



Development, Appraisal and Objective-Setting Process

January 2024

1. Background
2. Steps in the process
3. Preparing for Development, Appraisal and Objective-Setting Discussions
4. Carrying out Development, Appraisal and Objective-Setting Discussions
5. Setting objectives for the next 12 months
6. Providing ongoing feedback
7. Development, Appraisal and Objective-Setting Discussions training



1. Background

Why are Development, Appraisal and Objective-Setting Discussions important?

1

Give direction to employees



2

Help develop their skills



3

Recognize their efforts



Development, Appraisal and Objective-Setting Discussions, together with new features in EPFL's HR system, allow for ongoing dialogue between managers and employees.



Discuss **past events** and learn about employees' experiences and achievements.

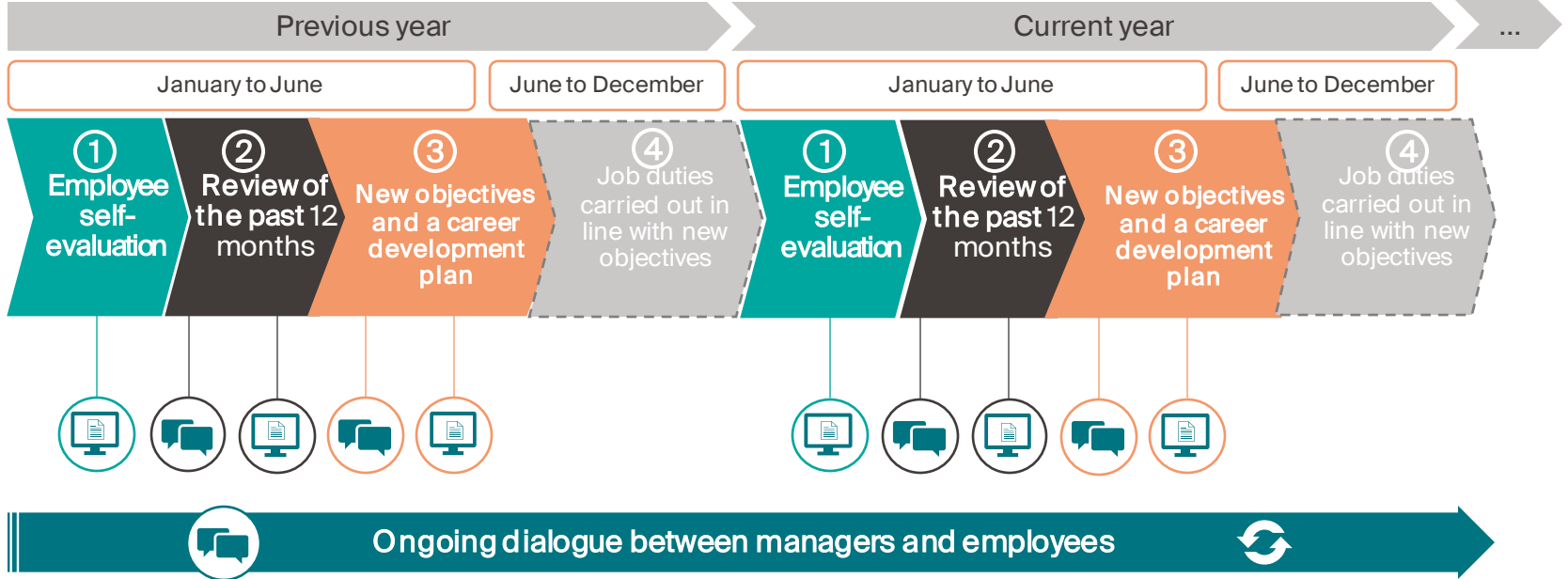


Look to the **future** by setting objectives and mapping out a career development plan.

2. Steps in the process



Assessments over 12 months






Legend

Steps that must be entered into EPFL's HR system and confirmed

Steps involving discussion between managers and employees

New features of the Development, Appraisal and Objective-Setting process

 Career development plans	 Employee mobility requests	 Feedback	 Expected behaviors
<p>These plans could include:</p> <ul style="list-style-type: none"> • Getting involved in projects • Taking on more responsibility • Moving to another position • Completing a short-term assignment in another unit • Doing further training (in-company or outside) 	<p>Employees can request transfers to other sites or divisions, indicating a specific function or region.</p>	<p>A way to provide feedback on your professional interactions with co-workers (managers, colleagues and subordinates).</p>	<p>Tell employees what you expect with regard to:</p> <ul style="list-style-type: none"> • Teamwork • Communication • Respect • Other issues
<p><i>Managers and employees should work together to identify career development opportunities.</i></p>	<p><i>Make sure employee mobility requests are as specific as possible.</i></p>	<p><i>Your feedback should both praise employees' strengths and enable a constructive discussion about areas of improvement.</i></p>	<p><i>Expected behavior can differ from one employee to the next. Your description should be specific and backed by concrete examples.</i></p>

When the 12-month period is over, you can determine how well your performance expectations have been met.



3. Preparing for Development, Appraisal and Objective-Setting Discussions



- Ahead of the Development, Appraisal and Objective-Setting Discussion, managers and employees should individually look back over the previous year and think about their progress on objectives, projects completed, new skills acquired, skills that are lacking, achievements, goals met, team dynamic, etc.
- This can help both parties assess their skills, behaviors and achievements over the period.

Why should this step be done individually?



A more neutral perspective
(no distractions, outside pressure or time constraints)




Greater personal involvement




Think about your achievements, the challenges you faced, and areas where you can improve



Enhanced mutual trust



A better view of your team's potential



Think about the feedback you'd like to give



4. Carrying out performance reviews

Development, Appraisal and Objective-Setting form



- The is an online form with seven sections:
 1. Overall assessment of the past 12 months
 2. Assessment of objectives
 3. Assessment of expected behaviors
 4. Employee mobility requests
 5. Career development plans
 6. Employee feedback
 7. Employee engagement factors

Legend



Steps involving discussion between managers and employees



Things to keep in mind before getting started:

- Consider the whole 12-month period and not just the past few weeks
- Give **concrete examples** and fact-based statements
- Try to imagine how employees evaluated themselves
- Think about how you'd like to **express your feedback**
- Make sure your comments are constructive, and **avoid making value judgments**
- Remember that performance reviews should be a **dialogue**, not a monologue



1. Overall assessment



How did the past 12 months go in general?

- In this section, think beyond the employee's objectives and look at the bigger picture.



Use this opportunity to praise employees' achievements and indicate areas where you'd like them to improve.



Use this section to comment on any aspect of your job (tasks, atmosphere, things that keep you engaged, sticking points, teamwork, communication issues, etc.).



Development and Appraisal Discussions

2. Assessment of objectives



- Assess progress on the objectives set at the start of the year, using the following scale: 1. Not met / 2. Partially met / 3. Met / 4. Exceeded.
- Managers and employees should be objective in their assessments.
 - *An overly positive assessment, if unwarranted, wouldn't give a good signal.*
 - *An overly negative assessment, if the comments are not constructive or specific enough, could be discouraging.*
- Use the full assessment scale, from 1 to 4:
 - *1: Not achieved (objective not met)*
 - *2: Partially achieved (objective partially met)*
 - *3: Achieved (objective fully met)*
 - *4. : Exceeded expectations (objective achieved beyond expectations by exceptional contributions)*
 - *N/A : Not applicable (objective suspended, postponed or canceled)*



Development and Appraisal Discussions

3. Expected behaviors



- This is a qualitative assessment that concerns managers just as much as their employees.
- This assessment is optional
- Base your assessment on the expectations that were described when the objectives were set.
- Mention specific situations.



It may help to ask the employee why they reacted in a certain way and, insofar as possible, explain how you would have preferred they behave.

4. Employee mobility requests



- Employee mobility is a key feature of a learning organization and should be encouraged.



Use this opportunity to mention other functions or regions you'd like to gain experience in.



If an employee makes a request:

- Ask whether the employee would like to change function or region, and which function they would be interested in
- If it's a long-term goal, break it down into feasible steps
- Outline an action plan to achieve the goal



Development and Appraisal Discussions

5. Career development plans



Employees each have their own career development potential based on their skills, interests and preferences.

Career development can be vertical (through a promotion), horizontal (to another function at the same level), functional (by becoming an expert in their field) or within a given position (such as by changing the job scope or doing the job more efficiently).



- Outline concrete steps employees can take to achieve their career development goals (e.g., by completing specific projects, short-term assignments or continuing education, or by taking on additional responsibility).
- Review progress on these goals regularly during the year with employees to make sure they're on track.

Development and Appraisal Discussions

6. Employee feedback



- Here you can give feedback on:
 - **Your working conditions**
Your responsibilities, the job climate, processes, equipment, teamwork, career development opportunities and more
 - **Your manager**
His or her management and communication skills, decision-making style, ability to motivate a team, ability to delegate and more
- Inform your manager what works well for you and what's preventing you from doing your job better.
- Share your impressions and expectations with your manager, using concrete examples.
- **Feedback should be a constructive, two-way dialogue rather than personal criticism**



KeepLearning resources

[Giving and receiving constructive feedback](#)
[How to structure your feedback](#)

Development and Appraisal Discussions

7. Employee engagement



Asking questions about the factors that engage your employees can help you better understand what's important to them and, if needed, change your management or communication style.



What are the factors that keep you engaged on the job?

Examples:

Recognition, career development, achievements, job duties, your colleagues, the company mission, internal client relationships, work-life balance and job security.



Employees



On the other hand, what factors could eventually cause you to become disengaged?



5. Setting objectives for the next 12 months

Setting objectives

How to set objectives



Consider whether:

- objectives set higher up in the organization can (or should) be disseminated further down
- the objectives will help improve your unit's or EPFL's performance
- the objectives will help the employee perform better
- the objectives will foster employee engagement
- the objectives are genuine goals to reach or just tasks already inherent to the job



SMART objectives

Specific

Worded precisely

Measurable

Success or failure can be assessed objectively

Attainable

Ambitious but within reach

Realistic

Achievable with the resources available

Time-bound

Have a clear deadline

Setting objectives

Why objectives are important



- Setting objectives lets you:
 - clarify what's expected
 - establish priorities and focus tasks, so employees can manage their workloads more efficiently
 - make sure objectives are aligned with your team's strategy
 - measure progress
 - support employees' personal and professional development
- **KeepLearning resources**
 - [Comment réussir vos entretiens d'évaluation et de fixation d'objectifs](#) (in-person workshop)
 - [Fixer des objectifs motivants à ses collaborateurs avec la méthode SMART](#) (30' online session)





6. Providing ongoing feedback



- Our HR system has a new feature that lets managers and employees provide feedback continuously throughout the year.



- You can ask for feedback about an employee from people either within or outside your unit
- You can give your own feedback at any time
- You get a more comprehensive view of the employees' work and performance, informing your overall assessment

This feature is particularly useful in matrix organizations or for project work. For instance, you can ask a project leader how the employee from your unit is performing.



- You can ask your colleagues for feedback about yourself, whether they are in the same unit as you or not
- You can spontaneously give feedback
- You can keep track of your performance whenever you want, all year long
- You don't lose sight of your initial objectives
- You can move faster to address issues in the workplace



This feature can be accessed by clicking on "Feedback" (rather than through the Development and Appraisal form).



7. Development and Appraisal training

Training at EPFL

The following table gives some of the training that's available on conducting performance reviews.

Workshops	Who it's for
<u>Comment réussir vos entretiens d'évaluation et de fixation d'objectifs (FR)</u>	All managers
<u>Comment réussir vos entretiens d'évaluation et de fixation d'objectifs (FR)</u>	Managers and employees
<u>Giving and receiving constructive feedback (FR/EN)</u>	Managers and employees
Short online sessions	
<u>How to use the SMART method to formulate pertinent objectives that motivate your staff (FR/EN)</u>	All managers
<u>Giving and receiving constructive feedback (FR/EN)</u>	All managers

Your turn!



Now you've got all the tools you need. It's up to you to use them!

We're aware this is a new process, and we'll be here to help you through it.



Do you have technical questions?

We're happy to answer them. Please send an email to 1234@epfl.ch



Building a stronger organization through effective dialogue

