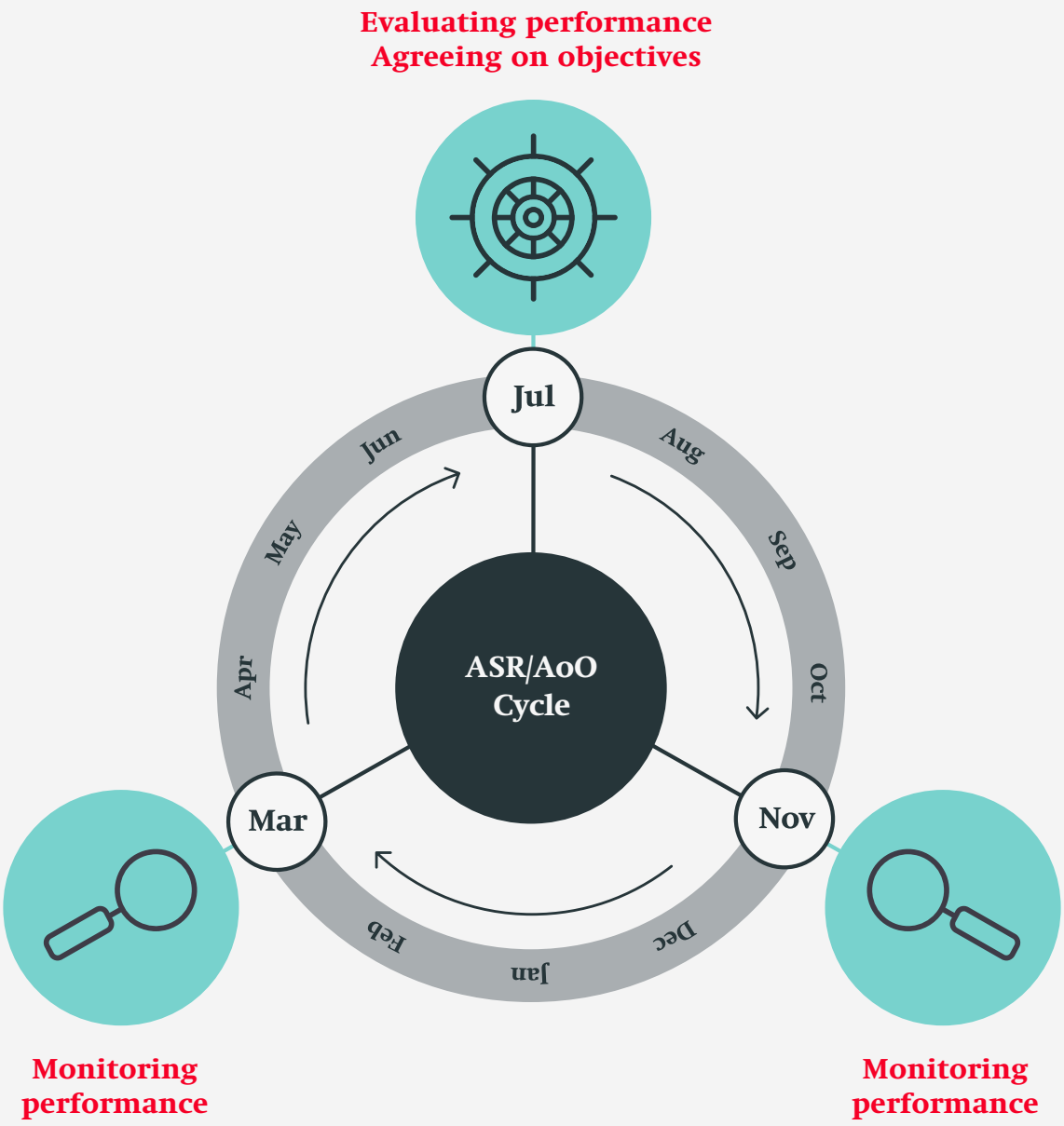
University of Basel

Annual Staff Review / Probationary Period

Review Forms



University of Basel

Annual Staff Review (ASR) / Probationary Period with Agreement on Objectives (AoO)

Instructions for use

More information > www.intranet.unibas.ch

Prepare

- Find a date (book 2 hours).
- Allow for a preparation period of about 14 days.
- Ensure both parties have access to the materials needed to prepare the review.
- Both parties prepare their contribution to the discussion. During the probationary period, interviews focus on the relevant topics to ensure a successful continuation of working together.
- Consider your particular points of view, assessments of the performance, and intentions and plans for future collaboration. Bring up first-hand observations of:
  - Good examples of jobs successfully done
  - Patterns of behavior and standards of performance that need improvement.

Constructive dialogue

- Constructive dialogue based on the prepared notes.
- The team leader (TL) and team member (TM) take turns setting a topic.
- Discuss topics and contents based on suggestions on the form.
- TL and TM organize the exchange mutually and appreciatively, with the University of Basel's Code of Conduct in mind.
- Assessment of the agreed objectives: How far have they been implemented?
- TL and TM agree on the central issues, topics, and objectives to record.

Agree on objectives

- Following their discussion, TM and TL define objectives for the next period.
- Distinguish between strategic goals, development or change goals, and quality maintenance goals.
- They agree on three to five SMART goals for the coming collaboration period.

Document

- TL keeps the original documentation, separately and under lock and key, copying it to TM (in case of a change of leadership TL destroys the originals or hands them over to TM).
- TL and TM refer back to this confidential documentation for their collaboration and as a basis for further assessments or as the starting point for any corrective talks.
- The same applies to the documentation of probationary period interviews in which TL and TM agree on the continuation of the employment relationship. Should the new employee not meet the expectations and it is a matter of documenting the reasons for terminating the employment relationship at the end of the probationary period, use the documents in the "probationary period guidelines."

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A Basic information and reason for the conversation

Last name, first name of team member

Assignment / full or part-time employment

Team leader

Date of meeting

What is the reason for the meeting / are the topics for the meeting?
(Define and tick off when arranging the meeting)

☐ Annual staff review covering the period from _____ to _____

☐ Meeting at the end of the probationary period from _____ to _____

B Achievement and performance

Procedure: The two participants bring their assessments and concerns, which they have prepared in keywords, into the dialogue. They take turns in the first vote on a topic. In the field "Notes on strengths and need for improvement," concrete examples of successful work and notes on desired changes in behavior are recorded. Both appreciation for what has been successful and clear indications of what should be changed and how are documented. Assessments are usually recorded in keywords; two different assessments can be recorded as two assessments at first.

1 Professional competence and performance

Indicators of good performance:

- Having the necessary professional knowledge and skills; using and broadening knowledge and skills on own initiative.
- Use existing tools (information, exchange of views, etc.) to carry out assignments well.
- Orients the work to agreed tasks, competencies and responsibilities as well as to the current framework conditions.
- Shows commitment and initiative in achieving objectives.
- Shows tenacity even under exceptional pressure and in difficult situations.
- The results meet quality requirements including time and content.
- The results are critical to the success of the team/lab/unit.
- ... or further relevant aspects for this position.

Acknowledgment of successful work or the employee's strengths and notes on the need for optimization based on concrete examples.
Overall assessment of professional competence and process skills:
Possible need for optimization:

2 Social competence

Indicators of appropriate interactions, such as ...

- Having an open, considerate approach to people in the team and to others such as students or clients.
- Being aware of one's role in the University's organization, the collaboration within the team, the organizational unit and the University.
- Performs constructive collaboration, making contributions appropriate to the situation, recognizing the working reality, and understanding the other person's need for understanding.
- Can deal with conflict and is loyal even in difficult circumstances and deals constructively with differing opinions, viewpoints and criticism.
- Can assess the effect of one's own behavior and control it in such a way that the counterpart feels respected and tolerated.
- Does know and respect the Code of Conduct of the University of Basel.

Praise for social competence and examples of successful interactions (strong points) and development needs (cite actual examples); record keywords:
Overall assessment of social competence:
Possible need for optimization:

3 Leadership (if TM has assignments with leadership tasks)

Indicators of good leadership, such as...

- Ensures that functions, tasks, expectations, and responsibilities are clear.
- Supports and encourages the communication necessary to complete tasks and processes and achieve group objectives.
- Ensures transparency in essential decisions and supports the team in dealing with changes.
- Handles questions, concerns, and differences of opinion constructively and deals with conflicts in good time.
- Supports learning processes and the development of staff (or master or doctoral students) so that they can achieve a high level of performance in their present field of work and advance their professional careers.
- Lives an inclusive leadership style defined by the Code of Conduct and leadership principles.

Praise for exemplary leadership and examples of success (strong points) and development needs (cite actual examples); record in keywords:
Overall assessment of leadership:
Development needs (may also be reference points for future objectives):

4 Appreciation of implemented objectives

The team leader and the team member discuss the objectives they agreed to in the last review:

- Which of the objectives have been achieved?
- How far have projects advanced since they started?
- What conclusions can be drawn from this evaluation?
- Do any of the objectives need to be adapted, or have any of the objectives become obsolete?
- Do you need to design a plan of action to follow up on objectives and changes?
- Where applicable, reaffirm objectives that have been achieved to ensure a continued high standard of performance.

Evaluation of objectives:
Conclusions for forming future objectives:

C Working conditions

Are the working conditions (infrastructure, information, communication, workload, etc.) favorable for optimal performance? What changes should/could be made (for example, better communication between the team leader and team member or among team members; transparent delegation of assignments and responsibilities; a healthy balance of workload and personal resources; sustainable use of available resources; contributions to a positive working environment, etc.)? Who should take the initiative? What must be done, and when should a necessary change be implemented? Also, consider private changes in these considerations, such as changed family commitments, care for relatives, an upcoming retirement, etc.

Conclusion and measures to be taken about working conditions:

D Professional development

What can the team member learn in the current field of work? What are their career goals? What skills does the team member need to develop further? Can one make a concrete plan based on this assessment? Who is responsible for taking action, what action, and when (for example, taking one of the University of Basel's further education courses > Fortbildung, or taking on responsibilities in an ongoing or upcoming project). Contact Leadership and Development to assess the situation and needs and learn about the courses and solutions on offer.

Concrete plan:

E Feedback for the team leader

Points for team members (TM) to prepare. What type of feedback will best improve the future working relationship with the team leader (TL)? Examples of good leadership actions, such as ...

- TL communicates assignments, objectives, and responsibilities clearly and realistically.
- Informs team appropriately about crucial information for carrying out assignments.
- Promotes team cooperation and facilitates team-building.
- Takes up team members' questions, concerns, and suggestions.
- Gives regular feedback on achievements and performance (recognition and constructive criticism).
- Deals with conflicts promptly and with measures to resolve them successfully.
- Supports the team member's professional (and, where applicable, academic) development and encourages their efforts.
- Views team member as a whole person (private and professional resources).
- Lives an inclusive leadership style as defined in the Code of Conduct and the leadership principles and promotes the compatibility of work and family.

Overall assessment (praise and criticism) of the team leader's leadership:

What agreements or conclusions can be made based on the discussion?

F Comments, signatures, documentation

Comments such as limited knowledge of team member's performance, points for a follow-up conversation (concrete plans for improvement, settling differences of opinion in evaluations, discussion of detailed comments, or documentation such as a job description to be handed in later).

Comments:
Necessary tasks for preparing the follow-up meeting (updating the job description, outlining procedures or milestones in a project, etc.)

The topics recorded above were discussed as documented.

Team member

Team leader

Place, date

Documentation:
The record of the meeting is confidential. Team members receive a signed copy of the completed Annual Staff Review record immediately after the meeting. The supervisor files the documentation separately from the personnel dossier, confidentially. There are no further copies of the meeting's minutes and agreements. In the event of a subsequent labor dispute that has escalated despite a corrective meeting and a formal reprimand, the minutes of the Annual Staff Review remain confidential. Third parties can only read these documents with the employee's and the University's data protection officer's consent. To discuss reprimands, supervisors must generate separate records open to read for third parties (i.e. HR, legal services). Use the template provided for > Performance Conversation of the toolbox. In the event of a change of management, the documentation is not passed on but is destroyed or returned to the employee.