

# Operating Framework for Annual Interviews

**TU/e**

**EINDHOVEN  
UNIVERSITY OF  
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# Operating Framework for Annual Interviews

The new format for annual interviews aims primarily to:

- a. Boost the quality of the (annual) interviews between manager and employee.
- b. Electronically record the annual interview (derived aim).

## Quality of annual interviews

The quality of the annual interview must be considered a good interview of a confidential nature between manager and employee that focuses on the integration of

- Achieved results (performance) of the past year + agreements on results for the coming year = results focused;
- How the results are achieved (competencies) = competency focused;
- Agreements on development targets (career development) = development focus.

A good interview starts with the standpoints stipulated in the Social Statute TU/e, 2.2. 'Code of Ethics'. A good dialog requires both employee and manager to be properly prepared for the two-way interview, for there to be consensus on the results that should be achieved and for an open interview to take place on the realization of this. In the instrument we assume that the employees will themselves prepare their evaluation of the year gone by, indicating themselves how the past year went: have the results been achieved, what were the successes and the disappointments? And what are targets the employee wants to set himself for the coming year? This "evaluation report" is input for the annual interview during which the evaluation report is discussed, viewpoints exchanged and results adjusted where appropriate. The interview is concerned not only with output but also the conditions and the manner in which the work is performed and how personal development of the employee is fleshed out. The annual interviews instrument supports employees and managers in conducting a good annual interview.

Even though a good dialog and good interview are the result of the efforts of both parties, it is and remains the primary responsibility of the manager to plan and conduct the annual interview, to produce the report and ensure that - in consultation with the management of the management entity - any agreements and/or actions made arising from the annual interview are realized. To this end training in conducting interviews is offered to the manager. Employees are informed by HR of the aim, content, form and procedure of the interview, the role(s) expected of them, etc.

## Electronic instrument

By recording the annual interview not on paper but electronically, it is easier to link this to the findings of the previous year and it thus enables a comparison with the agreements that were made and the applicable developments, all of which makes the continuity of the interviews through the years more realizable. We also expect efficiency to be boosted in this way. An electronic instrument must, of course, safeguard privacy given the confidential nature of the annual interview. Documents concerning employees are accessible to the employee himself, the manager and his superior. The annual interview is recorded in a report that contains the assessment of the results achieved and how these were achieved, agreements about new results and career agreements. The employee signs that he has 'seen' the form and the report is filed away in the personnel dossier.

It is also possible to generate management information that can be used for an analysis of the current HRM policy.

## Frequency of the annual interview

The manager conducts an annual interview with the employee at least once a year. An interview may also take place at the request of the employee or the manager. The period between two annual interviews spans a period of six months in any case.

### Annual interview form

The form comprises six blocks as described below:

#### *Block I Employee details*

Name of employee, department, group/unit, UFO profile, date first employed, working hours, salary scale, (any) ancillary activities, name of manager, date of interview, other(s) present. If relevant: sub-profile, BKO certificate gained (or not), English for Master study gained (or not).

#### *Block II Result agreements*

This block will contain the result agreements of the past year, ranked by the core tasks of the job. For each core task measurable result agreements are made and evaluated. The manager makes an assessment for the results achieved for each of the relevant categories, which leads to an overall annual assessment of the results achieved. This block has a help screen explaining how the results can be made as SMART as possible. The assessment for the result agreements has five levels (with explanation and significance):

Inadequate	=	Far below expectation (the result does not fulfill the expectation)
Almost adequate	=	Below expectation (the result does not fulfill the expectation for some aspects and for the other aspects expectations are fulfilled)
Good	=	Fulfills expectation (the result fulfills expectation)
Very good	=	Above expectation (the result exceeds expectation for a number of aspects and for the other aspects expectations are fulfilled)
Excellent	=	Far above expectation (the result more than exceeds expectation)

The evaluation of the result agreements is prepared by the employee in the evaluation report in which the results achieved for each of the core activities are described in terms of both quality and quantity (brief outline of work). Then the employee proposes the results he wishes to achieve in the coming year.

The evaluation report can be incorporated and changed or supplemented where necessary via a confirmation by the manager in the report of the annual interview, thereby making the reporting of the annual interview easier. After the evaluation, agreements are made on the results to be achieved for next year and these are incorporated in the report.

#### *Block III How the result is achieved (competencies)*

Competencies are the knowledge, skills and attitude needed to perform one's work well. This says something about how the results are achieved. The competencies are mainly intended to stimulate dialog about personal development so it is essential to make agreements on the development of competencies, such as education/training, specific coaching from an expert and/or gaining experience from a different organization to acquire a specific skill or to gain knowledge, etc. This block has a help screen explaining how the competencies (Dutch Universities competency instrument) and the results can be made as SMART as possible. There are three kinds of competency:

1. Organization related competencies: the TU/e department considers certain behavior important and wants to focus more attention on this, such as encouraging collaboration between employees, between research groups/units and/or at an interdepartmental level. The competency "collaboration" may therefore be a feature of the annual interview: how is collaboration shaped, what is positive and what is not. What can be improved? If organization related competencies are to feature in the annual interview, the Departmental Board or Unit Director will stipulate what these are before the annual round of interviews.
2. Job related competencies: the most essential competencies have been formulated per UFO job. If an employee wishes to develop, the requisite competencies that should be developed can be considered. These UFO competencies are entered "automatically".
3. Individual competencies: competencies that require attention for the specific employee. If the evaluation of the results suggests that an employee could use certain strong qualities more effectively and/or should develop particular skills more, the competency instrument would support this. Depending on the instrument, the employee and manager note down the competency to be developed and make relevant agreements. The following year these agreements are evaluated. Both the employee and the manager can take the initiative for this.

The manager assesses how the employee functions in terms of the competencies stated and then agreements can be made, if necessary, on how the employee can work on improving competencies. Improving these competencies can make the employee better in his job or help him develop for a subsequent job. Agreements on developing the stated or new competencies are recorded. It is also important to indicate how the employee will work on improving the competencies.

#### *Block IV Career and development*

Finally, the manager and employee discuss personal ambitions and what the employee can do to realize these: What does the employee want to achieve in 3-5 years? How can the employee use his strengths? And work on the weaknesses? What is possible within the organization and what is not? Has the employee opportunities in terms of the desired job?

The employee is responsible for his own development. The manager has an advisory, supervisory and occasionally parameter-setting role. The manager also has the role to be honest and clear on what the possibilities/opportunities are, and what is not possible, so that the employee focuses on realistic ambitions.

Agreements concerning the ambitions and how these can be achieved are also made and recorded in the final block. Ultimately, the departmental or unit board decides on definitive career agreements.

#### *Block V Wellbeing*

Here the wellbeing of the employee comes under discussion and may include topics such as physical and mental health. Attention also focuses on collaboration with the manager, with both employee and manager indicating whether they feel positive about the collaboration or whether the employee feels supported in his doing his job and how the employee participates in the research group or department.

This block contains no assessment, but any agreements made can be noted on the form and the following year evaluated.

#### *Block VI Other matters*

In this block the employee can make comments on the completed form along with any other matters. Some suggestions (not exhaustive) are already contained in the (notes to the) form.

## Signature(s)

The employee signs that he has seen the form.

The direct manager signs the form for agreement.

The form is thereby definitive.

(If the employee is not in agreement with the completed form, he can comment to this effect on the form in block VI Other matters).

## Form for foreign employee

The annual interview has three kinds of form:

- Dutch form Support Staff
- Dutch form Scientific Staff
- English form Scientific Staff

The structure, content and type of the forms do not differ from each other. Given the internationalization, the need for a form whose language is primarily English is more evident for Scientific Staff than for Support Staff where Dutch is still the commonly used language. The various help screens have also been translated.

## Authorization

The formally designated manager for the employee is the primary representative of the employer. The manager of an employee conducts annual interviews, approves relevant choices from the terms and conditions of employment selection model, has access to the personnel dossier (if necessary), etc. This person is registered in TU/e Insite as manager. Since, in practice, the supervising assistant/associate professor regularly conducts the annual interview for PhD students and postdocs, the possibility has been incorporated within the digital instrument for the formal manager to mandate a colleague via management self-service to be responsible *per individual employee*.

## Target groups of employees and the annual interview

The annual interview applies to every employee of TU/e whereby the content and form is the same for everyone, in principle. The digital form to be used is also identical for everyone, although there may be slight differences in how they are used.

In the previous section we saw how the interview is divided into a number of blocks:

- The personal details;
- The results achieved in the preceding period;
- The agreements for the coming period;
- Career and development;
- Wellbeing.

Most employees have a permanent or long-term contract of employment, so all of the topics above are just as relevant and thus worthy of the same amount of attention. By contrast, for other categories of personnel some topics of the annual interview may warrant more attention than others.

For PhDs and PDEngs the study and supervision plan forms the input for assessment and supervision, whereby the focus in the annual interview lies on:

- Fulfilling the agreements in the plan; or making supplementary agreements.
- Future prospects become more important in the third year.
- Experience with supervision, collegiality, etc.

For Scientific Staff personnel it is generally the case that it tends to be easier to formulate output-focused results such as number of publications, designs, etc. For Support Staff that appears to be less the case and there is the tendency to formulate in terms of behavior and/or competencies (independence, effort, etc.). In the training of managers and the information to employees, guidance will be provided to enable proper preparation for a good interview.

### **Storing the annual interview form**

All reports of annual interviews and any follow-up interviews plus all corresponding relevant appendices will be stored in the personnel dossier.

### **Finally**

In relation to the Operating framework for annual interviews TU/e 2015 coming into effect, the Operating framework for job performance interviews and assessments will be abbreviated such that only those matters pertaining to the assessment remain. This new form has been revised under the name: Operating framework for assessments TU/e 2015.

The date on which the Operating framework for annual interviews TU/e 2015 and the Operating framework for assessments TU/e 2015 take effect is the same, being 25 November 2015.

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On behalf of the TU/e Executive Board,  
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