



HR Department

June 2009

## Appraisal Interviews and Performance-Related Pay 2009

Dear Employees and Colleagues,

Appraisal interviews are to be held again this year at DESY.

All the relevant information on the purpose of these interviews and on their implementation is given here.

The following are attached:

1. Letter from Board of Directors and Works Councils Hamburg and Zeuthen;
2. Guidelines for Appraisal Interviews;
3. Criteria for performance assessment GBV LE 2010 as working aid for appraisal interviews;
4. Working aid for interview structure; and
5. Report card.

**The interviews** are to be held by 31 October 2009. They **are the basis this year for payment of performance-related pay.**

It is more important than ever before to ensure discipline with the report cards after conduct of the interviews. As always, the cards are to be signed by the executive who conducted the interview and by the employee with whom the interview was conducted. If no interview was conducted, it is sufficient for the report card to be signed by the employee. However, in determination of the quota, that will not be counted as an interview conducted. In all cases, report cards are to be returned to V24/04 by 31 October 2009.

If you have any questions, please do not hesitate to contact us.

We wish you every success with the interviews.

Your HR Department

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Prof. Dr. E. Weckert  
Dr. U. Gensch  
(Vertreter des Direktoriums  
in Zeuthen)

# **Letter from Board of Directors and Works Council Hamburg to Employees, on Appraisal Interviews 2009 and Performance-Related Pay 2009 at DESY**

The Board of Directors and Works Council have reached agreement on conduct of the appraisal interviews (German abbreviation MAG = “Mitarbeitergespräche”) as an element in contemporary human resources management. The Board of Directors attaches great importance to systematic conduct of interviews, which is why adjustments are made on a regular basis.

The purpose of the appraisal interviews is to improve communication, and to achieve reflection on the work situation, as far as possible on the basis of the performance assessment criteria, and to identify training needs.

This year the payment of performance-related remuneration is also linked to the conduct of the appraisal interviews. The full performance-related remuneration is payable only if 90% of the DESY staff on the regular pay scale participate in interviews, in accordance with the GBV agreement. The background is possible continuation of performance assessment next year. This condition, which is applicable to all employees, is the condition which must be fulfilled in order for the 2009 performance-related remuneration to be paid to all employees employed under the collective agreement with the same percentage. All participants can “practise” working with the new criteria for performance assessment, without individual consequences, and thus prepare the basis for the next round.

In order to set the best possible conditions for the start, the Board of Directors is enabling all participants to take part in the newly designed training. The seminars will be mandatory for the interviewers; they will be voluntary for all other employees. The dates will be announced in due time.

The interviews are to be conducted in the 2<sup>nd</sup> half of 2009. It is intended to hold the discussions in a period of about 4 months. Their conduct will be supported, as in the past, by the Human Resources Department (V2). For any questions on this matter, please do not hesitate to contact Ms. Buban (Tel. 4212) or the Works Council (Tel. 2404).

The interviews will be held in Top-Down procedure. The interview structure (who interviews whom?) has been defined in the Departments and agreed via V2 with the Works Council.

Your Group Leader or Group Spokesperson will tell you by 1 July 2009 who is to hold the appraisal interview with you. If that has not happened in individual cases, you can obtain this information from Ms. Buban (V2) or the Works Council.

Further information on practical implementation is given in the attached Guidelines and criteria for performance assessment.

Hamburg, June 2009

Board of Directors

Works Council

**Attachments:** Guidelines on Appraisal Interviews 2009  
Criteria List for Assessment, GBV LE 2010,  
as Working Aid for Appraisal Interviews  
Working guide  
Report card

# Guidelines of Directorate and Central Works Council for Appraisal Interviews 2009 at DESY

## **1. Main goals**

The main purpose of the appraisal interviews is to improve communication and to establish open reflection on the working Situation. The appraisal interview is integrated into the working procedure by means of annual repetition, as an element of modern human resources management.

The focus of the interviews is on the concerns of the employee and his/her professional development.

The more employees are clearly satisfied with their workplace and their training opportunities, the more attractive DESY is as an employer.

The main goals are:

- To develop a discussion culture based on mutual esteem
- To establish clarity and courtesy between employees and supervisors
- To reflect on performance in terms of results of work and manner of work
- To identify frictional losses at an early stage and to express constructive criticism openly
- To agree on realistic targets for the respective work area
- To determine the training needs of the various employees and, on that basis, identification of potentials and limits of training activities in individual cases, as specified in TV-AVH Art. 5 para. 4.

## **2. Organisation**

The interviews are organised on a divisional basis, with specification of the interview structure (who speaks to whom?) within the Divisions. This means that first the Heads of Division talk to the Group Heads. Then, in accordance with the interview structure arising, the Supervisors talk with the employees who report to them. The interview structure will be communicated to the Central Works Council for co-determination, via V2, before the Start of interviews.

Supervisors should as a rule conduct interviews only with employees with whom they work in their daily routine. As far as possible, not more than 10 interviews are to be conducted by one executive. Appraisal interviews may be delegated in consultation with the Head of Division.

The interviews are conducted once a year as a rule.

## **3. Participants**

An executive talks to one of the employees reporting to him/her.

If one or both of the participants feels that the interview failed, a further interview is held on request. The participants at the repeat interview are: the executive, the employee, a supporting person chosen by the employee, and usually also the Head of Division. At the request of the executive or employee, another person may be invited instead of the Head of Division, to be agreed by executive and employee.

#### 4. Appraisal interview

- The persons participating in the interviews agree on a date for their interview, setting the date about four weeks in advance, so that there is enough time for preparation.
- An interview should last between 1 and 1 ½ hours. If the interview cannot be completed in this timeframe, it is to be interrupted at the request of the executive and/or the employee, and continued at a later time to be agreed.
- The interview should take place in a calm atmosphere, so that the participants can concentrate fully on the interview. The interviews should therefore be held in a room which is free of disturbances (e.g. from the phone or from public coming and going), which gives a sense of security, and which is decorated in an inviting way. It is recommended to choose a neutral room, which is not simultaneously the supervisor's room.
- The following may be used for preparation and conduct of the interviews:
  - Current job description / activity description of the employee
  - Results of the last interview
  - Criteria for performance assessment of GBV LE 2010 as a working aid for appraisal interview
  - "Working Aid for Interview Results" (see Annex)
- The interviews cover as a minimum the following subjects:
  - a) Situation of the employee. For example:
    - Status within the group
    - Tasks and goals so far; goal achievement?
    - Strengths and weaknesses in the work Situation up to the interview; where is optimisation needed?
    - Future tasks, goals, perspectives and further training
  - b) Situation and development of the group, position in the changing structure of DESY. For example:
    - Status, development and strengths/weaknesses of the group within DESY
    - Working equipment, Organisation, information exchange and Cooperation
  - c) Situation of Group Head. For example:
    - Strengths and weaknesses in Organisation and leadership of the Group
    - Improvement requirements in mutual cooperation
- The appraisal interview itself is to be conducted freely and not structured by questionnaires, etc. At the request of a participant, interview results and agreements are to be recorded manually in a Joint note. If no agreement is reached on a point, the disputed views are to be recorded. If specific tasks result from the agreements, these are to be recorded with indication of Who, What, When.
- This record is to be copied at the end of the interview. Each participant then receives a copy signed by both.
- The copies of the record are to be retained by the two participants after the interview, and to be kept as confidential, personal documents. They are not a part of the Personnel File, and may be passed on to third parties only if both participants agree to this.

- The records kept by the supervisor are to be destroyed on change of supervisor, or at the latest after three years. The employee may decide to give the new executive a copy of his/her record. If that is the case, the agreements made remain in force.
- If there is specific need for action by the supervisor resulting from the appraisal interviews, the results must be communicated to the employee concerned in appropriate form. If the interview could result in consequences for the future of the Group, a Group discussion is to be held with everyone affected.
- The supervisor is to ensure that the results, criticisms and suggestions of the Group as a whole to the supervisor are passed on to the supervisor him/herself.

## ***Preliminary remarks on***

### ***Criteria for Performance Assessment GBV LE 2010 as a Working Aid for Appraisal Interviews (systematic performance assessment at DESY)***

This worksheet was developed for the original company agreement on performance-related pay (former GBV LE 2009 – present GBV LE 2010).

Following the new GBV LE 2009, there will be no individual performance assessment yet in 2009.

Instead of that, appraisal interviews will be conducted with employees.

That means these interviews are not concerned with the evaluation of employees and allocation of points.

**The use of criteria for performance assessment GBV LE 2010 is to be used as a suggestion for content and orientation, and is not mandatory.**

**Criteria for Performance Assessment GBV LE 2010  
as Working Aid for Appraisal Interviews  
(systematic performance assessment at DESY)**

This worksheet is intended to help you as a supervisor at DESY to assess your employees with a view to award of performance-related pay. At the same time, it serves to document the reasons for the assessment made.

The worksheet is divided into 2 sections:

- I. Work result; and
- II. Working manner

each of which count for 50% in assessment. The assessment comes from the scores on 2 questions on work result and 5 questions on working manner. As there are only two questions on "Work result" (see pages 2 and 3), the scores for "Work result" are multiplied by factor 3 for quality and factor 2 for quantity. The scores for all 7 questions are then added up. Points on a 1-to-5 scale are to be given for each question:

- 1 = Unsatisfactory
- 2 = Needs improvement
- 3 = Normal
- 4 = Good
- 5 = Excellent

For every question, aspects are indicated to make the result of assessment easy to follow and to help you in giving reasons for the results. You can also indicate aspects of your own as reasons. For better legibility, please do not make the indications in handwriting, but use a PC.

**Group:** \_\_\_\_\_

**Supervisor:** \_\_\_\_\_

**Employee:** \_\_\_\_\_

**Executive assessing** (if applicable): \_\_\_\_\_

**Date of assessment:** \_\_\_\_\_

## I. Work result

Assess work results of the employee with regard to quality and quantity.

It is important to consider the balance between quality and quantity, and to check how far the work result achieved corresponds to the expected work result in terms of quality and quantity. Associated conditions and special difficulties (technical / organisational / emotional) are to be taken into account.

### 1. Quality of work result

How do you assess the quality of the work result of the employee, on a 5-point scale?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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In assessment of quality of work results, it may be helpful to think whether the work results are

- Easily usable
- Complete and free of errors
- Appropriate and easy to follow
- Documented well/badly/not at all
- Free of errors (in keeping with the state of the art)

In addition, whether

- Regulations, standards and guidelines were observed/correctly applied
- Upstream and downstream activities were observed and integrated in a responsible way
- A balanced cost-benefit ratio was aimed at/achieved
- Possibilities of avoiding expenditures were used
- The required tasks were handled in the correct sequence (time, contents)

Share of total assessment:	30%
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## 2. Quantity of work result

How do you assess the quantity of work result of the employee on a 5-point scale?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment:

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In your assessment of quantity of work results, it may for example be useful to think about whether the work quantity achieved was done in a reasonable time, taking account of the degree of difficulty, or was completed on schedule.

If there are comparable employees that you have to assess, comparison with the work quantity done by them may be helpful.

Share of total assessment:	20%
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## II. Work manner

Assess the work manner of the employee, considering the following criteria:

- Flexibility and creativity
- Organisation and reliability
- Result and solution orientation
- Service and external effect
- Team orientation and social skills.

The associated conditions and special difficulties (technical/organisational/emotional) and the expected manner of work at the respective workplace are to be taken into account.

For assessment of executives, this means that you have to compare your expectation of leadership qualities of the executive with the behaviour actually shown by the executive. The competencies delegated to the executive and the extent of responsibility are to be taken into account.

### 1. Flexibility and creativity

How do you assess the flexibility and creativity of the employee on a 5-point scale (flexible/creative work style achieved)?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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For your assessment, it may be useful to ask yourself

- How far does the employee input own constructive ideas and solutions (or solution approaches) into work?
- How far is the employee open to new ideas, to working on new assignments, and to use of new methods, and expansion of own knowledge in keeping with needs?
- How quickly does the employee grasp new tasks, difficulties occurring and changing work situations, and how does the employee respond to them?

Share of total assessment:	10%
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## 2. Organisation and reliability

How do you assess the employee's self-organisation/work organisation and reliability on a 5-point scale (does the employee proceed/behave in an organised way)?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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For assessment, it may be helpful to ask, for example,

- Does the employee work on tasks assigned in a careful and reliable manner (or are intermediate checks necessary)?
- Does the employee systematically seek/work out solutions and ideas, and systematically follow ideas and solutions found?
- Does the employee proceed in a well-thought-out and organised way, and take account of the organisation of matters related to the area of work?
- Does the employee meet the responsibility assigned (particularly important for assessment of executives)?

Share of total assessment:	10%
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### 3. Result and solutions orientation

How do you assess the results and solutions orientation of the employee on a 5-point scale?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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It may be helpful for assessment to ask yourself:

- Does the employee take necessary measures independently and decisively?
- Does the employee make decisions in a definite manner with logical reasons?
- Does the employee avoid mistakes wherever possible?
- Does the employee respond appropriately to criticism?
- How effectively and comprehensively does the employee correct any mistakes made?

In addition, for assessment of executives you may consider:

- How far is the executive capable of delegating tasks in an appropriate way, coordinating work, giving support in their fulfilment, and assessing work results? and/or
- How far does the executive has a reliable overview of the situation in his/her area of responsibility.

Share of total assessment:	10%
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#### 4. Service and external effect

How do you assess the employee's service orientation vis-à-vis DESY colleagues as "customers" and external impact, on a 5-point scale?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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It may be helpful in your assessment to ask yourself:

- Does the employee take up the concerns of the "customers" and make an effort to deal with such concerns?
- Does the employee have a friendly, helpful and courteous manner?
- Does the employee cultivate cooperation that also goes beyond the borders of the group/division?
- Does the employee pass on knowledge and experience in a comprehensive and timely manner, including passing it on to other groups?
- Does the employee contribute to the positive impression given of DESY externally (for example by lectures, publications, cooperation, etc.).

Share of total assessment:	10%
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## 5. Team orientation and social skills

How do you assess employee's team orientation and social skills, on a 5-point scale?

(1 = Unsatisfactory, 2 = Needs improvement, 3 = Normal, 4 = Good, 5 = Excellent)

Points given:	
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Give reasons for your assessment below:

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It may be useful in assessment to ask yourself:

- How far does the employee's own action harmonise with team interests?
- Does the employee have a realistic view of own strengths and weaknesses and the strengths and weaknesses present in the team?
- How cooperative, friendly and open is the employee in dealings with others?
- Does the employee pass on experience to others in a comprehensive and timely manner?

In addition, for assessment of executives, you may consider:

- How far does the executive succeed in getting joint understanding of the working situation by means of praise, criticism and discussion?
- Is the executive capable of motivating the employees by respect, esteem and by acting as a role model?
- Is the executive recognised and accepted as such?

Share of total assessment:	10%
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# Guideline framework for results of appraisal interview

Please note the major points in mutual agreement:

Short, concise summaries

Both points of view in the event of difference of opinion -

Agreements, as specific as possible: Who does What, When?

What <b>requests for change</b> were expressed?	What <b>consequences</b> were drawn from that?	What <b>agreements</b> were made?	Other remarks

Date                      Signatures:

**RETURN FORM**

(Please complete and sign this return form, and send it back by 31 October 2009. **IMPORTANT: Please indicate Group.** Thank you.)

The appraisal interview

☐ was conducted on \_\_\_\_\_. \_\_\_\_\_. 2009

☐ was not conducted

Reason for not conducted interview:

**Supervisor:**

**Employee:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
**Name (block letters)**

\_\_\_\_\_  
**Name (block letters)**

**Group** \_\_\_\_\_

**To**

**V24/04**

**Ms. Buban**