



Fact Sheet for Line Managers

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Checklist for Performance Appraisals

The annual performance appraisal is an important tool with which you as a line manager can evaluate your employees' performance and conduct and guide them in such a way that they achieve both the organization's goals and their own professional goals in the future.

The performance appraisal is also an opportunity to have a thorough discussion with your employees and review their current situation. You can use the result of the evaluation as a basis for deciding on development measures, how to deploy the person correctly, and salary increases. A well-documented performance appraisal form is also an essential document in the event of a legal dispute – for instance for initiating a dismissal or giving an unsatisfactory assessment in an employment reference letter, both of which should be backed up with a performance appraisal.

In a performance appraisal, you honor your employees' work, give them positive feedback, highlight opportunities for improvement, and define goals and development measures together. Your employees can also use the same meeting to give you feedback, for instance on working with you and your leadership. These discussions promote good cooperation and have a lasting effect. For that reason, the focus should be on engaging in genuine dialogue with your employees. It is also important that this dialogue does not contain any "surprises" and is mutually understandable on the basis of the feedback discussions that you have held with your employees throughout the evaluation period.

This checklist provides an overview of the key points to consider in preparing for, holding, and doing follow-up work for performance appraisals.

If you have any questions about the form, the specific procedure, or employment-law aspects of the performance appraisal, HR Consulting from the Human Resources department will be happy to help.

If you have little or no experience of holding performance appraisals, we recommend that you take the UZH course "Grundlagen der Mitarbeitendenbeurteilung" (Introduction to performance appraisals – in German) before your first performance appraisal cycle. If you would like to refresh your knowledge on certain topics, please have a look at the HR training courses that we offer.

We wish you every success with your performance appraisals!

Human Resources



Performance Appraisal Checklist for Line Managers:

| Annual performance appraisal cycle | Activity | Details | To bear in mind | Status |
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| Throughout | Note down or “collect” positive and negative relevant examples with regard to the employee’s performance and conduct | <ul style="list-style-type: none"> – Your evaluation should be understandable, even weeks or months later. Note down some examples for the individual assessments – These examples should also be raised and discussed | <ul style="list-style-type: none"> – A performance appraisal relates to a whole evaluation period (generally one year), and not just to the last few weeks before the appraisal – Data protection – Proportionality | |
| 10 months after the last performance appraisal | Arrange an appointment for a performance appraisal | <ul style="list-style-type: none"> – Refer employee to current performance appraisal form and the checklist which employees should use to prepare for the performance appraisal on the Staff website | | |
| One month before the performance appraisal | Preparation for meeting | <ul style="list-style-type: none"> – Room reservation (for approx. 1.5 hours) – Make notes on the following key questions in relation to the employee’s work and the cooperation with you as their line manager: (a) What is going well and can stay as it is? What can we be pleased about? | <ul style="list-style-type: none"> – Room selection: Quiet meeting room so that the meeting can be held with as few disturbances as possible. The room should be suitable for a one-on-one discussion and should <i>not</i> be your own office or the employee’s office | |



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| | | <p>(b) What is no longer or not yet going so well and should be improved? Who or what could contribute to an improvement? Which goals am I pursuing together with the employee?</p> <ul style="list-style-type: none"> - Complete the entire performance appraisal form before the meeting - Compile examples or documents to justify evaluations - Formulate core messages that you would like to get across - Anticipate possible reactions from the employee - If necessary, obtain input/advice from the HR department (you could also invite somebody from the HR department to attend if you expect the performance appraisal to be difficult, for instance because you will inform the employee that he/she is being put on probation) - Planning and if applicable provisional budgeting of development measures | <ul style="list-style-type: none"> - Calendar entry and room reservation with "Reserve" if the meeting will take longer than initially planned - Fill out evaluations with clear, easy-to-understand key words (collected examples) - Obtain qualified second opinions on performance and conduct (if you use these as input, please mark them as such) - The attributes can be weighted but such calculations are not mathematically precise - Perform an informal team comparison to calibrate your own evaluations - Do not give evaluations out of kindness or as a favor; try to ensure that they are objective and verifiable and provide examples to illustrate them - Potential probation period: If you plan to set a probation period during a performance appraisal due to inadequate performance or conduct, it is essential that you contact HR Consulting from the HR department beforehand! | |
| At the performance appraisal | Conducting the performance appraisal | <ul style="list-style-type: none"> - Present the completed form to the employee - Go through the form together at the meeting. Explain your individual and overall evaluations | <ul style="list-style-type: none"> - No (external) disturbances during the meeting - Offer a drink - Focus on dialogue: Encourage your employee to give their opinion | |



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| | | <ul style="list-style-type: none"> - Reach a joint (mutually acceptable) agreement on new goals and development measures - Sign the performance appraisal form together (= confirmation that the appraisal has taken place) - If the employee does not agree with the evaluation, he/she can document this on the form - Clarify and note down on the form whether the employee wishes to have a meeting with their line manager's line manager - Thank the employee for the meeting (regardless of how it went!) and say goodbye | <ul style="list-style-type: none"> - Clear feedback (praise and criticism); speak about possibilities for improvement in a clear way - Answer the employee's questions - Accept the employee's concerns - Be tolerant of different perspectives. Your employee may well view himself/herself differently than you do - Control your feelings - Complete the meeting if at all possible; do not interrupt or postpone it | |
| Afterwards | Follow-up to the PA | <ul style="list-style-type: none"> - Performance appraisal form (original for the personnel file, copies for the employee and you) - If necessary, copy/report on the performance appraisals conducted to your own line manager | <ul style="list-style-type: none"> - Reflect on the meeting: Did I address the core messages, clearly formulate the goals, motivate the employee, and maintain control over the discussion? Possible improvements for next time? | |
| By 31 March at the latest | Input for salary reviews with effect from 1 April | <ul style="list-style-type: none"> - In formal terms, employees must at least receive an evaluation of "good" for a salary increase to even be possible - Other options according to the annual information letter from the HR department | <ul style="list-style-type: none"> - No individual salary increase without a valid performance appraisal: it cannot be more than one year old, i.e. it must have taken place between January of the previous year and March of the current year - The deadline for submitting the decision for the salary review is 31 March | |



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| Half a year after the performance appraisal | (Informal) interim meeting | <ul style="list-style-type: none">- Review of employee's current situation:- How far have they got in terms of achieving their goals?- Have the development measures been implemented?- Anything else? | <ul style="list-style-type: none">- Document in writing if possible (for yourself and the employee), particularly if the outcome of the review is not positive and improvements are required over the remainder of the evaluation period | |
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