

Conduct of annual staff reviews
at the
Philipps-Universität Marburg

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Further information and all documents in the internet under
www.uni-marburg.de/jg.

An die Vorgesetzten und ihre Mitarbeiterinnen und Mitarbeiter der Philipps-Universität

Sehr geehrte Damen und Herren,

eine aktive und motivierende Mitarbeiterführung ist ein essentieller Baustein für eine vertrauensvolle Zusammenarbeit in allen Bereichen unserer Universität. Ein wichtiges Instrument sind in diesem Zusammenhang Jahresgespräche, die 2010 auf Beschluss des Präsidiums an der Philipps-Universität angestoßen und mittlerweile in allen Organisationsbereichen eingeführt wurden. Wir sind davon überzeugt, dass die gemeinsame Arbeit aller Beschäftigten davon profitieren wird, wenn regelmäßig die Arbeitssituation reflektiert, Probleme in der Zusammenarbeit angesprochen und auch Möglichkeiten der persönlichen und beruflichen Weiterentwicklung zwischen Vorgesetzten und Mitarbeiter/inne/n erörtert werden.

Die Erfahrungen mit diesem Instrument, die wir über die letzten sechs Jahre sammeln konnten, sind ermutigend. Wo Jahresgespräche geführt werden, werden sie von den Beteiligten ganz überwiegend als hilfreich und förderlich wahrgenommen. Viele Teilnehmer/innen berichten, dass in den Gesprächen wichtige Aspekte der gemeinsamen Arbeit konstruktiv und wertschätzend thematisiert werden, die oft im Arbeitsalltag nicht zur Sprache kommen – insbesondere auch da, wo ein gutes Verhältnis und regelmäßige Besprechungen zwischen Vorgesetzten und Mitarbeiter/innen den Arbeitsalltag kennzeichnen. Deutlich ist allerdings auch, dass sich die Gesprächsteilnehmer/innen angemessen auf die Jahresgespräche vorbereiten müssen, um zu einem offenen und konstruktiven Dialog zu kommen. Dafür bedarf es der Unterstützung. Der vorliegende Leitfaden „Jahresgespräche“ ist als eine solche Unterstützung gedacht. Er soll Ihnen Wegweiser und Anleitung bei der Vorbereitung und der Durchführung Ihrer Jahresgespräche sein. Er ergänzt die Workshops für Vorgesetzte, für Personen in Sandwichpositionen und für Mitarbeiterinnen und Mitarbeiter zur Vorbereitung auf die Jahresgespräche, die inzwischen zum kontinuierlichen Fortbildungsangebot der Universität gehören. Unser Dank gilt der Arbeitsgruppe, die die Einführung der Jahresgespräche mit großem Engagement begleitet und diese Broschüre erarbeitet hat, und die sich mittlerweile mit großem Engagement dafür einsetzt, dass die Jahresgespräche ein fest installiertes Instrument der Führung und Kommunikation werden.

Wir hoffen, dass in Zukunft noch stärker als bisher Jahresgespräche praktiziert und zu einem selbstverständlichen Teil der Arbeitskultur in der Philipps-Universität werden. Nutzen Sie die Jahresgespräche als Chance, um eine zufriedenstellende und erfolgreiche Zusammenarbeit zwischen Mitarbeiterinnen und Mitarbeitern und Vorgesetzten zu fördern.



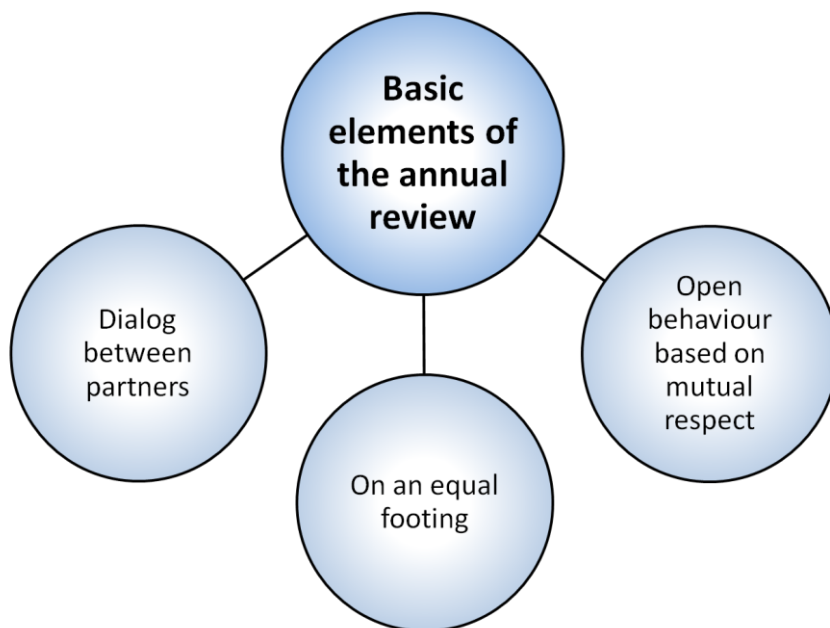
Prof. Dr. Katharina Krause
- Präsidentin -



Dr. Friedhelm Nonne
- Kanzler -

Guidelines to conducting annual reviews at the Philipps-Universität Marburg

What is an annual review?



The annual review is considered an important tool of personnel management. Employees and their direct superiors enter into a **cooperative dialog**. In this review the participants take annual stock of their cooperation and discuss opportunities of improving work and of further employee advancement. The meeting takes place in undisturbed surroundings without time pressure and goes beyond the routine of everyday communication. This is especially ensured by the mandatory detailed preparation of both partners. In this situation employees can express career wishes, and superiors then have the possibility to support these. Annual reviews are **not** appraisals (see p. 3).

definition

Annual reviews are conducted on an equal footing. This kind of dialog between partners encourages open behavior based on mutual respect. This should be emphasized by the involved parties taking each other serious, listening to and attempting to understand one another. The conversation should remain objective, and it is essential not to become personal. Statements touching on the partner's self-esteem should be avoided.

dialog among partners

Employees are invited to a review once a year. The two parties can, however, also agree to suspend the review for a year if no necessity to talk has arisen since the last one. In the following year the review must be conducted again. Such a voluntary abandonment must be noted on the conformation form.

annual invitation

If doctoral candidates have entered into a mentoring agreement and if supervision sessions which cover the contents of an annual review are conducted regularly, an additional annual review may

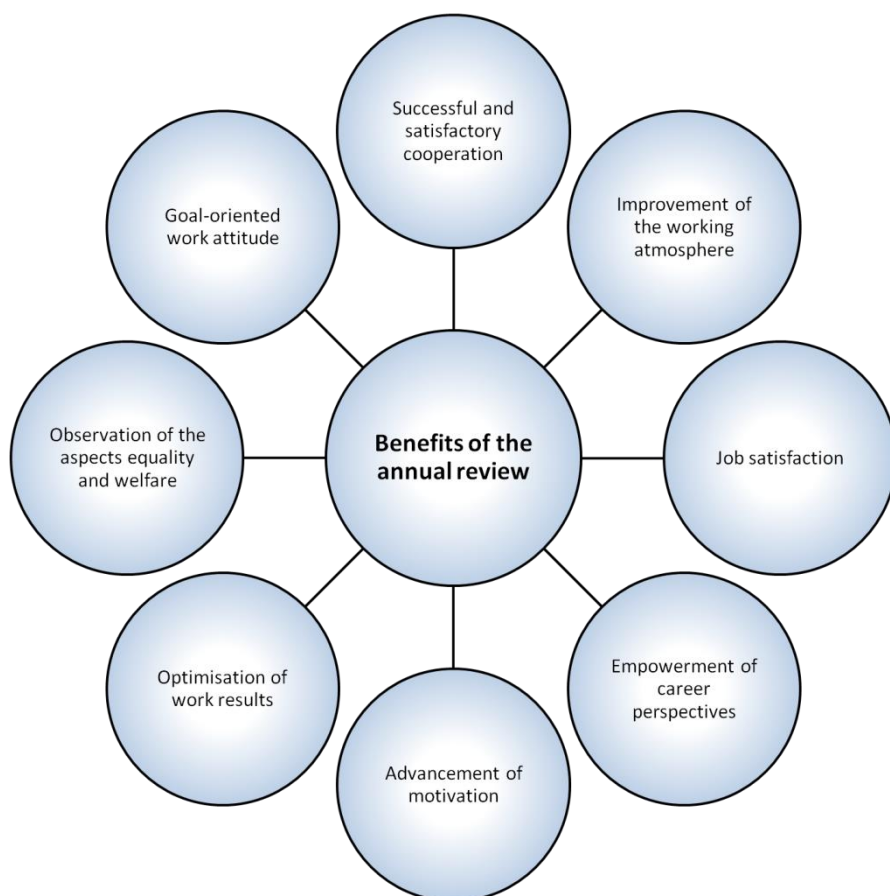
doctoral candidates

not be necessary. This voluntary abandonment must be noted on the conformation form.

The annual reviews are conducted from January 1 through September 30. This extensive time frame is aimed at facilitating the scheduling of appointments. Should exceptional circumstances (e. g., a lasting medical condition, parental leave, sabbatical) make it impossible to conduct a review during the designated time, the partners may prefer to postpone the appointment by some weeks into the last quarter of the year instead of cancelling it.

conduction time

What are the benefits of annual reviews?



Dialogs between employees and superiors are prerequisite and basis for a successful and satisfactory cooperation. While speaking to each other, misunderstandings and difficulties in cooperation can be articulated and settled. Besides other conversations held at random or topical occasions, an annual review – as an instrument of personnel management and development – improves the information infrastructure and the culture of communication within the university.

cooperation

By investing more time and commitment into the dialog with their staff, superiors create improved transparency and foster motivation. Employees feel appreciated, better integrated and receive more possibilities for active participation in the setting of job objectives and of working conditions.

transparency and motivation

In the annual review it is possible to confidentially discuss aspects of the compatibility of career and family as well as issues regarding gender equality. Furthermore superiors must bear in mind their special responsibility to meet legal requirements of support and protection to grant people with disabilities equal participation.

work and family,
gender equality and
welfare

The annual review provides an opportunity to optimize the working atmosphere and thus the fulfillment of tasks by means of a structured and intensive interview.

working
atmosphere

Superiors can give employees an understanding of their interpretation of tasks and work objectives in a matter-of-fact way. Employees have the opportunity to state their point of view regarding the discussed topics. In this way each party obtains an insight into the other's perspective and will direct work behavior more intensely towards goals, rules and agreements. Mutual understanding can avoid or resolve misunderstandings and set free creative ideas.

work behavior

The annual review contributes to maintaining und advancing job satisfaction, the backbone motivation and commitment. However, various factors can additionally have a supportive effect on preserving job satisfaction.

job satisfaction

An annual review can contribute to actively accelerating the employee's professional progression. Possibly unnoticed potentials are made accessible and strong points are utilized and encouraged. Career perspectives are designed and synchronized.

career prospects

How does the annual review differ from other kinds of dialog?

The usual dialog between superior and employee takes place within the daily work routine. Here, individual work instructions are given which naturally cannot be part of the annual review. Ideally, important issues of cooperation are discussed in regular meetings of the team/dean's office/department/ subject or task group, etc. The annual review has a function of its own which makes it stand out from other kinds of dialog, such as

other dialogs

- **situation-related dialogs**, in which individual work procedures of day-to-day business are discussed,
- **appraisal interviews**, in which superiors unilaterally take stock and assess the performance and skills of employees,
- **dialogs focused on outcome**, aimed at task-oriented goal planning or problem solving,
- **conflict management meetings**, which are geared towards working on and/or solving a conflict. Special training courses are offered regarding conversation techniques. Please also pay attention to the works agreement „Konfliktlösung und Schutz der Mitarbeiterinnen und Mitarbeiter gegen Mobbing am Arbeitsplatz“

What is the procedure for annual reviews?



In a first step both partners have the opportunity to take stock of the period of time in focus.

outlook

In the following the partners jointly develop amendment wishes and can also agree on individual goals. It should be possible to put these into practice within a reasonable time frame.

When looking back and into the future, the attention should focus on the job situation, conduct and cooperation as well as wishes and possibilities regarding the employee's career prospects.

contents

When discussing the job situation, the partners speak about the employee's work tasks, the atmosphere in the working environment, the working conditions and the compatibility with family duties. Employees can also raise personal issues. Moreover, they have the opportunity to address conflicts in their specific working area.

working conditions



working hours, job security and function, equipment, work assignments and disturbances, responsibility, setting of time standards, etc.

appreciation of the individual, communication, mode of interaction, mobbing, discriminatory experience, etc.

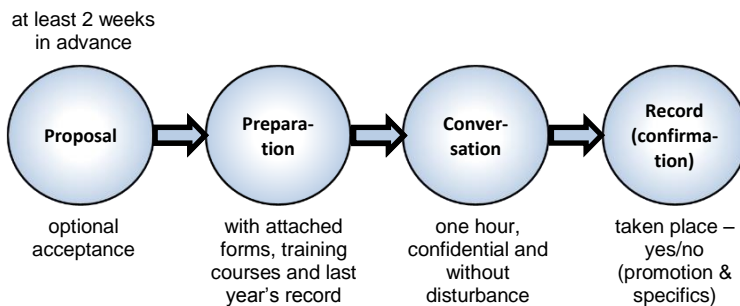
Both participants have the opportunity to give each other feedback regarding conduct and cooperation, possibly resulting in the suggestion of improvements for the future.

conduct and cooperation

Important topics are attended and prospective measures of further education and training as well as possible changes in the employee's area of responsibility. Here, qualifications, preferences, potentials for development and realistic career perspectives should be taken into account appropriately. Women should be given priority in areas where they are underrepresented. Moreover, part-time employees who have reduced working hours due to family requirements must not be placed at a disadvantage. Due to their special impairment, disabled employees receive additional support regarding their professional advancement.

promotion

What must be considered when organizing an annual review?



The direct superior is obliged to offer an annual review to each employee. For further information please turn to the FAQs (www.uni-marburg.de/jg). The employee can decline the proposal without giving reasons. This should not result in disadvantages.

proposal

Please allow for at least one hour.

timing

The superior should invite the employee at least two weeks in advance. Please make sure that a room is chosen in which disturbances and interruptions will not occur.

general set-up

Informative meetings, in-depth seminars and the preparation form for superiors and employees will make you ready for the event. If you have already participated in an annual review, you should refer to the records of the previous year. Please also pay attention to respective seminars offered (www.uni-marburg.de/personalentwicklung).

preparation

As a matter of principle, the conversation is conducted in private. The contents discussed must be treated as absolutely confidential. **If the employee wishes to do so**, an additional person can be invited (e.g., staff council, women's representative, representative of the disabled). Should the superior wish to bring in a further participant, the employee must give his or her consent in advance.

confidentiality

The dialog's agreed results (e. g., fixed individual goals and the necessary supportive measures) will be written down on the report form as short minutes and signed by both partners. Contents must only be known to the superior and the employee. **The report form stays with the superior until the next review and is not passed on to third parties.** The employee receives a photocopy directly after the meeting.

records

An acknowledgement that the review has taken place will be sent to the Personnel Department on a **confirmation form** (address: Präsidentin der Philipps-Universität Marburg, Dezernat II B 5.2, Biegenstraße 10, **h i e r**).

documentation

At the employee's request, measures for personnel progress (e.g., wishes for further training) can be recorded on the confirmation form

personnel progress

The annual reviews are evaluated on the basis of the notes on the confirmation forms and possibly of an anonymous online survey. The evaluation results are published in the intranet. (www.uni-marburg.de/jg)

evaluation

Who can provide advice and support?

For frequently asked questions please refer to the [FAQ list](#). You will find this as well as more details and contact information in the Internet under www.uni-marburg.de/jg. For questions, wishes and proposals you are also welcome to turn to the following project group members (in alphabetical order of last names):

contacts

first name, last name	telephone, e-mail
Mr. Manfred Hofmann Personnel Department	☎ 06421 28-26076 hofmann@verwaltung.uni-marburg.de
Dr. Ute Noack Department for Staff Development	☎ 06421 28-26073 ute.noack@uni-marburg.de
Dr. Peter Müller Staff Council	☎ 06421 28-26292 peter.mueller@verwaltung.uni-marburg.de
Ms. Cornelia Pietzsch Representative for the Disabled	☎ 06421 28-25993 pietzsch@verwaltung.uni-marburg.de
Dr. Nina Schumacher Women's Representative	☎ 06421 28-26189 nina.schumacher@verwaltung.uni-marburg.de
Ms. Heike Stock Personnel Department	☎ 06421 28-26122 heike.stock@uni-marburg.de

Preparation form for the annual review

This form's only purpose is the personal preparation of the upcoming annual review. It attempts to provide impulses and does of course not have to be applied in full. You can also add what you think important.

The review is due on: _____

Employee (last name, first name): _____

Superior (last name, first name): _____

Further participants: _____

Please recall the past working period again und take stock. If possible, consult the records of the last annual review.

The contents of the meeting refer to the topics job situation, conduct and cooperation as well as promotion. The following questions are designed as an orientation aid and should be answered from the perspective of both the superior and the employee.

Please also pay attention to the advice the guidelines provide.

Questions expecting spontaneous answers

Questions regarding the job situation

- Which goals and main areas of work do you perceive at the moment? (description by the superior and by the employee, consensus? discrepancies?)
- Does the superior give the employee sufficient information regarding work objectives as well as regarding the kind and extent of jobs? Is there appropriate feedback from the superior, e.g., praise, support? Is the context of super-ordinate goals conveyed in a comprehensible way? With which tasks are the partners especially satisfied, with which especially dissatisfied?
- Do you feel a work over- or underload?
- Do the areas of duties and responsibilities correspond?
- How is the job situation experienced regarding space? Are there concrete ideas for improvement?
- Does the technical equipment (IT, telecommunications etc. as well as furniture) meet the requirements? Are there shortfalls?
- Is the job situation family-orientated as far as possible within the work context? Are there immediate improvement opportunities? Is the frame for part-time work appropriate?
- Which tasks has the superior assigned to the department's employees in the regarding period of time?

- Who received the more demanding tasks and thus the opportunity to develop their potential?
- Can the employee manage within his/her regular working hours?
- Which importance does the readiness to work overtime have in the department?
- What position do employees have who frequently work additional hours?
- What commitment does the superior expect from part-time employees?
- Does the limited availability of the employee annoy the superior?
- Are there family-related and/or other personal reasons and pressures which can influence work?
- Are the effects of not occupied leading positions dealt with satisfactorily?
-
-

Catalog of questions regarding guidance and cooperation:

- What aspects of cooperation work well? (employee/ superior; employee/team)
- How is the working atmosphere experienced in general?
- Is there sufficient and regular mutual information?
- Does the conduct towards one another show interest, appreciation and respect? (Managerial behavior? Cooperation? With superiors, with employees, with colleagues?)
- Which behavior empowers or creates insecurity, pleases or annoys?
- With whom in the department does the superior talk more frequently and longer?
- Who does the superior discuss more difficult tasks with?
- Are there topics that the superior tends to discuss rather with female or rather with male employees?
- Are there conflicts?
- Does the superior react differently to a conflict with a female or male a employee?
- Does the superior make appointments for meetings in a way which enables part-time employees to actively participate in the team?
-
-

Catalog of questions regarding promotion:

- Which of the employee's strengths and potentials shall be supported in the long term? (professional, personal, social competencies)
- Where and how is information available for individual further education and training, relevant to the working tasks? Are respective initiatives supported appropriately and is the acquired knowledge passed on?
- Which supportive measures are proposed regarding the present and future workplace requirements? (professional, personal, social competencies) What is the aim of the supportive measure? Who takes the initiative? By when should the measure be started resp. completed?
- What can be done to make work more motivating in general?
- Is there a necessity or wish to change to a different workplace? Which?
- Where could there be shortcomings regarding support of professional advancement?
- What can the employee contribute or what have they already done on their own to obtain further training?
- What are the personal career objectives and propositions? Do realistic opportunities exist for promotion/qualification?
- Do all members of the department have equal training opportunities? (full-time employees, employees with family duties, part-time staff)

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Report form for the annual review

Confidential!

The report form stays with the partners until the next review and will not be passed on to third parties.

A copy is handed out to the employee directly after the meeting.

The dialog partners sign the form in mutual agreement.

Date of review: _____

Participants: _____ superior _____ employee

Further participants (if applicable): _____ name and function _____ name and function

The following topic areas were discussed, wishes for changes or individual goals were agreed on as follows (if applicable):

Job situation:

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.....

Conduct and cooperation:

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.....

Promotion:

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.....
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.....

Other comments:

.....
.....
.....
.....

signature of superior

signature of employee

Vertrauliche Personalsache

An die
Präsidentin der
Philipps-Universität
- Dezernat II B 5.2 -
Biegenstraße 10

Confirmation form
Please fill in the personal details on your PC, then print and add the review details, sign and send to the Personnel Department.

h i e r

Confirmation of the conduct of an annual review

Department/Institution/Deanery _____

The planned annual review between

the participants

_____ name of superior _____ name of employee

further participants (if applicable)

_____ name and function _____ name and function

took place on _____ (date). Measures for personnel progress identified by both parties:

Desired further training ¹⁾ or other measure of development <small>topic/contents (if applicable, add an additional sheet or enclosures)</small>

The employee requests a counselling interview with the Personnel Department.

was declined by the employee on _____ (date).
A rejection will not lead to disadvantages.

Last year an annual review took place on _____ (date). Both parties agreed to suspend the review for a year as no necessity to talk has arisen in the meantime.

Doctoral candidate: Regular supervision sessions held in the scope of a mentoring agreement cover the contents of annual reviews.

Marburg, _____ (date)

signature superior

signature employee

¹ www.uni-marburg.de/personal/informationen_personalabteilung/service-der-personalabteilung/aktuelles/indexfortbildung
Philipps-Universität Marburg – Conduct of annual staff reviews

Overview Conduct of Annual Reviews

This overview cannot replace reading the detailed guidelines.

Preparation		Remarks
1	Participation in an informative meeting and an in-depth seminar	Recommendation for the preparation of the first annual review
2	Offer and time proposal for an annual review, made by the superior (S) to the employee (E)	At least two weeks before the planned appointment
3	Preparation of the review with the help of <ul style="list-style-type: none"> • the guidelines • the questions of the preparation form • the list of FAQs • the report form of the last annual review • the personnel department's information pages on further training 	These recommendations apply for both (S) and (E).
Conduct of the annual review		Remarks
1	Meeting of the partners in undisturbed surroundings with a planned duration of at least one hour (without interruption). As a matter of principle, the conversation is private. Contents must be treated as absolutely confidential .	Upon the employee's wish a further person can be present (e.g., staff council, women's representative, representative of the disabled). Should the superior wish to bring in an additional participant, the employee must give their consent in advance.
2	Possible procedure: Taking stock – outlook – job situation – guidance and cooperation – promotion/ personnel progress	Detailed information in the guidelines
3	Recording of the annual review's results by means of the supplied report form; completion of the confirmation sheet. Signature of the forms by both partners	Model forms to print out under http://www.uni-marburg.de/jg
4	Subsequent handing over of the record form's copy to the employee	The master record form stays with the superior, the employee receives the copy. This document must not be forwarded to the Personnel Department with the confirmation sheet nor passed on to third parties!
Follow-up		Remarks
1	Forwarding of the documentation sheet to the Personnel Department, possibly several at a time and promptly	Model forms to print out under http://www.uni-marburg.de/jg
2	If needed: Participation in the evaluation	The respective invitation will be sent by e-mail.