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**UNIVERSITY SHRA EMPLOYEE  
ANNUAL PERFORMANCE APPRAISAL PROGRAM**

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**SAMPLE  
SOCIAL/CLINICAL RESEARCH  
SPECIALIST (JOURNEY)**

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**ANNUAL APPRAISAL FORM**

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## **SOCIAL/CLINICAL RESEARCH SPECIALIST (JOURNEY)**

**College of Global Enterprises & Governance - School of Economics**

C-NOTES is an economic research center attached to the School of Economics. It is fashioned as a “think-tank” for analyzing and reporting on trends and factors affecting economic growth, stability, and new markets, with two major long-term grant projects, Business Undervalued Liquidities and Liabilities [BULL] and Business Environmental Applications and Resources [BEAR], and several smaller short-term grant projects.

This position reports to the Principal Investigator for the BULL project. This position’s primary purpose is to supervise staff conducting data collection and collation for the BULL project and administer data management and analysis in consultation with the Principal Investigator. It combines a supervisory role with a research analytical role and will also serve as author or co-author on result reporting. This position may also draft grant proposals and administer additional smaller grants.

<b>1</b>	<b>25%</b>	<p><b>SUPERVISION</b></p> <ul style="list-style-type: none"> <li>• Supervise four staff members [S/C Research Assistants].</li> <li>• All supervisory functions are delegated to this position, including recruitment and hiring, job descriptions and compensation, performance management, disciplinary actions, and managing work scheduled and leave requests.</li> </ul>
<b>2</b>	<b>30%</b>	<p><b>RESEARCH ADMINISTRATION</b></p> <ul style="list-style-type: none"> <li>• Establish, then oversee, workflow methodology.</li> <li>• Establish timelines, then assign tasks to staff to ensure milestones are met.</li> <li>• Write and enforce research protocol standards according to the terms of the grant.</li> <li>• Establish data management standards and guide staff in adhering to them.</li> </ul>
<b>3</b>	<b>30%</b>	<p><b>QUALITY CONTROL AND DATA ANALYSIS</b></p> <ul style="list-style-type: none"> <li>• Research and resolve any issues or discrepancies with study data.</li> <li>• Guide staff in collating data into the format best suited for a given task.</li> <li>• Take collated data and draw preliminary conclusions for discussion with the PI.</li> <li>• Identify gaps in data or methodology and take steps to resolve the issues.</li> <li>• Identify any additional needs the project team may have and propose solutions.</li> </ul>
<b>4</b>	<b>10%</b>	<p><b>RESULTS REPORTING</b></p> <ul style="list-style-type: none"> <li>• Serve as author or co-author for report-outs as assigned.</li> <li>• These may include status updates to the granting agency[ies], oral and/or written presentation of work to professional groups or journals, or informational sessions for other groups as needed.</li> </ul>
<b>5</b>	<b>5%</b>	<p><b>ADDITIONAL DUTIES</b></p> <ul style="list-style-type: none"> <li>• Additional duties as assigned; may include but are not limited to:</li> <li>• Representing the project on local economic leadership committees;</li> <li>• Representing the project to constituents of the University research community; and</li> <li>• Serving on the C-NOTES leadership team.</li> </ul>

## University SHRA Annual Performance Appraisal Form

<b>ANNUAL PERFORMANCE APPRAISAL CYCLE</b> <i>(Dates From/To):</i>		<b>04-01-2016</b>	to	<b>03-31-2017</b>
<b>Dept. Name:</b>	C-NOTES	<b>Employee Name:</b>	Sam Smith	
<b>Dept. #:</b>	602099	<b>Employee ID:</b>	1234-56789	<b>Position #:</b> 9999555
<b>Supervisor Name:</b>	Don Draper	<b>Employee Classification:</b>	Social/Clinical Research Specialist	
<b>Supervisor Title:</b>	Principal Investigator, BULLS	<b>Competency Level:</b>	Journey	

### PART 1: PERFORMANCE PLAN (see instructions on page 2)

<ul style="list-style-type: none"> <li>Review the <b>Institutional Goals</b> with the employee.</li> <li>Define the <b>Individual Goals</b> for the employee (no less than 3, no more than 5).</li> <li>Provide <b>Talent Development Goals</b>, as needed.</li> </ul>	<ul style="list-style-type: none"> <li>Indicate below the <b>Weight</b> of each goal toward the <b>Final Overall Rating</b>. Each goal must be at least 5%.</li> <li>The total weight of the <b>Institutional Goals</b> must equal 50%.</li> <li>The total weight of the <b>Individual Goals</b> must equal 50%.</li> </ul>
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<b>Type of Plan:</b>	<b>Initial Performance Plan:</b>	<b>X</b>	<b>Revised Plan during Performance Cycle:</b>
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### PART 2: INSTITUTIONAL GOALS (see instructions on page 2)

Review the institutional goals with each employee. Discuss these goals in relationship to the duties on the employee's position description. Provide additional clarification of specific expectations as needed. Weight each goal.

<b>EXPERTISE</b>	<b>ENTER WEIGHT:</b>	<b>10%</b>
<ul style="list-style-type: none"> <li>a. <b>Precision:</b> Produces work that is accurate, thorough, and demonstrates sufficient analysis and decision-making to meet the requirements of the employee's position and profession.</li> <li>b. <b>Resourcing:</b> Makes efficient and appropriate use of materials and documents work appropriately.</li> <li>c. <b>Innovation:</b> Looks for ways to improve efficiency or quality.</li> <li>d. <b>Development:</b> Maintains technical skills and relevant professional credentials.</li> </ul>		
<b>ACCOUNTABILITY</b>	<b>ENTER WEIGHT:</b>	<b>10%</b>
<ul style="list-style-type: none"> <li>a. <b>Productivity:</b> Completes required volume of work by established deadlines and stays productive throughout workday.</li> <li>b. <b>Autonomy:</b> Generally completes work with few reminders and/or infrequent oversight.</li> <li>c. <b>Prioritizing:</b> Takes sufficient/appropriate measures to plan and organize work, prioritize tasks, and set realistic goals.</li> <li>d. <b>Coordination:</b> Seeks needed information to complete work and timely communicates status with relevant parties.</li> </ul>		
<b>CUSTOMER-ORIENTED</b>	<b>ENTER WEIGHT:</b>	<b>5%</b>
<ul style="list-style-type: none"> <li>a. <b>Clarity:</b> Listens to determine the most effective way to address customer needs and concerns.</li> <li>b. <b>Awareness:</b> Shows a solid understanding of customer needs, seeks out customer input to better understand needs, and develops ideas to meet those needs.</li> <li>c. <b>Attentiveness:</b> Follows through on commitments, despite time pressures or obstacles, and maintains relevant communication with customers until job is completed.</li> <li>d. <b>Diplomacy:</b> Maintains a professional and respectful tone and exhibits diplomacy when dealing with frustrated individuals or during sensitive or confrontational situations.</li> </ul>		

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<b>TEAM-ORIENTED</b>	<b>ENTER WEIGHT:</b>	<b>5%</b>
<p>a. <b>Collegiality:</b> Communicates and engages directly, clearly, and tactfully with colleagues.</p> <p>b. <b>Collaboration:</b> Provides feedback and healthy dialogue on performance and operational issues, as requested, willingly adapts to change, and adheres to decided actions.</p> <p>c. <b>Contribution:</b> Makes decisions with others in mind, and willingly performs additional duties when team members are absent, during times of increased workload, or as otherwise required by management to meet business needs.</p> <p>d. <b>Attendance:</b> Absences are infrequent and do not place an undue burden on supervisor or colleagues.</p>		
<b>COMPLIANCE &amp; INTEGRITY</b>	<b>ENTER WEIGHT:</b>	<b>10%</b>
<p>a. <b>Policy:</b> Complies with personnel and equal opportunity policies, including prohibitions on harassment, discrimination, and workplace violence, and all other policies, including appropriate use of university resources.</p> <p>b. <b>Safety:</b> Complies with all safety requirements for the position, including successful completion of training and proper use of personal protective equipment.</p> <p>c. <b>Ethics:</b> Chooses ethical actions, even under pressure, avoids situations considered inappropriate or that present a conflict of interest, holds self and others accountable for ethical decisions.</p> <p>d. <b>Respect:</b> Appreciates individual and cultural differences and treats all people with dignity and respect.</p>		
<b>SUPERVISION</b> <i>(for supervisors only)</i>	<b>ENTER WEIGHT:</b>	<b>10%</b>
<p>a. <b>Oversight:</b> Provides adequate stewardship of assigned resources, including budget, space, equipment, and staffing.</p> <p>b. <b>Goal-Setting:</b> Provides clear objectives that foster work unit development and align with University values and goals.</p> <p>c. <b>Managing Talent:</b> Provides candid, timely, and constructive feedback on performance and behavior, hires individuals with the qualities and skillsets for success, and contributes to meeting University's EO and affirmative action goals.</p> <p>d. <b>Leading:</b> Serves as role model and engenders trust, commitment, and civility.</p>		

<b>PART 3: INDIVIDUAL GOALS</b>	<i>(see instructions on page 2)</i>
Set 3 to 5 individual goals for each employee based on key business needs and strategic goals. Weight each goal.	

<b>GOAL #1 -- Title:</b>	<b>TALENT ACQUISITION</b>	<b>ENTER WEIGHT:</b>	<b>15%</b>
<b>Description:</b>	<ul style="list-style-type: none"> <li>As part of Phase 2 of the BULL Project (data collection), complete hiring and training of two new well-qualified research assistants prior to September 1, 2016 to ensure the data collection phase can proceed fully-staffed and on-schedule for a December 2017 completion date.</li> <li>Hiring actions must comply with University policies and procedures.</li> <li>Examples of exceeding expectations may include additional effort in targeted recruitment strategies or completing recruitment and training of new staff before August 1, 2016.</li> </ul>		

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<b>GOAL #2 -- Title:</b>	<b>DATA ENHANCEMENTS</b>	<b>ENTER WEIGHT:</b>	<b>15%</b>
<b>Description:</b>	<ul style="list-style-type: none"> <li>Complete modifications to C-NOTES database in advance of data collection (preferred deadline: October 1, 2016) so that the database is prepared for data entry in December 2016.</li> <li>Table/field structures must be consistent with other C-NOTES projects to allow cross-reporting.</li> <li>Data report templates must comply with the Director's guidelines (distributed May 2014).</li> <li>User guide, FAQs, and training for C-NOTES staff must be completed no later than early November 2017 so that staff are fully prepared for data entry.</li> <li>Format and scope of materials should be consistent with the BEAR project guide and include contingency scripting consistent with those used in the Telluride project.</li> </ul>		

<b>GOAL #3 -- Title:</b>	<b>VISIBILITY</b>	<b>ENTER WEIGHT:</b>	<b>10%</b>
<b>Description:</b>	<ul style="list-style-type: none"> <li>Present the Telluride research at the CGEG Symposium in July 2016 so that your work and our program receive increased positive visibility within our academic research community.</li> <li>Attend at least four of the Dean's monthly luncheons this cycle to increase your positive visibility/networking with other researchers in the College.</li> <li>Review C-NOTES contributions to RePEc and present a summary at the fall retreat in November so that determinations can be made at the retreat for best next steps. Schedule several review sessions with me prior to the retreat to go over materials.</li> </ul>		

<b>GOAL #4 -- Title:</b>	<b>FUNDING &amp; GROWTH</b>	<b>ENTER WEIGHT:</b>	<b>5%</b>
<b>Description:</b>	<ul style="list-style-type: none"> <li>Work with the CGEG and University development offices to propose at least two marketing strategies for funding outreach before March 31, 2017, with at least one of the strategies directed toward Alumni, so that the department can expand its available funding resources and research support network.</li> <li>Submit at least two grant proposals before March 31, 2017 (possible topics and collaboration opportunities to be determined from our ongoing discussions and discussions at the fall retreat in November).</li> </ul>		

<b>GOAL #5 -- Title:</b>	<b>QUALITY CONTROL</b>	<b>ENTER WEIGHT:</b>	<b>5%</b>
<b>Description:</b>	<ul style="list-style-type: none"> <li>For areas with a response rates lower that 50%, determine possible causes and execute a strategy for follow-up contacts to bring all completed areas to at least a 50% response rate by February 1, 2017 so that our dataset is more complete for analysis.</li> <li>Exceeding expectations may include achieving a 60% return rate or better.</li> </ul>		

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<b>Supervisor Title:</b>	Principal Investigator, BULLS	<b>Competency Level:</b> Journey		

<b>PART 4: TALENT DEVELOPMENT PLAN</b>	<i>(see instructions on page 2)</i>
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At the beginning of the performance cycle, the supervisor should discuss development opportunities with the employee and list below any development activities established for the current cycle. Include resources that will be provided to the employee and indicate deadlines as needed. Progress under the talent development plan should be discussed periodically with the employee.

Attend at least two supervisory training classes offered through the Office of Human Resources this fiscal year to enhance understanding of supervisory responsibilities/obligations at the University.

Attend the IABE Conference in March 2017 (travel and accommodations will be funded by the Center).

<b>PART 5: SIGNATURES FOR PERFORMANCE PLAN</b>	<i>(see instructions on page 2)</i>
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<b>2<sup>nd</sup> – Level Supervisor:</b>		<b>Date:</b>	
<b>Supervisor:</b>		<b>Date:</b>	
<b>Date of Review Session with Employee:</b>			
<b>Employee Acknowledgement:</b> I acknowledge that I have received this performance plan and that if I choose, I may write additional comments to include with this document.			<b>(Check this box if you are attaching comments.)</b>
<b>Employee:</b>		<b>Date:</b>	

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<b>PART 6: OFF-CYCLE REVIEWS</b>	(see instructions on page 2)
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Document all off-cycle reviews completed during the performance cycle.

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
10-25-16	X			DAD	SAS
<b>Comments:</b>	Sam is making sufficient progress in all areas. He has completed two excellent hires (Goal 1). We are slightly behind on the data enhancements (Goal 2) but not significantly. His presentation at the July Symposium went very well, and we are on track in preparations for the presentation at the November retreat (Goal 3). Sam has not begun working on Goals 4 & 5, but these will ramp up in the latter part of the cycle.				

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
<b>Comments:</b>					

Date of Review	Interim	Probationary	Other	Supervisor Initials	Employee Initials
<b>Comments:</b>					

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<b>PART 7: ANNUAL PERFORMANCE APPRAISAL</b>	<i>(see instructions on page 2)</i>
<ul style="list-style-type: none"> <li>• Rate each <b>Individual</b> and <b>Institutional Goal</b>. <ul style="list-style-type: none"> <li>▪ 1 = Not Meeting Expectations</li> <li>▪ 2 = Meeting Expectations</li> <li>▪ 3 = Exceeding Expectations</li> </ul> </li> <li>• Multiply the <b>Weight</b> by the <b>Rating</b> to get the <b>Score</b> for each goal. Use two decimal places. <b>(Example: 10% x 2 = 0.20)</b></li> </ul>	<ul style="list-style-type: none"> <li>• Add all of the <b>Scores</b> together to assign a <b>Final Overall Rating</b>. <ul style="list-style-type: none"> <li>▪ 1.00 to 1.69 = Not Meeting Expectations</li> <li>▪ 1.70 to 2.69 = Meeting Expectations</li> <li>▪ 2.70 to 3.00 = Exceeding Expectations</li> </ul> </li> <li>• Provide <b>comments</b> and <b>signatures</b> on the next page.</li> </ul>

#	INSTITUTIONAL GOALS <i>(see descriptions in performance plan)</i>	Weight	x	Rating	=	Score
1	Expertise	3	x	10 %	=	0.30
2	Accountability	2	x	10 %	=	0.20
3	Customer-Oriented	2	x	5 %	=	0.10
4	Team-Oriented	3	x	5 %	=	0.15
5	Compliance & Integrity	2	x	10 %	=	0.20
6	Supervision <i>(if applicable)</i>	3	x	10 %	=	0.30

#	INDIVIDUAL GOALS <i>(title only from performance plan)</i>	Weight	x	Rating	=	Score
1	Talent Acquisition	3	x	15 %	=	0.45
2	Data Enhancements	3	x	15 %	=	0.45
3	Visibility	3	x	10 %	=	0.30
4	Funding & Growth	2	x	5 %	=	0.10
5	Quality Control	2	x	5 %	=	0.10

<b>FINAL OVERALL RATING</b> <i>(mark the appropriate rating based on total score)</i>	<b>TOTAL SCORE</b>	=	<b>2.65</b>
Has the employee received a disciplinary action during this performance cycle <u>and/or</u> received any rating of 1 (Not Meeting Expectations) on this appraisal? If <b>YES</b> , then the final overall rating <u>cannot</u> equal Exceeding Expectations, regardless of the total score.		YES	
		NO	<b>N</b>
NOT MEETING EXPECTATIONS	MEETING EXPECTATIONS	<b>X</b>	EXCEEDING EXPECTATIONS

OR: Employee was not evaluated due to ...	Insufficient Time		On Extended Leave
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			04-01-2016		03-31-2017
	C-NOTES		Sam Smith		
	602099		1234-56789		9999555
	Don Draper		Social/Clinical Research Specialist		
	Principal Investigator, BULLS		Journey		

Sam made several excellent hires this year and got them up to speed quickly on the project (Goal 1), which has helped tremendously. I have received many excellent comments from the new staff about Sam's reliability, their confidence in him, and the quality of his training. The training materials he made for the database enhancements and survey scripts (Goal 2) were well-conceived, thorough, and serve as a model for future updates in other teams in the department.

Sam's routine database work continues to be exceptional, and it has been a huge relief to his staff and other colleagues that the data is reliable and easily accessible (Expertise). Although the modifications hit a few snags and pushed back our original timeline by a month. Some of the snags were outside Sam's control, but we have discussed several times this year that he is not making sufficient milestones to keep him on track on projects and not updating those projections as new issues arise. This has resulted in some delays that were avoidable, and he lost some opportunities for communication within the project team to make adjustments (Accountability). In the end, these did not significantly hinder the project, but Sam will need to take extra care in planning and communication to ensure similar events do not occur in the future.

Sam made several key presentations this year, both at the CGEG Symposium and the Director's retreat (Goal 3). He deftly responded to some very tough questions from the audience in both presentations and represented the University well. Sam made some good steps with getting to know the development staff and drafted two strong proposals (Goal 4).

Sam does a good job of ensuring compliance in his team. I would like to see him broaden his knowledge of University policy to strengthen his organizational awareness and apply that broader knowledge to our team (Compliance & Integrity). Sam's analysis and attention to detail have been invaluable during data collection (Expertise), and he was able to get our response rates from 41% to 55% this spring (Goal 5).

Overall, Sam is doing fine job. He is growing quickly as a professional in this field and as a leader within our Center.

<b>Employee:</b>			<b>Date:</b>	

**PART 10: APPEAL RIGHTS**

For information on applicable appeal rights, please refer to the University System SHRA Employee Grievance Policy.