**Annex 2.1. Documents for Annual Staff Appraisal\***

# This annex presents three documents that are the core of the Urban Institute’s (Washington, DC) annual staff appraisal:

# A memo outlining the process to all staff

# The Evaluation Form completed by the person being assessed and his/her supervisor, parts of which are completed only by and for staff with particular responsibilities

# A memo addressed to the Institute’s most senior researchers, who use a different procedure to report their accomplishments from the section in the Evaluation form for self-reporting. Essentially, these staff members compose an essay about their work over the year.

# T H E U R B A N I N S T I T U T E

**M E M O R A N D U M**

**TO:** All Staff

**FROM:** *Director of Human Resources*

**DATE:** September 7, 2012

**SUBJECT:** 2012 Performance Appraisal Review

This memo, the forms and policies described below, and the schedule for the appraisal process, are available on the human resource office’s intranet page. A handy performance appraisal schedule is at the end of this memo.

The annual performance appraisal process is composed of two parts: the employee’s self-assessment and the supervisor’s evaluation of the employee’s performance. A short description of each of these evaluations follows.

Generally, all regular full- and part-time employees participate in the annual appraisal process. However, your supervisor may postpone your appraisal if you were hired too recently to adequately evaluate your performance or if a three- or six-month appraisal has recently been completed**. It should be noted, however, that a completed performance appraisal is a prerequisite for the salary review process**.

**Self-Assessment** - The self-assessment is an opportunity to review your accomplishments and the quality of work you performed during the past twelve months; to set goals and objectives for the coming year; and to think about what skills or training may be required to develop and stay competitive in your current position or help qualify you for a new one. It also provides a basis for an important discussion with your supervisor. You should complete and sign the self-assessment by **September 28** and give it to your official supervisor.

***Attention Researchers***: The appraisal process for Senior Fellows differs from that for other research grades (RA thru SRA). Researchers who are not Senior Fellows use the two-part assessment/evaluation form on the HR intranet. See the appraisal section on the HR intranet for more information and all forms you will need.

**Supervisor’s Evaluation** - Your supervisor will review the self-assessment; collect additional information from others for whom you have worked or provided services during the year; provide written comments about your statement of accomplishments; identify areas of especially strong performance; indicate ways to strengthen or enhance your job performance; and discuss goals and objectives for the coming year. You will also be rated on a set of performance factors according the scale below. Supervisors are encouraged to make comments on all ratings, but must explain all ratings other than “Fully Successful.”

**Performance Ratings:**

 **E Exemplary** level of performance: The employee accomplishes every requirement of the position in a truly exceptional manner, adding to its depth and breadth by consistently working well beyond its defined scope and expectations. (Even the very highest-performing employees cannot perform at an exemplary level all of the time.)

 **S Superior** level of performance: The employee meets all performance criteria and far exceeds several, but not all, other criteria.

 **F Fully Successful** performance: The employee has accomplished all normal requirements and consistently meets all of the Institute’s usual high expectations of performance. (Most employees will receive this rating.)

 **I Improvement Required**: The employee falls short of achieving one or more job requirements or goals. Improvement in the form of corrective action on the part of the employee, further training, or closer supervision is required for the employee to satisfy job requirements and become fully proficient.

 **D Serious Deficiency**: The employee consistently or frequently fails to achieve key job factors. Approach to or accomplishment of job responsibilities in one or more areas requires substantial improvement. The employee’s performance is significantly below the level required to successfully perform the job. Immediate corrective action is required.

**Appraisal Discussion** - Supervisors are asked to give employees at least 24 hours to review the supervisor’s evaluation prior to the performance appraisal discussion. The supervisor will schedule a private discussion to review the written appraisal and to set future work objectives. You may also discuss ways in which your supervisor can help strengthen or enhance your performance. Performance appraisal discussions must take place before the appraisal is submitted to HR.

**Signatures** - The employee must sign the self-assessment before giving it to the supervisor. Both the employee and the supervisor must sign the supervisor’s evaluation to acknowledge its receipt and to acknowledge that the appraisal discussion has taken place. A signature does not necessarily indicate agreement with the supervisor’s evaluation. An employee may, if he or she wishes, add a statement to the appraisal if it is properly submitted through the supervisor to the personnel office. **Completed performance appraisal forms are due in the Human Resources office no later than October 26.**

**Requests for Reclassification (Admin & IT Staff)** - Supervisors and/or Administrative or Information Technology staff may request to have the human resources office review and “reclassify” a position. This process may (or may not) result in the position’s grade level being changed when significant, measurable changes in the level of responsibility, authority, or scope of the job have been demonstrated consistently over time. Changes in the amount of work alone will not result in reclassification. The reclassification process is not part of the performance appraisal, but the appraisal will help assess the employee’s current level of skills.

Employees are reminded that the Institute’s grade levels allow for a wide range of salary and performance growth within each grade and that there is considerable overlap between grades. Please notify the human resources office as soon as possible of your intent to request a reclassification to allow sufficient time for the evaluation process.

**Research staff promotions** - Members of the research staff may be nominated by their Center Directors for promotion. Promotions are not part of the performance appraisal process, although the appraisal will be considered part of the Center Director’s nomination for promotion, along with writing samples and an updated resume. All promotions must be approved by the Salary Review Committee. Standards for promotion to RAII, RAI, SRA and senior Fellow are located on the HR intranet in the “salary review” section.

***Important note:*** *All requests for reclassification/promotion are due in the Human Resources office no later than close of business* ***October 26****.*

**New to UI or Want More Information?**

Attend the upcoming brown bag lunch meeting at noon:

**September 12**

 - ***Performance Appraisal for New Employees***, **Conference Room** **4A**

This session will review the self-assessment process and will address the following topics: how to evaluate your performance constructively; goals setting; career development; what to do if I disagree with my supervisor?

**2012**

**Performance Appraisal**

**Schedule**

September 7 All-staff memo on performance appraisal process distributed.

All forms available on-line and on human resource’s intranet page.

September 12 Brown Bag lunch discussion: *Performance Appraisal for New Employees* on self-assessment and goal setting, noon, Conference Room 4A.

September 28 Self-assessments are due to supervisors.

October 26 Supervisors and employees must have held performance appraisal discussions. Completed performance appraisals are due in Human Resources. Requests for reclassification1 (admin and information tech staff) and promotion2 (research staff) are due in Human Resources.

1 Reclassification requests consist of a cover memo, copy of performance appraisal, and job description questionnaire (Admin & IT staff).

2Research Promotion requests consist of a Request for Promotion form for promotions to RA2 or RA1 or simply a cover memo for promotion to SRA or Senior Fellow, a copy of the performance appraisal, resume, and writing samples (Research staff).

 **T H E U R B A N I N S T I T U T E**

 **ANNUAL PERFORMANCE APPRAISAL (PART ONE)**

 **EMPLOYEE SELF-ASSESSMENT**

**Employee’s Name: Job Title:**

**Center: Period Covered:**

**(from/to)**

**1.** List your major accomplishments during the appraisal period: **Research Staff examples** include: data collection and analysis, literature reviews, research reports/publications, research proposals and other fundraising activities, special external activities (speeches, testimony, briefings); special internal activities (committees, presentations, staff development). **Administrative and Information Technology Staff examples** include: ways you have contributed to the efficiency and performance of your center/office, include special activities such as committee participation, presentations, etc.

**2.** Did you achieve the objectives set by you and your supervisor during the last year? (Please explain.)

**3.** During this period did you take on new major responsibilities or expanded supervisory responsibilities? If so, how? If research staff, has the level of your research increased? If so, how?

**4**. Have you recently acquired new job-related skills or attended courses that will prepare you for additional responsibilities in the future or enhance your skills in your current position? If so, please specify.

**5**. If you have had budgetary/project management responsibilities during the past year, have you operated within budget and on schedule? Please explain.

**6**. What steps have you taken to address the career development of those who report to you? (For employees with supervisory responsibility only - others mark N/A)

**7.** Indicate areas in which you hope to improve your performance and goals you wish to achieve during the coming year.

**8.** Are there ways in which your supervisor(s) can assist you in improving your performance or achieving your goals? If so, please indicate:

\_\_\_\_ make expectations clearer

\_\_\_\_ provide more frequent feedback

\_\_\_\_ set more realistic work deadlines

\_\_\_\_ provide additional resources such as:

\_\_\_\_ other (specify):

**9**. Are there other aspects of your job that you would like to discuss during the performance review? If so, please specify.

**10.** Are there other people who have directed your work during the rating period? If so, please list their names and give a brief description of the work done.

Note: Research Staff should attach a current resume to this assessment.

**Employee’s Signature:**

**Date:**

 **T H E U R B A N I N S T I T U T E**

 **ANNUAL PERFORMANCE APPRAISAL (PART TWO)**

 **SUPERVISOR'S EVALUATION OF EMPLOYEE**

**Employee's Name:** **Job Title:**

**Center:** **Period Covered (from/to):**

(If more space is needed, attach additional sheets.)

**A.** Comment on the employee's self-assessment of job performance for the appraisal period and note any significant omissions. If your view of employee's performance differs from that of employee, please explain.

**B.** Comment on the employee's goals for the coming year as stated in the self-assessment and any additional objectives you have set for the employee. If you do not concur with the objectives stated by employee, please explain.

**C.** Identify the employee's strengths. Give examples of exemplary or outstanding performance.

**D.** Note any areas of performance that need improvement and describe your plan for correcting them.

**The following question is for future planning and career development purposes and is not part of the assessment of the prior year’s job performance. It should be used as a basis for discussion of the employee’s long-term career development.**

**E.** Make at least one suggestion that, if followed, could enhance the employee's performance, strengthen skills, or improve the employee’s opportunity for advancement or career growth.

**F.** **General Performance Factor Ratings**: Using the definitions provided below, rate each of the following general performance factors according to the typical level of competency demonstrated by the employee.

**E EXCEPTIONAL** level of performance: Employee accomplishes requirements of the position in an exemplary manner, adding to its depth and breadth by consistently working beyond its defined scope and expectations. NOTE: even the very highest-performing employees cannot perform in an exemplary manner all the time. **\*Cite specific examples.**

**S SUPERIOR** level of performance: Employee’s performance meets all performance criteria and far exceeds several, but not all, other criteria. **\*Cite specific examples.**

**F** **FULLY** **SATISFACTORY** performance: Employee has accomplished all normal requirements and consistently meets all of the Institute's usual high expectations of performance.

**I** **IMPROVEMENT REQUIRED:** The employee falls short of achieving one or more job requirements or goals. Improvement is required in order to fully meet the requirements of the job. It is expected that some new employees who are still learning aspects of their positions will receive this rating for some factors. **\*Cite specific examples where performance needs improvement and provide a plan for achieving improvement.**

**D** **SERIOUS** **DEFICIENCY** in approach to or accomplishment of the job: Substantial improvement is required to meet the requirements of the job. **\*This rating must be explained fully by the supervisor and unless extraordinary circumstances exist, must have been the subject of a previous face-to-face counseling session with the employee. Such rating constitutes a written warning of a serious performance problem as required in UI Policy 112, Addressing Performance Concerns.**

**CA = CANNOT ASSESS** **NA = NOT APPLICABLE**

**FOR ALL EMPLOYEES:**

**GENERAL PERFORMANCE FACTORS**

**1.** **Quality of Work**/content, accuracy, follow-through, thoroughness, creativity:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**2.** **Productivity**/quantity of high-quality work:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**3.** **Organizational Skills & Timeliness**/plans and organizes work efficiently; produces results on a timely basis:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**4.** **Technical Skills**/competence in performing technical work (please specify\*):

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**5.** **Initiative**/self-starter; works well without detailed instructions:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**6**. **Problem Solving**/anticipates or recognizes relevant problems and recommends or applies solutions:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**7.** **Writing Skills**/produces concise, readable written work:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**8.** **Oral Communication Skills**/transmits or presents information articulately, accurately, and in a timely and professional manner:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**9.** **Flexibility**/adapts well to changing priorities and work situations; adjusts easily to new colleagues, ideas, and procedures:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**10.** **Interpersonal Skills**/positive work attitude and ability to work with others to facilitate group performance:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**11.** **Work Habits**/attendance and punctuality:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**FOR RESEARCH STAFF ONLY:**

**12.** **Policy Understanding**/knowledge of policy issues and the ability to relate them to research and vice versa:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**13.** **Conceptual Ability**/the ability to formulate and design research plans:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**14.** **Professional Involvement**/presentations at professional meetings, articles in refereed professional journals, briefings, testimony, etc.:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**15.** **Raising Funds to Support Research**:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**FOR SUPERVISORS AND MANAGERS:**

**16.** **Supervisory Skills**/makes timely and effective decisions, provides constructive feedback, develops staff, resolves performance issues appropriately, uses staff efficiently, and keeps staff apprised of Institute policies, practices, and objectives:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**17.** **Financial Management**/uses financial resources efficiently and stays within budget:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**18.** **Compliance with Organizational Policies and Procedures**/integrates office objectives with those of the Institute:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**19.** **Compliance with the Institute's Affirmative Action Program**/meets, and ensures that subordinates meet program objectives; ensures good faith efforts to include underrepresented groups in recruitment and promotion decisions:

[ ] E\* [ ] S\* [ ] F [ ] I\* [ ] D\* [ ] CA [ ] NA

**G.** Based on all parts of the above evaluation, what is your overall assessment of this employee's performance?

**Additional Comments:**

**SIGNATURES:**

**Rating Supervisor:** **Date:**

 (if different from center/office director)

**Center/Office Director: Date:**

**Employee's Signature:\*** **Date of Appraisal Discussion:**

(\*signature acknowledges that employee

has read the appraisal)

**Executive/Human Resources Office Review:**

**Signature: Date:**

**THE URBAN INSTITUTE**

**2100 M STREET, N.W. / WASHINGTON D.C. 20037**

Phone

Director of Human Resources Fax

 E-mail

**TO:** All Senior Fellows

**CC:** Center Directors

**FROM:** Director of Human Resources

**SUBJECT:** 2009 Performance Assessments

**DATE:**  September 15, 2009

Over the years, a number of Center Directors and many Senior Fellows (formerly PRAs) have expressed the opinion that the forms we use for your annual performance appraisals are cumbersome, time consuming, and don’t prompt constructive conversations between Senior Fellows and Center Directors about strengths, weaknesses, and objectives for the coming year.

Therefore, this year we will shift to an appraisal format similar to the annual memos that \_\_\_ requests from Center and Office Directors. This approach will also incorporate some independent indicators (generated by UI management systems) that reflect a *subset* of the dimensions of performance that we value.

The new process will work as follows:

You will write a self-assessment memorandum to your Center Director that addresses each of several areas of leadership, discussing accomplishments, strengths, and weaknesses, and explicitly referencing the independent indicators referenced below. The areas addressed in this memo should include:

* + **Research** -- summarize your substantive accomplishments and work underway, highlighting quality and rigor; creativity and innovation; relevance and importance.
	+ **Communication** -- describe effectiveness in outreach, including testimony, op-eds and media interviews, speeches, publications, reports and issue briefs.
	+ **Business** -- discuss successes and failures, including fundraising, project and PD financial management, on-time deliverables, and client relationships.
	+ **People** -- assess strengths and weaknesses, including intellectual leadership, supervision and mentorship, turnover, recruitment, and staff development.
	+ **Institution** -- describe contributions to UI, including cross-center collaboration, interaction with support offices, and service on committees.
	+ **Future** Vision – look ahead 3 to 5 years and comment on likely developments in your areas of expertise, how you are positioned to shape them or respond to them, and what kinds of support your center and UI could provide to help.

Some time later today or tomorrow, I provide each Senior Fellow a centrally-generated report containing key financial performance indicators. Note that this report won’t fully reflect proposals and projects for which you are a co-PI or cross-center collaborative work. Your memo should explain and discuss accomplishments that aren’t fully reflected in these financial indicators. But note that you should not feel that you need to recompute them all with additional data.

Your center administrator will also generate a preliminary list of your publications, speeches, and testimony (based on what you’ve been providing for your center’s bi-monthly reports) and a list of your active projects (drawn from JAMIS). Again, your memo can expand or correct this information, and discuss collaborative and cross-center projects in your discussion.

Finally, your Center Director will provide a short narrative to your memo, after which you and your Center Director meet to discuss accomplishments, challenges, and forward-looking objectives.

We hope this new approach will more closely meet all of our needs. If you have any questions or concerns about this process, feel free to contact me or your Center Director.