

INSTRUCTIONS

NCAR Scientist and Research Engineer Performance Appraisal Form

PROCESS OVERVIEW

This appraisal evaluates the ladder-track employee's performance during the last 12 months. The employee, supervisor, and Laboratory/Observatory management all contribute to the development of this document as detailed below. The appraisal criteria should be aligned with the NCAR appointments criteria for ladder-track scientists and research engineers, as appropriate for the level of Scientist or Research Engineer being evaluated. (See details at: <http://www.ncar.ucar.edu/polpro/section7/docs/SciandEngApptsCriteria.pdf> referred to herein as the 'NCAR Ladder-Track Criteria'.) Appendix A categorizes exemplary activities according to the criteria.

The appraisal also outlines the plan for the employee's anticipated contributions, priorities and distribution of effort during the coming year. The employee and supervisor should collaborate to develop this plan, which will be reviewed and approved by the relevant Division Director or Program Manager, and the Laboratory/Observatory Associate Director. After the close of each performance appraisal cycle, the NCAR Executive Committee will review ladder-track evaluation trends and statistics across NCAR and share the results with the NCAR Directors' Committee.

I. MATERIALS PREPARED BY THE EMPLOYEE

Most of the form is self-explanatory. The employee will provide information to his/her supervisor regarding activities during the performance period, as well as plans for the next year. See Appendix A for examples. The materials should be aligned with the NCAR Ladder-Track Criteria.

A. Activities during the prior 12 months

Provide an overview of activities, aligning them with the NCAR Ladder-Track Criteria. Explicitly describe activities under each criterion:

- Scientific/Technical Contributions
- Contributions to NCAR Programs
- Community Service
- Supervision and Management (if appropriate)

B. Estimate of effort during the prior 12 months

In the table, provide an estimate of the level of effort expended in the past year in each of the four criteria areas, and the anticipated levels for next year.

C. Planned activities and professional goals for next year

Outline a work plan for the coming year and where appropriate include a research project(s) overview description with anticipated major goals, milestones and collaborators. Explain any significant changes in the anticipated levels of effort in the four criteria areas.

II. MATERIALS PREPARED BY THE SUPERVISOR

A. Assessment of the employee's performance

The supervisor develops a narrative describing the employee's performance, which should be measured against the NCAR Ladder-Track Criteria. If there is more than one supervisor, the primary "supervisor of record" should develop the narrative, with input from co-supervisors. The narrative is the principal part of the evaluation and supports the ratings in Section III. Develop this narrative evaluating the employee's performance during the prior 12 months. Refer to Appendix A for sample categorization of activities.

B. Proposed work plans and professional goals for employee

The supervisor should briefly assess the employee's work plans and professional goals for the next year, and discuss any areas where further professional development or effort may be needed. The employee and supervisor collaboratively develop this plan, including the anticipated level of effort in the four criteria areas. These plans are subject to review, revision and approval of Laboratory/Observatory management.

III. MATERIALS PREPARED BY LABORATORY/OBSERVATORY

NCAR Scientist and Research Engineer Summary Appraisal

The NCAR Associate Director defines the process for the completion of the summary appraisal. The ratings should be based on the supervisor's overall appraisal of the employee's performance as described in section II.A and calibrated by intra peer-group comparisons. Employee performance should be rated by marking the appropriate box.

Ratings Guidance

Significantly exceeds NCAR's high expectations: This is reserved for ladder-track staff whose performance during this 12-month review period exceeds expectations in this criteria category and distinguishes them from the vast majority (i.e., ~80% or more) of NCAR scientists and research engineers within their peer group.

Meets NCAR's high expectations: This is consistent with achieving NCAR's high standards. The vast majority (i.e., ~80% or more) of NCAR ladder-track employees perform at this level.

Does not meet job requirements: Requires an immediate improvement plan with specific deadlines to meet goals to bring performance up to a minimum level. (Please consult with Human Resources for appropriate wording.)

Overall Performance Rating: Indicate the overall performance of the employee and whether he/she met or exceeded the job requirements or did not by circling the appropriate phrase. This rating is required.

IV. SIGNATURES

The employee can comment on the appraisal in this section. After obtaining the required signatures below, the Laboratory/Observatory will submit the completed performance appraisal document and attachments to Human Resources by the due date per the performance appraisal process timeline.

Appendix A

NCAR Ladder-Track Criteria and Categorization of Exemplary Activities

The NCAR Ladder-Track Criteria are listed below with some typical examples of activities that clarify and illustrate the scope of accomplishments that should be called out in the performance appraisal document. In cases where accomplishments span criteria (e.g., scientific mentorship of a student from an underrepresented group), please elaborate in the narrative.

Scientific/Technical Contributions

- Productivity and creativity with regard to new and innovative research, publications, citations, inventions, patents, grants activity, seminars, and presentations.
- Leadership with regard to scientific/technical project coordination or development, appointments to scientific/technical/program committees in leadership positions, scientific/technical mentorship.
- National/International honors and awards.
- Breadth with regard to range of research activities and depth in multiple research areas.

Contributions to NCAR Programs

- Breadth with regard to contributions to high-priority multidisciplinary projects, facilities, or internal advisory groups.
- Leadership with regard to development or coordination of high-priority multidisciplinary projects or working groups, organization/management of activities relating to major NCAR Programs (e.g., observing facilities, super computer support, WRF, CESM, WACCM, etc.), internal management (e.g., strategic planning, WMP, NSA, advisory panels and ad hoc committees).
- Service (e.g., assistance to users of facilities, models, software framework, instruments, or contributions to field programs).

Community Service

- Service to the scientific and research community (e.g., contributions to education, outreach, communicating science, or professional society activities, reviews, recruitment, nonscientific/nontechnical mentoring or professional development of staff and visitors; student mentoring, Ph.D. committees, teaching courses, editorships, reviewing papers and grant applications, professional society, committees, review and steering committees, advisory boards outside of NCAR, communication to society, etc.).
- Activities that support increased diversity of either the NCAR workforce or external community (e.g., service to the scientific or research community aimed at underrepresented groups).

Supervision and Management (if appropriate)

- Supervisory skills: Training, developing, directly managing and motivating employees; teambuilding and delegating (e.g., number of persons supervised, type of supervision, level of involvement, team leadership, etc.)
- Management skills: Managing budgets, projects, development and oversight of project timelines and priorities.