

# Partner or Principal Self Evaluation Checklist

... an essential part of the success matrix of a professional firm

*Expert knowledge means success*



## Contents

1. How to use this Partner Self-Evaluation Form
2. Part A
17. Part B
18. Further Information

## How to use this Partner Self-Evaluation Form

1. This document is mailed or emailed to the relevant partner.
2. The partner completes Section A by an agreed date and returns it to the Firm's managing partner.
3. The Firm's managing partner reviews Section A of the Self-Evaluation Form and sets up a conference with the partner concerned.
4. During the conference, agreements are reached as to correctness of both evaluation and goals. Any additions or changes are recorded in the appropriate sections. Section B is completed by the Firm's managing partner and agreement is reached with the reviewed partner as to conclusions and actions.
5. The Firm's managing partner will then make a presentation of the evaluations to the executive committee\*\* for its consideration when awarding salary/bonus or units of ownership (if applicable).

\*\* Note: if there is no executive committee, consider the possibility of making a presentation to the other partners.



### Partner/ Principal Self- Evaluation

In this publication, "Partner/Principal" includes partners in a general partnership, members in a limited liability partnership and directors in a limited company.

## Part A

(To be completed by partner or principal)

Name \_\_\_\_\_

Office \_\_\_\_\_ Date \_\_\_\_\_

### Job Description:

Summarise what you consider are your duties as a partner:

### Value to the Firm:

What do you see as your value to the Firm?

# Partner or Principal Self Evaluation Checklist

## Client Activities:

### 1. New Clients

List the main new clients the firm has acquired through your efforts during the last fiscal year including an estimate of annual fees (use a separate schedule if required).

| Client name | Type of Assignment | Estimated annual fee in £s |
|-------------|--------------------|----------------------------|
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |
|             |                    |                            |

### 2. Clients lost:

List clients lost during this last fiscal year, including the reason for the loss and an estimate of annual fees (use a separate schedule if required).

| Client name | Reason for Loss | Annual fee in £s |
|-------------|-----------------|------------------|
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |
|             |                 |                  |

## Achievements:

1. Summarise the major accomplishments that you want to have considered in your evaluation:

2. Discuss personal and professional goals not accomplished:

Additional comments, if any:

# Partner or Principal Self Evaluation Checklist

## Objectives for the next 12 months:

List at least four objectives you would like to achieve in the next 12 months:

Objectives:



Value:

|   |       |
|---|-------|
| Estimate of annual fees to be generated through new clients.      | £     |
| Estimate of your total chargeable time (existing and new clients) | hours |

## Administration:

1. What has been your participation in recruiting activities? List University/college/school visits if applicable.
2. What has been your participation in staff training activities?
3. What has been your participation in special assignments (*authorised projects, etc.*) for the firm?
4. What are your objectives for the present year (as regards administrative duties/responsibilities)?





# Partner or Principal Self Evaluation Checklist

## Educational Courses, Seminars or Conferences Attended:

---

1. Details:

| Description | When | Learning Outcome |
|-------------|------|------------------|
|             |      |                  |
|             |      |                  |
|             |      |                  |
|             |      |                  |
|             |      |                  |
|             |      |                  |
|             |      |                  |
|             |      |                  |



2. Objectives for the present year. Please indicate what area of expertise or niche you wish to develop.

## Other:

If factors other than those listed above should be considered, please indicate below or summarise on memo form and attach to this evaluation.

# Partner or Principal Self Evaluation Checklist

## Your Needs:

What are your major developmental needs in the technical and management areas? (List no more than four.)

| Needs | Comments |
|-------|----------|
|       |          |
|       |          |
|       |          |
|       |          |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Client Relationships:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Client satisfaction.   |                    |                    |                      |
| Timely response to client request.   |                    |                    |                      |
| Ability to inspire a <b>client's confidence</b> in your technical ability. |                    |                    |                      |
| Maintain contact at highest possible level in client organisations.        |                    |                    |                      |
| Relations with the personnel at the client organisation.                   |                    |                    |                      |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Development and Motivation of Others:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Contribute to a positive and supportive climate.               |                    |                    |                      |
| Contribute to the Firm's recruiting efforts.                   |                    |                    |                      |
| Ability to utilise staff talents and develop new talents.      |                    |                    |                      |
| Evaluate and provide feedback to staff concerning performance. |                    |                    |                      |
| Other areas (if any).  |                    |                    |                      |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Practice Development:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Develop new clients.   |                    |                    |                      |
| Expand existing professional engagements including interdepartmental referrals.  |                    |                    |                      |
| Provide introductions to prospective clients and maintain relationships with referral sources (banks, lawyers, financial community, etc.). |                    |                    |                      |
| Assist other partners in practice development.   |                    |                    |                      |
| Participate in community and professional activities.  |                    |                    |                      |
| Visibility in the social community.  |                    |                    |                      |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Practice Management:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Always issues engagement letter for new assignments.       |                    |                    |                      |
| Always identifies new fee opportunities.                   |                    |                    |                      |
| Always maximises billable time.                            |                    |                    |                      |
| Adheres to Firm's policies.                                |                    |                    |                      |
| Generates proper fee and justifies unfavourable variances. |                    |                    |                      |
| Performs timely billings and collections.                  |                    |                    |                      |
| Ability to plan, organise and delegate.                    |                    |                    |                      |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Self-Development:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Sets example to both other partners and non-partners.  |                    |                    |                      |
| Commits time to professional and personal development. |                    |                    |                      |
| Seeks out and accepts feedback on performance.         |                    |                    |                      |
| Willing to take action to improve performance.         |                    |                    |                      |

Additional comments concerning the above (if any):

# Partner or Principal Self Evaluation Checklist

## Technical Effectiveness:

|  | Improvement Needed | Meets Requirements | Exceeds Requirements |
|--|--------------------|--------------------|----------------------|
| Maintain technical proficiency.  |                    |                    |                      |
| Develop special (new) abilities which are of value to the Firm.            |                    |                    |                      |
| Share talents and experience with others.                                  |                    |                    |                      |
| Comply with both the Firm's and professional standards.                    |                    |                    |                      |
| Ability to communicate professional knowledge within and outside the Firm. |                    |                    |                      |

Additional comments concerning the above (if any):



# Partner or Principal Self Evaluation Checklist

## Statistical Information:



|    |  |                                   |             |
|----|--|-----------------------------------|-------------|
| 1. | Time analysis—year ended.....<br>a. Client-charged hours<br><br>b. Authorised non-chargeable hours<br><br>c. Holidays and other time off   | Hours<br><br>Hours<br><br>Hours   |             |
| 2. | Client ledger<br>a. Number of clients (include client groups as one client)<br><br>b. Fee charged to assigned clients<br><br>c. Recovery level (fees as % of time cost)<br><br>d. Receivable balances<br><br>Billed (debtors)<br><br>Unbilled WIP (including disbursements)<br><br>e. Average days outstanding for:<br><br>Accounts receivable<br><br>Work in progress | (insert number)<br><br>£<br><br>% |             |
|    |  | Start of year                     | At year end |
|    |  | £                                 |             |
|    |  | £                                 |             |
|    |  | Days                              |             |
|    |  | Days                              |             |

## Part B

(To be completed by the evaluator - usually the Firm's managing partner. The reviewing partner will generally make a composite of the individual evaluations.)



| Personal Attributes (1): |   | Excellent                | Good                     | Fair                     | Not Observed             |
|--------------------------|---|--------------------------|--------------------------|--------------------------|--------------------------|
| 1.                       | Appearance and manner                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.                       | Ambition and initiative                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.                       | Resourcefulness                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.                       | Independence and creative thinking                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.                       | Courage to support his or her ideas and convictions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.                       | Leadership ability                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7.                       | Maturity  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 8.                       | Acceptance of:                                      |                          |                          |                          |                          |
|                          | a. Inconveniences                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | b. Additional responsibilities                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 9.                       | Communications ability                              |                          |                          |                          |                          |
|                          | a. Speaking   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | b. Writing  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 10.                      | Ability to delegate effectively                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 11.                      | Relationship with:                                  |                          |                          |                          |                          |
|                          | a. Other partners                                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | b. Professional staff                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | c. Support staff                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | d. Clients  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 12.                      | Growth potential                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Other comments:

| Personal Attributes (2): |                                      | Excellent                | Good                     | Fair                     | Not Observed             |
|--------------------------|--------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| 1.                       | Quality of work:                     |                          |                          |                          |                          |
|                          | a. Organisation and planning         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | b. Control                           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | c. Technical proficiency             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|                          | d. Client satisfaction               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.                       | Engagement letter compliance         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.                       | Ability to generate proper fees      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.                       | Ability to bill and collect promptly | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.                       | Professional responsibility          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Other comments:

## Further Information

This appraisal and evaluation approach should be used as part of the management system in a professional firm. At its lowest level, it can be applied to firms with only two partners - in such firms, partners would thus be appraising each other which, if approached with honesty, is likely to produce benefits in the business relationship.

The very characteristics that make great fee earners outstanding - those with vision, persistence, client obsession and a degree of intellectual arrogance - are exactly those traits that also make them high maintenance, non-compliant individuals. All too frequently, they have a huge disregard and dislike for management in all its forms. That's why regular appraisals are an effective way of measuring what is happening and setting targets for improvement in a professional firm.

## Important Notice

© Copyright 2019, Martin Pollins,  
All Rights Reserved

This publication is published by **Bizezia Limited**. It is protected by copyright law and reproduction in whole or in part without the publisher's written permission is strictly prohibited. The publisher may be contacted at [info@bizezia.com](mailto:info@bizezia.com)

Some images in this publication are taken from Creative Commons – such images may be subject to copyright. **Creative Commons** is a non-profit organisation that enables the sharing and use of creativity and knowledge through free legal tools.

Articles and information contained herein are published without responsibility by us, the publisher or any contributing author for any loss howsoever occurring as a consequence of any action which you take, or action which you choose not to take, as a result of this publication or any view expressed herein. Whilst it is believed that the information contained in this publication is correct at the time of publication, it is not a substitute for obtaining specific professional advice and no representation or warranty, expressed or implied, is made as to its accuracy or completeness.

The information is relevant within the United Kingdom. These disclaimers and exclusions are governed by and construed in accordance with English Law.

Publication issued or updated on:  
19 January 2012

Ref: 649

