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.

Instructions:

I. MATERIALS SUBMITTED BY THE EMPLOYEE
The employee will provide information to his/her supervisor regarding activities during the performance period, as well as plans for the next year. 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. See Appendix A for examples. Consult with your Laboratory/Observatory management for additional instructions.
B. Estimate of effort during the prior 12 months

Provide an estimate of the level of effort expended in the past year in each of the four criteria areas.

<table>
<thead>
<tr>
<th>Scientific/technical contributions and excellence</th>
<th>Contributions to NCAR programs</th>
<th>Community service</th>
<th>Direct supervision and management (if appropriate)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimate of effort for review period (Total = 100%)</td>
<td>%</td>
<td>%</td>
<td>%</td>
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</table>

C. Work plan and professional goals for the next year

Provide a work plan for the coming year and where appropriate include project descriptions with anticipated milestones, project participants, resources needed and community participation. Note that the employee plans will contribute to the development of the planning narrative submitted by the supervisor in Section II and approved by the Laboratory/Observatory.

D. Estimate of effort for the next year

Provide an estimate of the anticipated level of effort for each of the four criteria areas.

<table>
<thead>
<tr>
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<th>Community service</th>
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</tbody>
</table>

E. Metrics (optional)

The laboratory/observatory may request additional metrics (e.g. NCAR Annual Report Metrics https://www.ncar.ucar.edu/internal/metrics/)

II. MATERIALS SUBMITTED BY SUPERVISOR

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.

A. Narrative of Employee’s Performance

The narrative is the principal part of the evaluation and supports the matrix ratings in section III. Develop this narrative evaluating the employee’s performance during the prior 12 months based on the NCAR Ladder-Track Criteria. Refer to Appendix A for sample categorization of activities.
NCAR Scientist and Research Engineer Performance Appraisal

B. Proposed Work Plan and Professional Development for Employee

The planning narrative should briefly describe next year's work plan and professional goals. The employee and supervisor collaboratively develop this plan, including the anticipated level of effort in the planning table. The plan is subject to review, revision and approval of Laboratory/Observatory management.

Planning Narrative:

Planning Table:

<table>
<thead>
<tr>
<th></th>
<th>Scientific/technical contributions and excellence</th>
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<th>Community service</th>
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C. Performance Appraisal Summary

The supervisor provides a short summary of the employee’s overall performance, and indicates whether performance meets or does not meet expectations.

III. MATERIALS SUBMITTED BY THE LABORATORY/OBSERVATORY

NCAR Scientist and Research Engineer Appraisal Matrix

The NCAR Associate Director defines the process for the completion of the appraisal matrix.

The matrix ratings should be based on the supervisor’s appraisal of the employee’s performance as detailed in section II.A and calibrated by intra peer-group comparisons. Employee performance should be rated in each column/criteria by marking the appropriate box with an “X”. Any
differences between the employee’s (section I.B) and the Laboratory/Observatory effort estimates must be explained in an accompanying comment.

**MATRIX RATINGS GUIDANCE**

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

**Needs to demonstrate additional effort and/or undertake further skill development:** identifies an area where the employee would benefit from additional attention or development. Ratings in this category require specific recommendations for improvement and development.

**Does not meet expectations:** 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.)

<table>
<thead>
<tr>
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<tr>
<td><strong>Significantly exceeds NCAR's high expectations</strong></td>
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<tr>
<td><strong>Meets NCAR's high expectations</strong></td>
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<tr>
<td><em>(the majority of NCAR ladder-track employees perform at this level)</em></td>
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<tr>
<td><strong>Needs to demonstrate additional effort and/or undertake further skill development</strong></td>
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<td></td>
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<tr>
<td><strong>Does not meet expectations</strong></td>
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</table>

**Employee’s Overall Performance is rated as:** (Please circle one.)

- **Performance Meets or Exceeds Job Requirements**
- **Performance Does Not Meet Job Requirements**

March 19, 2012
Employee's Comments:

Signatures
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.

I have had the opportunity to read and discuss this appraisal with my supervisor. (Signature does not imply agreement or disagreement.)

Employee Signature ___________________________ Date __________
Supervisor Signature ___________________________ Date __________
Div Dir/Prog Mgr Signature ________________________ Date __________
NCAR Assoc Dir Signature _________________________ Date __________

Attachments:  NCAR Ladder-Track Criteria and Categorization of Exemplary Activities
    Employee’s materials (I.A)
    Supervisor’s materials (II.A)
    UCAR Conflict of Interest Statement
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 (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