

The Appraisal Interview

Preface

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Preface

Dear Colleagues,

Quite frequently one is confronted with the view “Why should an Assessment Interview be carried out at all – we talk with each other all the time anyway?” One does not exclude the other. Daily communication at the work place is vital for factual cooperation, just as much as frequent talks during breaks. Both however cannot be a substitute for the purpose of an Assessment Interview. For the successful conduction of an Appraisal Interview talking enough time for it (at least an hour) as well as choosing an appropriate, quiet location are vital.

The structured outline of enables both, the employee and the manager, to look back on past performance as well as to agree on future goals and tasks. Due to the written form those agreements become verifiable and binding, while at the same time remaining confidential because of the four-eyes principle. No content of the interview (except agreed-upon training measures) is passed on to third parties.

The Appraisal Interview demands for mutual willingness for dialogue, joint evaluation and analysis of agreed-upon goals and possible deviations. It enables the identification of potential areas for development together with appropriate training measures. The Appraisal Interview also facilitates the agreement on annual targets in regard to carrying out the necessary tasks of an organizational unit. Finally it also provides an opportunity to getting to know each other better.

Hence, the University of Innsbruck decided to keep and further optimize this leadership and development instrument, which is statutory in Public Work Law (§§ 45 and 45b DBG 1979) even after the full legal independence was established for universities in Austria. Details regarding the Appraisal Interview can be found on the following pages.

How does the Appraisal Interview work?

What is an Appraisal Interview?

Talks between employee and manager happen on an almost daily basis. The annual Appraisal Interview however offers the opportunity to systematically discuss the following content:

- Discuss work and performance of the past year – tasks, work conditions and cooperation
- Resolve problems and misunderstandings
- Mutually voice acknowledgement and critique in a factual matter
- Agree on measures to boost development and further education
- Mutually agree on long term goals and focus points

Hence, an Appraisal Interview is a **One-on-One interview** which:

- Takes place at least once a year
- Requires both parties to prepare for it
- Is semi-structured
- Is carried out by the employee and the direct supervisor using specific contents

How does the Appraisal Interview work?

Why carry out an Appraisal Interview?

From the manager's perspective

A manager's success depends on how well an employee can carry out his or her tasks. The Appraisal Interview enables the manager to fulfill his/her leadership role. The manager

- Agrees on goals with the employee therefore providing the employee with a direction to go to
- Facilitates important information regarding the University and/or the organizational unit
- Evaluates goals together with the employee and conducts causal research
- Receives information regarding himself, his employees and organizational unit (mutual exchange of expectations and desires)
- Assists and promotes his/her employees

From the employee's perspective

An employee's success and career depend on how well he/ she develops his/her skills and competencies, performance and job satisfaction as well as how well he/she prepares for possible future tasks and new requirements. The employee

- Receives, via the Appraisal Interview, a guideline on the basis of which criteria he/she will be evaluated.
- Receives feedback on his/her performance
- Receives information regarding the University and the organizational unit
- Can influence his/her area of work and set goals
- Can get information on possible paths for development, requirements and training and can also voice his/her wishes regarding training.

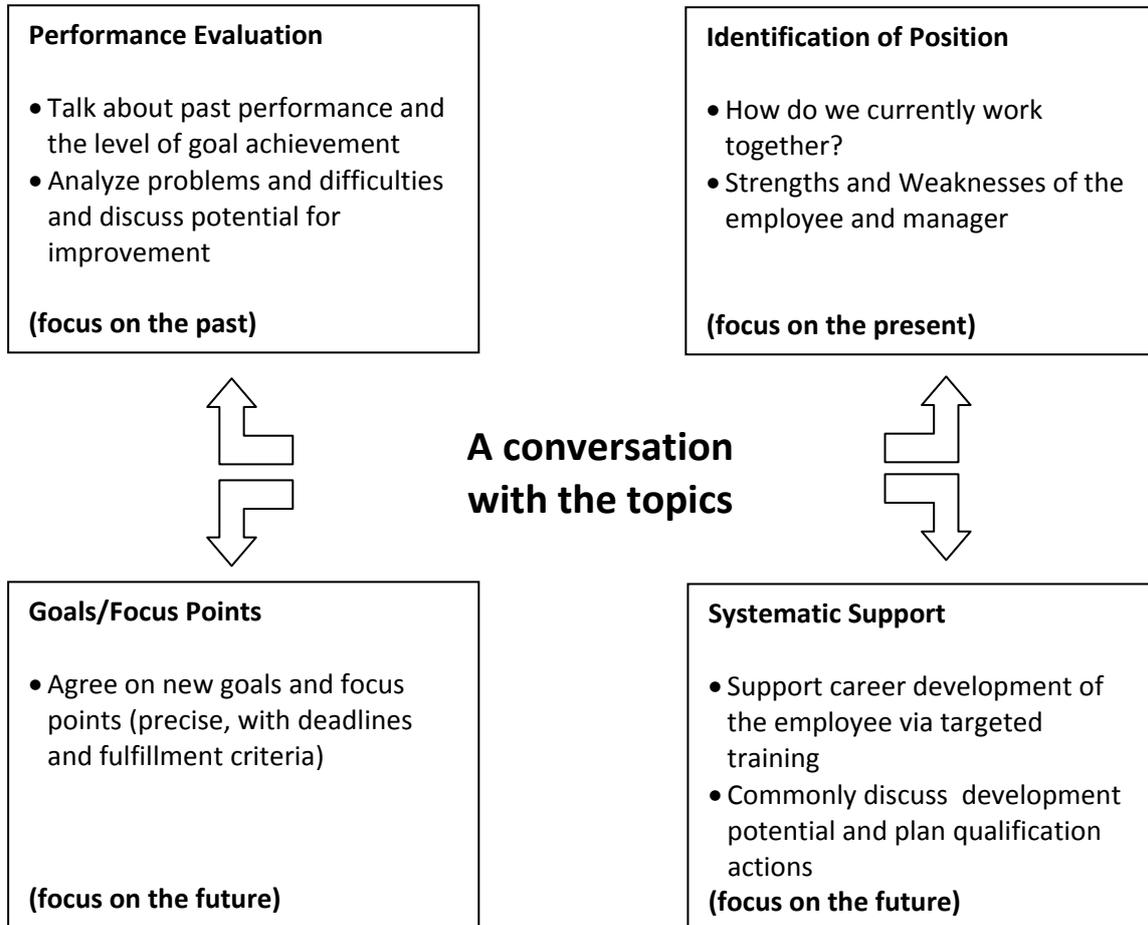
How does the Appraisal Interview work?

How does the Appraisal Interview work?

<p>The date for the interview should be agreed upon at least two weeks ahead. The interview takes place during work time. Schedule approx. one to two hours in a appropriate and quiet environment</p>		
<p>Manager and employee prepare for the interview independently.</p>		
<p>Employee and direct supervisor carry out the interview</p> <div style="text-align: center;"> </div>		
<p>Manager and employee commonly stipulate the agreement (Attachment Appraisal Interview – Agreements)</p>		
<p>*Agreements remain with the manager (confidential), a copy is given to the employee</p>	<p>Information, that the Appraisal Interview was carried out is entered in VIS</p>	<p>*Information regarding required training are sent to the Human Resource Development department</p>

* The required templates can be found at the end of this guideline

Preparing for the Appraisal



**Guidelines for preparing the Appraisal Interview between
direct supervisor and scientific staff**

Preparing for the Appraisal

Performance Evaluation and Review

Employee	Manager
<p>Which of the agreed upon goals were reached? Extent to which they were reached (teaching, research, administration)</p>	<p>Which measures were taken by the employee to reach those goals? Were they reached in a timely manner? See previous year's form "Agreements"</p>
<p>Which tasks were not performed, resp. not performed in a satisfactory manner? What do you consider being reasons for this?</p>	<p>Which tasks were not completed, or completed unsatisfactory? Where do you see opportunities or the need to improve the work environment? Can or should missed tasks be made up for? Would it make sense to delegate those tasks to a different employee?</p>
<p>What is the split of your workload between research, teaching and administration? Do you wish to change this split?</p>	<p>How can current work output be optimized?</p>
<p>How satisfied are you with the work results?</p> <p>In Research: Publications, projects, presentations, participation at scientific events, activity as reviewer, results of evaluations...</p> <p>In Teaching: Type and volume of teaching, development of concepts and performance appraisal, supervision of thesis and dissertations, development of learning aids, didactic training...</p> <p>In Administration: Nature and scope of administrative work for the organizational unit, coordination of congresses and trainings, activities in committees, involvement in shared tasks...</p>	<p>Are you satisfied with the employee's engagement, motivation and willingness to perform?</p> <p>In Research: Publications, projects, presentations, participation at scientific events, activity as reviewer, results of evaluations...</p> <p>In Teaching: Type and volume of teaching, development of concepts and performance appraisal, supervision of thesis and dissertations, development of learning aids, didactic training...</p> <p>In Administration: Nature and scope of administrative work for the organizational unit, coordination of congresses and trainings, activities in committees, involvement in shared tasks...</p>

Preparing for the Appraisal

Identification of Position and cooperation with the manager and colleagues

Employee	Manager
How satisfied are you in terms of cooperation with your manager?	How satisfied are you in terms of cooperation with your employee?
Which areas of cooperation are positive, which areas could be improved / changed?	Which areas of cooperation are positive, which areas could be improved / changed?
Do you receive enough information?	Is the flow of information satisfactory?
Are you able to pass on information which is important for your job to your manager?	Does the employee provide you with sufficient information regarding work delivered?
Do you get feedback for the work delivered? (Acknowledgement, constructive criticism)	Do you provide enough feedback regarding work delivered? Acknowledgement and constructive criticism
How satisfied are you in terms of cooperation with your co-workers? With the team work?	What is your appraisal in regard to cooperation of the employee with co-workers? ...the contributions to team work?

Preparing for the Appraisal

Focus Points, Goals, Tasks

Employee	Manager
Which specific goals of your organizational unit are particularly important for your area of work?	Which specific goals and deducted tasks of your organizational unit are particularly important for this department and area of work? What does the employee need to know?
Which focus points do you see for the coming year in the area of <ul style="list-style-type: none">• Research• Teaching• Administration Which suggestions do you have to make for your organizational unit (e.g. meetings...)?	Which focus points do you see for the employee in the coming year?
The agreements will be entered in the "Agreements" template and are signed by the employee and the manager. The employee receives a copy.	

Preparing for the Appraisal

Systematic Development / Perspectives

Employee	Manager
Do your work tasks reflect your interests, skills and abilities? Are there other qualifications you could contribute?	Does the qualification profile of the employee fit his/her area of work?
<p>How do you evaluate your career development so far?</p> <p>What do you expect from your future career development?</p> <p>Which options for continued employment can you imagine, after your contract expired?</p>	<p>How do you evaluate the delivered performance in light of the necessary qualification for a scientific career (dissertation, habilitation)</p> <p>Which goals for development do you see for the employee?</p> <p>Which options for continued employment do exist, after the contract expired? ...are there future projects?</p>
Which qualification and training measures are necessary in order to reach the set goals?	What is the qualification and training need that can be deducted from recent performance of the employee? (e.g. also scholarships)
How could you use the latest qualification measures?	How were completed qualification and training measures applied to work by the employee?
Which other general conditions are necessary in order to reach the development goals?	Which other general conditions are necessary in order to reach the development goals?
<p>The development and training needs will be entered in the "Information" template and this template needs to be sent to the Department for Human Resource Development.</p> <p>Please also consider the training possibilities of the Department for Human Resource Development.</p>	

**Appraisal Interview – Confidential Agreements,
Remains with the Manager, Copy will be given to the Employee**

Agreement between (Name, Function) _____ **and** _____
Manager Employee

Jointly developed on: _____ **Place** _____
Date Location

Goal What?	Strategies to Realize How?	Resources With?	Time Plan Until When?	Responsible Who?

Signature _____
Manager

Employee

Information will be forwarded to the Department for Human Resource Development

Together with the following employees a need for further development and training has been identified

Name	Development / Training Need

Date

Signature of the Manager and Stamp of the Organizational Unit