CIRES ASA Training 2022

Annual Summary of Accomplishments for
July 1, 2021- June 30, 2022

Who completes the ASA?

All CIRES Researchers and Staff hired before July 1, 2022
-Full time and Part time
-CIRES Postdocs (incl. Hourly and VFP)
-Hourly Research staff (PRAs, Research Associates, Research Professors)**

Who does not?

Hourly <u>temporary</u> employees
Student hourly employees
Visitors
No cost appointments
*NSF & NRC Postdocs
PERA/ORP Working Retirees

**New since last year.

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

What is the Annual Summary of Accomplishments?

- Annual performance evaluation process for CIRES research faculty.

- Used for capturing accomplishments and facilitating evaluation and feedback. * This is only one of the many ways you should be doing this!

- First step in the yearly merit increase process.

- Critical process for evaluating career growth goals and timelines.

- Excellent opportunity for evaluating changing work goals and objectives.

The ASA is only one part of employee supervisor relationship

- Periodic check-ins should happen at least quarterly

- Issues should be addressed as they arise - don't wait

- The ASA should not be a shock to either supervisor or supervisee

- CIRES HR can help you facilitate communication at any time

- Performance management training is critical for successful performance management

- Supervisors and supervisees can access training on difficult conversations, biases, & advocacy. *Free and paid trainings are available see [professional development request](#)

Performance Management in a Nutshell

Effective performance management includes:

- Aligning work and resources to clearly defined goals and mission essentials

- Setting clear expectations for employees and supervisors

- Providing ongoing opportunities for direct & constructive feedback

- Building relationships & driving collaboration

- Addressing issues as they arise

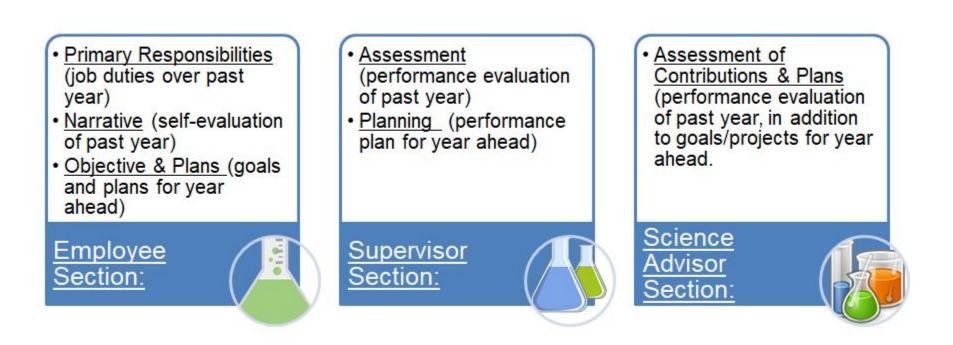# Necessary Components of Successful Supervision

- Transparent Evaluation Processes

- Addressing performance/disciplinary concerns, informally and Formally as they arise with *proper documentation*

- Ability to have difficult conversations, timely performance feedback, documentation practices & recognizing successes and accomplishments

- Understand the basics of leave reporting

- Effective planning processes, goal setting and adjusting as necessary

- Ongoing feedback/regular check-ins & ASA

ASA Form - 3 Main Sections

- Primary Responsibilities (job duties over past year)
- Narrative (self-evaluation of past year)
- Objective & Plans (goals and plans for year ahead)

Employee Section:

- Assessment (performance evaluation of past year)
- Planning (performance plan for year ahead)

Supervisor Section:

- Assessment of Contributions & Plans (performance evaluation of past year, in addition to goals/projects for year ahead.

Science Advisor Section:

If you do not have a science advisor, skip that section. If your supervisor is your science advisor only the supervisor portion is needed.

Main Steps in the ASA

1. Employee completes Annual Summary of Accomplishments

2. Supervisor completes Assessment of Contributions and Plans

    *If science advisor is participating, they complete their assessment here.

3. Supervisor (and science advisor) and employee meet to discuss, reach agreement

4. Supervisor enters final Performance Rating Sheet online

5. Employee and Supervisor sign rating sheet via DocuSign

*All documents can be edited until the signed copy is submitted to CIRES HR for submission to the Vice Chancellor of the Research and Innovation Office

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Submission Details and Dates

Now	Log into InsideCIRES and begin entering info into your ASA (System is online all year for entry of accomplishments)
June 30	Complete and submit ASA to your Supervisor
July 1- August 5	• Supervisor reads ASA and complete forms • Supervisor & employee **meet** and discuss • Supervisor and employee complete **rating sheet**
August 5	Supervisor & employee sign rating sheet and submit to CIRES HR via DocuSign and emailed to ciresasa@colorado.edu
* Missing ratings sheets? NO RAISE for employee or supervisor	

Employee Responsibilities

- Enter all relevant fields in the ASA app on InsideCIRES
  - All sections under Professional Summary are required
  - Sections under Professional Activities completed only if applicable
  - Telework agreement check in
  - DEPA check in (Disclosure of External Professional Activities)

- Submit ASA to Supervisor by **June 30**

- Meet with Supervisor to discuss rating, revise and complete ASA documents and sign final rating sheet by **August 5**

Supervisor Responsibilities

- Review Submitted ASA

- Consider input from Science Advisor's assessment if given

- Write Supervisor's assessments

- Review remote [work agreement](#) on insideCIRES
  - NOAA is still reintegrating - these are iterative and can be updated/changed
  - Please have a finalized schedule on the app by July 5

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Supervisor Responsibilities (cont.)

- Review Career Track goals and timelines
  - If you are not in agreement on the career track goals and timelines, document, discuss and mitigate - HR can help

- Meet to with employee to discuss all documents, set employee goals for next performance period, & edit documents if necessary
  - Science Advisors are encouraged to attend this meeting

- Submit assessments through insideCIRES

- Complete and submit rating sheets electronically, no later than **August 5**

Science Advisor Responsibilities

Please note that Science Advisor participation is not mandatory

- Review Submitted ASA

- Write Science Advisor's assessment

- Meet with employee and supervisor to discuss ASA documents and make necessary edits

- Submit assessments via insideCIRES (no signature required)

If Your Science Advisor Can't/Won't Provide an Assessment

- Not all science advisors can or will provide a write up. CIRES HR understands this.

- No penalty to rating for those without SA input, HR can help if more information is needed to get an accurate rating.

- Please consider if science advisors can provide feedback on the project instead of the performance of the person, this may help fill in gaps and is generally allowable.

Evaluation Meeting with Employee, Supervisor & Science Advisor

- Job description updates needed
  - Find your PD on your "My CIRES Info" box

- Performance – evaluation/feedback

- Accomplishments and successes

- Areas for improvement

- Goals for 2022-2023

- Career track review

- Review telework agreement & DEPA

- Concurrence/edits

- Signing of final rating sheet via DocuSign

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Special Considerations during ASA

- Equity issues are NOT addressed in merit process. Please use these instead:
  - Out of cycle increases
  - Career track planning
  - At NOAA consider consultation with the CIRES lead
  - HR is always available to discuss

- Review career track status/plans **every year** and make this part of the objectives and plans section if appropriate. Consider making a 1-year and a 5-year plan. There is a section to outline these goals, timelines and needed milestones in the app - please use it.

- Additional documentation can be submitted with the packet by employee

Additional Documentation Notes

- If you have more to say about your rating or work over the performance period you can include additional documents with your ASA

  Notes:
  - Signing of the ASA does not mean you concur it only means you have completed the process and allows eligibility for the merit process
  - Providing additional documentation is allowed by both CIRES and CU Boulder
  - What this additional documentation includes will vary

Supervisory Responsibilities and ASA

If you are at the top of a supervisory chain (you supervise supervisors) please consider checking in on how that is going for your supervisory chain - this is part of the evaluation process for you and any supervisors you oversee.

Things to consider:

*Is the number of supervisees reasonable/is there overwhelm?

*Do supervisors regularly check in with their supervisees?

(understanding that some supervisors do not work directly)

*Is there a need for training or other support?

Upcoming Mandatory Training Advisory:
Supervisory Responsibilities and ASA

While supervisor best practices and other performance management trainings are currently not required for this cycle - this will change in the next cycle (2022-2023). This is to support our supervisors and employees and begin using best practices for all.

This cycle: attending HR Training sessions is encouraged to develop supervisory skills, understand best practices and support employees.

For the 2022-2023 Cycle: CIRES HR will require and track attendance.

Performance Management:
Important for Supervisors & Employees!

- Performance Management is challenging and requires specific knowledge and skills.

- CIRES has a Supervisor Competencies [Toolkit](#) for quick reference.

- 2022 performance management training recording [here](#). or review each topic separately:

[Presentation Slides [pdf]](#)

[Performance Rating Descriptors [Updated 2/17/2021)](#)

[Mitigate Bias for Performance Management](#)

Quick Overview of [Biases](#) to Avoid

- Recency Bias: evaluate the whole period, not only recent events
- Primacy Bias: evaluate based on performance, not first impressions
- Horns/Halo Bias: avoid allowing one personality trait or item that a person does especially poorly or well to overly influence the overall evaluation
- Leniency Bias: be consistent with all employees in strictness/leniency
- Similar-to-me Bias: be objective and try not to give higher ratings to those who have similar interests/backgrounds or skills.
- Confirmation Bias: evaluations on objective performance not those that confirm pre-existing beliefs

These biases can be amplified in the hybrid and remote environments especially if you have different communication preferences than your supervisor/supervisee

Please consider attending the a session from training series on work, supervision and management in the hybrid space. Course catalog can be found [here](#).

Recording of the condensed CIRES specific version can be found [here](#).

Peer Review: What to Consider

Peer Review involves the supervisor performing outreach to an employee's peers, supervisees or close collaborators for feedback on their performance.

Peer review can be an excellent tool for gathering a whole picture view of performance.

*Be sure to disclose to your supervisees that you are soliciting feedback from peers. Ideally, supervisor and supervisee will establish the list of peers/collaborators together.

*Supervisors should be transparent about what is being asked of the peers/collaborators. Ideally, the questions will be relatively similar across the peer/collaborator group.

Other Important Details

- Merit increases are now on a calendar year schedule: January 1, 2023

- Pool % for 2023 is TBD

- Any employee hired prior to 7/01/22 should complete a full ASA
  - Others can look through the ASA and consider their plans, but do not need to fill in the app

- Even if you completed a career track this year, you need a full ASA
  - It is a planning tool as much as an evaluation tool
  - Sections on D&I, professional development and other areas not covered in a career track application can be emphasized.

CIRES Supervisors

*Must be CU Employee

*Listed in CU HR as supervisors

- May or may not directly oversee the scientific or technical work of CIRES employees or collaborate with Science Advisors
- Provide a communications channel between employees, CIRES, University, and Labs
- Technical contact between CIRES and employees:
  - Guidance for Arriving and Departing
  - Completion of time cards and documentation of leave
  - Other HR processes as they arise
- Provide advice and oversight in the Career Track promotion process
- Support CareerTrack promotion process through evaluation and recommendation
- Complete and sign annual employee evaluation and rating sheet

Also see this link for more information on the roles of a supervisor.

Cooperative Institute for Research in Environmental Sciences

UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Science Advisors

*Generally are Federal Employees, but can sometimes be CU or other.

•Play a critical role in establishing and preserving the collaborative atmosphere of the Boulder NOAA laboratories.

•Establish a legitimate institutional channel for NOAA scientists to provide input, direction and feedback on projects implemented by CIRES employees working in the Boulder NOAA labs.

•Work with supervisors to provide direction and support to the efforts of research teams and individual employees.

•Support Career Track promotion process through evaluation and recommendation

•Complete annual Scientific Evaluation (optional)

Final Step: Sign and Route to HR

- Rating Sheet and Supervisor assessment should be downloaded and sent through DocuSign
  - [DocuSign Step-by-step](#)

- Email completed DocuSign (rating sheet) to by including them on the "receives a copy"within DocuSign ciresASA@colorado.edu

Career Track

- ASA is a logical touchpoint for conversations surrounding career track eligibility, timelines and needed milestones for successful pursuit of a career track promotion.
- Your first question should be whether you and your supervisor both agree it is time based on your schedule (eligibility) and career track criteria.

- What should you include in your ASA write up?
  - Are you eligible to apply for a career track promotion this year?
    - Years in service are only one aspect of readiness for career track
    - Review of career track criteria
  - Explicitly outline your expectations for promotion and timeline goal
    - What is missing from the next level up today?
    - How can you fill those gaps
    - What skills, training and support is needed

Career Track: New for this year in the App

- The ASA app has been updated to include more explicit instructions on what the career track section should include.

- Employee entry is the beginning of the planning process for upcoming promotions.

- Iteration on timelines and plans is encouraged based on progress, duties, challenges and successes.

Career Track Timeline

Process officially starts during the ASA season

- Familiarize yourself with the criteria and eligibility for your level of promotion on the InsideCIRES Career Track website *before* you submit your ASA or have the ASA meeting with your supervisor:
https://insidecires.colorado.edu/hr/tracks/

- End of October/Beginning of November: Career Track Information Session
    - If you are planning on applying, you need to attend this info session.
    - If you are a supervisor and know you have supervisees applying (in the current year or even in the future), you should attend this session as well.

- End of October: Official Career Track Announcement with finalized schedule and any other updates if applicable.

Career Track Timeline

- If you and your supervisor determined you will submit an application: Your first step in the Fall will be to start your online application from InsideCIRES: https://insidecires.colorado.edu/careertrack/

  - You will be able to save and continue at a later time so clicking "start" won't require you to upload any materials at that time.
  - You will be asked to enter your supervisor contact information and once you click save on that page, they will receive an email notifying them that you've started an application and requesting a letter of reference

- Note – if your application requires additional letters, the system won't send formal requests for a letter to them until your entire application has been submitted (not the case for supervisors and science advisor letters).

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Career Track Timeline

- Please visit this link to see an overview of the entire timeline: https://insidecires.colorado.edu/hr/tracks/promotionschedule.html

- Between summer and the time you start your application, you should be thinking ahead about who you will ask to submit a letter of recommendation for you (if your application requires additional letters besides your supervisor)

- The time you will be working on your promotion packet falls during a busy time of the year – holidays, vacation, end of the year, etc.
  - You should get a head start on your materials because of this.
  - The deadline used to be 12/31 but we recently changed it to be around 1/7 so you don't have to spend the last week of the year finalizing your packet before submitting.

- Since additional references don't receive an email requesting your letter until you formally submit, it could be to your benefit to submit before the actual deadline.

Career Track Criteria

- The Career Track website has multiple pages filled with detailed information about the criteria, required documents for each level and an outline of the schedule: https://insidecires.colorado.edu/hr/tracks/
- In the last year, we added an FAQ page and will continue adding to this page: https://insidecires.colorado.edu/hr/tracks/faqs.php
- In 2021, CIRES introduced new sub-tracks to the AS and RS career tracks to better define and provide promotion criteria for the different roles across CIRES. Please take a look at the new career track information while you are reviewing the website.
    - When you start your application online, it will ask you what your primary sub-track is (and secondary if applicable).
        - Please discuss this with your supervisor to make sure you agree which sub-track(s) your position duties fall into
        - The ASA discussion with your supervisor is a good time to talk about where your position fits within the sub-tracks if you're already discussing your career track plans.

Career Track Criteria: Supervisors

- Supervisors are responsible for understanding the different levels and requirements of the CIRES Career Tracks so they can better support their supervisees.

- Supervisor support is required for a promotion application and a strong supervisor letter is crucial for a successful promotion.
  - It is important for supervisors to meet the reference letter deadline. If you discuss plans for your supervisees applying for promotion during the ASA season, you should have plenty of time to provide a detailed, thoughtful letter of support by the end of January.

- Supervisors should be prepared to talk about their employee's career track/promotion plans. For a productive conversation around this, supervisors and employees should be familiar with the time eligibility requirements and criteria *before they have their ASA meeting*.

- While an employee is responsible for the bulk of their promotion application materials, this process is a partnership between employee and supervisor.

Cooperative Institute for Research in Environmental Sciences
UNIVERSITY OF COLORADO **BOULDER** and **NOAA**

Questions? We're Here to Help!

- CIRES HR
  - cireshr@colorado.edu

- CIRES IT (login help, password resets, docuSign issues or other IT issue):
  - CIRESIThelp@colorado.edu

Demo of ASA app

- Stay on if you would like a quick walk through of the app (if you are brand new to the process this is a good primer)

  - Brief walk through of the sections
  - Where to find it
  - How to get started