The Guidelines on Career Discussions](#) provide information on specific individual aspects of the appraisal for **research activities**.

f. Goals for New Appraisal Period

As far as possible, your goals should be set according to the SMART principle. Under this principle, good goals should be:

- **S**pecific and challenging
- **M**easurable
- **A**tttractive and accepted
- **R**elevant and realistic
- **T**ime-related

Please make sure that you have understood each individual goal.

g. Overall Appraisal

Your line manager will briefly summarize their overall impression of your performance and behavior (in particular your strengths and areas with potential for improvement) in the comments section for the overall appraisal.

h. Development Plan

Targeted reflections on your further development should be one of the results of the employee appraisal. This can take place “on the job” (in your daily work) or “off the job” (in continuing education courses, etc.). When describing the development measure in question, your line manager will explain how it relates to your appraisal in terms of content: which specific areas with potential for improvement are to be rectified with which development measure? Please also emphasize your strengths and potential that make you deserving of promotion.

i. Employee Feedback

You should definitely take the opportunity to give feedback on the listed points, particularly on your perception of the quality of leadership. You can either give this feedback during the meeting and your line manager will write it down, or your line manager will give you the form to complete afterwards. Your line manager does not have to fulfill your wishes and expectations in terms of content, but they should be aware of them.

j. Signatures

With their signatures, the line manager and the employee confirm that they have discussed the appraisal and defined the goals. Your signature does not necessarily indicate your agreement with the line manager’s appraisal and the goals.

If you wish to have a meeting with the next higher line manager, it is your line manager’s responsibility to inform the next higher line manager of this and provide them with the appraisal form and any additional documentation. The next higher line manager will then organize the meeting, fill out the comments section of the appraisal form after the meeting and sign the form.

k. Third-Party Input

At your suggestion or that of your line manager, this section can be used to document feedback from third parties who have worked closely with you during the appraisal period, e.g. on a project. Your line manager must obtain this feedback at an early stage and in writing if possible. It must be clear to you and the third parties contacted that the feedback is being requested for the purpose of your employee appraisal and that it may be used in the appraisal along with the third parties’ names.

3. Checklist for Preparing and Holding the Appraisal

Here is a list of the key points that you should consider for the employee appraisal:

Annual EA cycle	Activity	Details	To bear in mind
Throughout	Reflect on your performance and conduct: what are your strengths and what can you improve? Which special achievements can you claim credit for? What are your wishes with regard to your development?	— The reasoning behind your self-assessment should be understandable, even weeks or months later	— An EA relates to a whole appraisal period (generally one year), and not just to the last few weeks before the appraisal — Proportionality, e.g. in the assessment of whether your achievements are “special” or

Annual EA cycle	Activity	Details	To bear in mind
			<p>simply to be expected of you on the basis of your job profile/function at UZH</p>
Ten months after the last EA	Arrange an appointment for an EA	<ul style="list-style-type: none"> <li>— Have you received an appointment for the next employee appraisal from your line manager?</li> </ul>	
One month before the EA	Preparation for meeting	<ul style="list-style-type: none"> <li>— Make notes on the following key questions in relation to your own work and conduct and the cooperation with your line manager: (a) What is going well and can stay as it is? What am I pleased about? (b) What is no longer or not yet going so well and should be improved? Who or what could contribute to an improvement?</li> <li>— Go through the EA form for yourself: how would you assess yourself from the perspective of your line manager?</li> <li>— Which examples would you give to back up your self-assessment?</li> <li>— Formulate core messages that you would like to get across</li> <li>— Suggest new goals and development measures</li> <li>— Anticipate possible reactions from your line manager</li> </ul>	<ul style="list-style-type: none"> <li>— Ensure that your self-assessments are realistic, try to be objective, and provide examples to illustrate them</li> </ul>
At the employee appraisal	Employee appraisal meeting	<ul style="list-style-type: none"> <li>— Go through the EA form completed by your line manager together during the meeting. Have the individual assessments and the associated key words explained to you. Ask for examples. Explain your self-</li> </ul>	<ul style="list-style-type: none"> <li>— Focus on dialogue: use your opportunity to talk to your line manager, ask questions</li> <li>— Critically assess yourself. Your line manager may view you differently than you view yourself.</li> <li>— Give clear feedback</li> </ul>

Annual EA cycle	Activity	Details	To bear in mind
		<ul style="list-style-type: none"> <li>assessment and give examples to back it up.</li> <li>– Define new goals and development measures</li> <li>– You can request a meeting with the next higher line manager to discuss this EA. Record your decision on the EA form.</li> <li>– Thank your line manager for the meeting (regardless of how it went!) and say goodbye</li> </ul>	<ul style="list-style-type: none"> <li>– Control your feelings</li> <li>– Complete the meeting if at all possible; do not interrupt or postpone it</li> </ul>
Afterwards	Follow-up to the EA	<ul style="list-style-type: none"> <li>– EA form (original for the personnel file, copies for you and your line manager)</li> </ul>	<p>Reflect on the meeting:</p> <ul style="list-style-type: none"> <li>– What can you take away from the meeting for yourself? How can you implement what has been asked of you?</li> <li>– Were you able to address your core messages and clearly formulate your own goals?</li> <li>– Possible improvements for next time?</li> </ul>
Half a year after the EA	(informal) interim meeting	<ul style="list-style-type: none"> <li>– Review of your situation:</li> <li>– How far have you got in terms of achieving your goals?</li> <li>– Have the agreed development measures been implemented?</li> <li>– Anything else?</li> </ul>	<ul style="list-style-type: none"> <li>– Inform your line manager early on if a defined goal is difficult for you to achieve or agreed development measures have not yet been implemented.</li> </ul>