

## Guideline by the Vice Rector for Human Resources and Gender on carrying out appraisal interviews at Technische Universität Wien

### Preamble

This guideline is intended to provide practical instructions for the preparation, content and implementation of appraisal interviews. The findings acquired in the context of the project “Evaluation and re-launch of the management tool of appraisal interviews” with regard to the requirements at TU Wien shall be taken into account accordingly.

Appraisal interviews (abbreviated in the following to “MAG”) at TU Wien are a planned, structured communication tool used at regular intervals between the staff member and his/her immediate superior. Appraisal interviews are intended to promote open conduct based on mutual respect in partner-like dialogue, whereby MAGs differ substantially from everyday discussions and may not, under any circumstances, be seen as a tool for punishment or disciplinary action.

In particular, MAGs

- provide an opportunity to discuss topics in a confidential setting that are not able to be discussed in everyday working life;
- serve to secure and further develop job satisfaction;
- serve to activate personal resources, and
- serve to take stock of previous work objectives and results and their further development.

All superiors shall be jointly responsible for sustainable implementation and a sustainable effect of MAGs. In this context, superiors at the highest level shall function, in particular, as role models, thereby ensuring the acceptance of MAGs.

### 1. Legal basis

The legal basis shall be

- § 45a Public Service Act 1979 (BDG);
- § 5 Contractual Employees Act (VBG) with reference to § 45a BDG, and
- § 9 para. 4 Collective Agreement for Employees of Universities (Univ-KV).

### 2. Scope

Employees of TU Wien in a valid employment relationship comprising at least 10 working hours and with a term of more than 1 year shall be entitled to MAGs. Employees who do not fulfil these criteria may also, of course, be offered MAGs.

### **3. Definitions**

#### **3.1. Immediate superior**

MAGs are managerial tasks. The reviews shall take place between the employee and his/her immediate superior.

Superior roles shall be derived from the internal structure of TU Wien.

#### **3.2. Teams**

Teamwork is a structured, targeted cooperation between individuals.

#### **3.3. Closed meetings/team meetings**

These formats are intended to ensure an exchange at the collective level and to complement MAGs. In particular, they shall include preparatory closed meetings to define the objectives of the area and an allocation of duties as well as concluding team meetings, at which non-confidential results that are relevant for the team are announced.

Closed meetings shall be held in a neutral atmosphere and at a neutral location.

### **4. Implementing MAGs**

#### **4.1. Preparing the appraisal interviews**

##### Offered by superiors

MAGs must be offered once a year by superiors. Employees shall be at liberty to accept this offer. They may decline MAGs if the topics scheduled for the MAG have already been discussed sufficiently in another form and any agreements made have been documented in a comprehensible manner. If the employee declines the appraisal interview, this shall be confirmed accordingly on the report form.

##### Making an appointment and preparation

If an employee accepts the offer of an MAG, an appointment shall be made for the appraisal interview and both the superior and employee concerned shall prepare for the appraisal interview.

#### **4.2. Formal conditions for the appraisal interviews**

##### Confidentiality

The annual reviews shall generally be private discussions. On request, an individual representative of interests of TU Wien may be consulted. This shall, however, be announced in advance.

The content of MAGs and the resulting written agreements (results logs) shall remain exclusively with the review partners. If information must be passed on for the implementation (e.g. if there is a need for human resources development), an agreement shall be reached in the review regarding the extent of this information to be passed on by whom and to whom.

##### Logs/documentation

The key aspects shall be set down in writing in a results log. Both review partners shall receive a copy of the results log, which shall be kept confidential and used as a basis for the next appraisal interview.

Finally, confirmation that the appraisal interview has been carried out shall be provided on the report form.

#### **4.3. Content of the appraisal interview**

In terms of content, MAGs shall include the following topics, in particular:

- the work objectives of the area, from which the specific tasks to be assumed by the superior shall be derived;

- cooperation and management;
- personal work objectives and development goals, and
- professional development.

## 5. Follow-up work for the appraisal interviews

### Content-related follow-up work

Closed meetings/team meetings following MAGs shall provide information on non-confidential content that is relevant for the team.

### Formal follow-up work

After the annual appraisal interview session has been concluded, the following documents shall be sent to HR Development and corporate Health:

- information on training needs and feedback on training completed, and
- a report form from each manager documenting the implementation.

## 6. Monitoring and quality assurance

The following measures serve to ensure employees' entitlement to an MAG and the quality of the process:

1. The obligation of superiors to offer the appraisal interview is integrated into all target agreements or into the respective working and personal development objectives.
2. Annual reports on the number of MAGs offered and actually carried out using a report form from each senior staff member, the complete set of which shall be sent by the director of the organisational unit to HR Development and Occupational Health Promotion.
3. Annual evaluation of the relationship between the MAGs offered and/or those actually carried out and renunciation by non-senior staff members for every level/area by HR Development and Occupational Health Promotion
4. The report on the annual evaluation shall be forwarded to the responsible member of the Rector's Office. If there are predominantly reports of renunciations in individual areas over a long period, the responsible member of the Rector's Office may consult the occupational psychologist. In anonymous individual discussions with the superiors, the occupational psychologist shall provide advice on the meaning and purpose of MAGs or evaluate whether the topics scheduled for the MAG have already been discussed sufficiently in another form or whether any agreements made have been documented sufficiently.
5. The evaluation report shall be sent to the responsible member of the Rector's Office by the occupational psychologist, together with recommendations for appropriate measures, if necessary.
6. The responsible member of the Rector's Office may take appropriate measures.

## 7. Support and services

On the website of HR Development and corporate Health, the following documents are available in German and English and are recommended for the preparation, implementation and documentation of MAGs:

- the guideline + explanations and FAQs, and
- accompanying materials:
  - list of questions for preparing both employees and superiors;
  - form to keep records of the results, and
  - report form.

To support superiors and employees in implementing MAGs, HR Development and corporate Health offers the following services:

- seminars/training courses for superiors and employees;
- advice for superiors and employees;
- an annual reminder for superiors and employees, and
- presentation at team meetings/closed meetings as preparation or follow-up work for MAGs.

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