

Goal and assessment process

Guidelines for supervisors

Guidelines

Supervisors should define clear, fair development goals and measures with their employees, if employees fail to achieve the goals set out in the annual appraisal interview.

Ordinary goal and assessment process

In the annual appraisal interview, supervisors and employees discuss whether and to what extent the employee has achieved the defined goals, and how the behavioural goals were implemented (achievement of goals/performance). If the employee has not been able to achieve their goals, the supervisor (S) and the employee (EM) will together define clear, fair development goals and measures that enable the employee to perform well in the period to follow. The HR Partner can be involved in discussions.

Guidance on the appraisal interview →

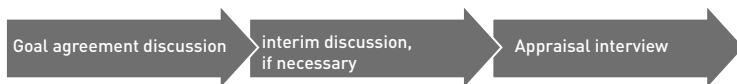


Figure 1: Ordinary goal and assessment process

Extraordinary goal and assessment process

In the event of clearly unsatisfactory performance or grave misconduct, an extraordinary goal and assessment process is put into place. The following roles are assigned throughout the entire process (see Figure 2):

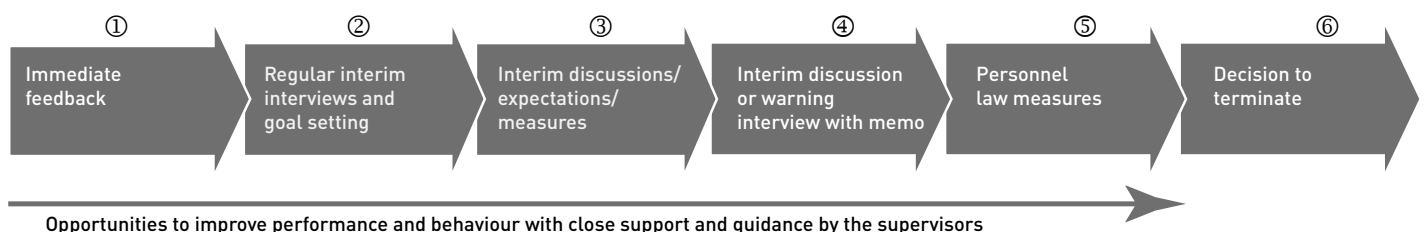


Figure 2: Extraordinary goal and assessment process

- Supervisor: **managerial responsibility**; support and guidance of the employee in their development, documentation of misconduct (in particular, background and circumstances, as well as expectations/goals/framework conditions)
- HR Partner: **process responsibility**; ensuring objectivity, coordination with Legal Services and/or any other required specialist units, consultation with line management and the employee

1. Immediate feedback

Use notes, observations and findings to support your assessment. Communicate unsatisfactory performance and misconduct promptly, clearly and with concrete examples. Be direct and respectful during the interview. Explain your expectations in detail and define metrics for evaluation.

2. Regular interim interviews and goal setting

Plan regular interviews (weekly, monthly, etc.) and indicate to the employee where they stand. Include this feedback in your normal annual appraisal interview if it is pending. Ensure that the employee acknowledges and understands your expectations. This might include answers to the following questions:

- What has gone well?
- What conduct/performance clearly needs improvement (concrete examples)?

- What are the underlying causes (lack of motivation, personal or health problems, lack of knowledge, work burden too high/too low, change in requirements)?
- Does the employee need support, and if so, what (coaching, training, etc.)?
- What measures are required?
- When will the next interim discussion take place?

enacted by the Vice-Presidency for Personnel Development and Leadership.

A discussion protocol (i.e. taking notes) is recommended to ensure that both parties have the same understanding.

3. Interim discussions/expectations/measures

If the performance and/or behaviour does not improve to the desired extent, or at all, we recommend that you record the next interim discussion in writing in the form of a memo. Consult your HR Partner in advance on the procedure and the content. Inform the employee on how the **memo** will be distributed (in the personnel file, as an appendix to the appraisal interview, to inform the HR Partner, etc.). Inform the employee about further steps and possible consequences should the situation fail to improve (e.g. a warning) and adhere to them consistently.

4. Interim discussion or warning interview with memo

If, despite interviews and support measures, positive development is not forthcoming, plan the next steps with the HR Partner. There may be another interim discussion, or the warning may be issued immediately. From this stage, the HR Partner takes part in the interviews and provides information on the consequences under personnel law. If there is a further interim discussion, a corresponding memo is mandatory and possible measures under personnel law are explained. Each conversation is recorded in writing.

5. Personnel law measures

Before termination of the employment relationship, a written warning or formal caution must be issued. Before deciding on termination, consider whether there may be alternative deployment or transfer options for the employee. Your HR Partner will provide close support in this process and is responsible for compliance with personnel law provisions and deadlines.

6. Decision to terminate

After a warning or formal caution has been issued, continue to hold regular interim discussions and document them. Before the warning period expires, decide with your supervisor and the HR Partner whether the employment relationship should be continued as before or whether it should be terminated. The decision to terminate must be well founded, objectively justified and documented. The termination procedure follows defined personnel law requirements and is

S = supervisor
 EM = employee
 PC = personal consultant
 AD = HR administration

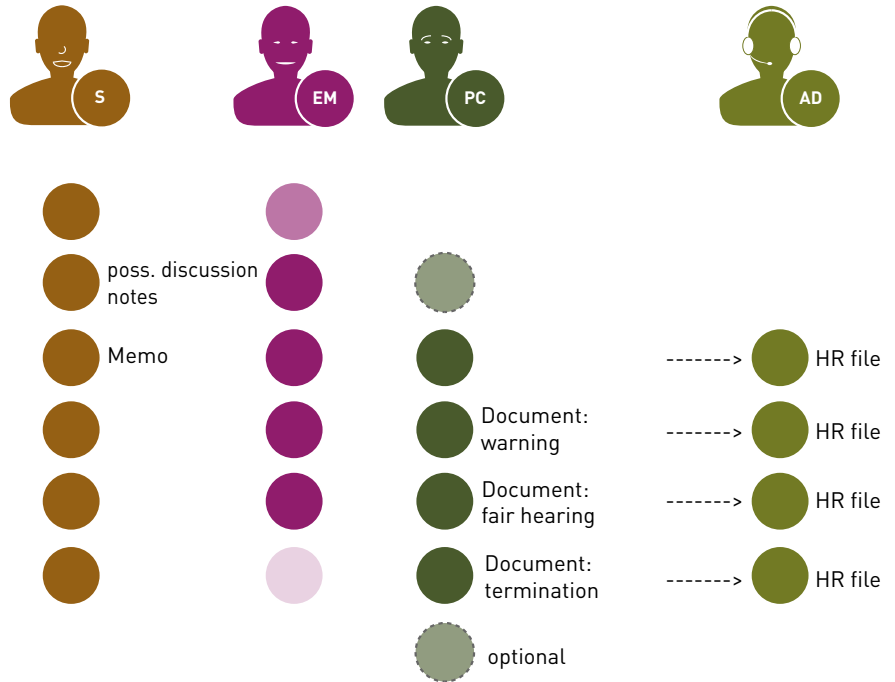


Figure 3: Process roles in the event of unsatisfactory performance and/or conduct

Side-effects of escalation processes

Resistance

Confronting unconscious or conscious deficits can trigger various forms of resistance, e.g. withdrawal, deferral, denial, counter-attack

Conflict

Confrontation of unsatisfactory performance at a high escalation level can lead to accusations of bullying. In this case, we recommend that you involve the relevant specialist unit and/or discuss it with the responsible HR Partner.

Your contacts

Your HR Partner: www.hr.ethz.ch/contact →

Links to consulting services: www.ethz.ch/beratung →