

CIRES ASA Training 2023

Annual Summary of Accomplishments for July 1, 2022- June 30, 2023



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



Who completes the ASA?

All CIRES Researchers and Staff hired before July 1, 2023

-Full time and Part time

→ -CIRES Postdocs (including hourly and VFP)

-Hourly Research staff (PRAs, Research Associates, Research Professors)

Who does not?

Hourly temporary employees

Student hourly employees

→ Visitors

No cost appointments

NSF & NRC Postdocs

PERA/ORP working retirees

What is the Annual Summary of Accomplishments?

- Annual performance evaluation process for CIRES research faculty.
- Tool for capturing accomplishments and facilitating evaluation and feedback.
- 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 surprise to either supervisor or supervisee
- CIRES HR can help you facilitate communication at any time
- Performance management training is critical for successful performance management
 - Both employees and supervisors can benefit from these training opportunities

ASA Support Resources from CIRES HR

CIRES [HR Training Catalog](#) resources to support employee-supervisor relationships, communication, performance management:

- [Supervisor Best Practices 2023 - slide deck](#)
- [DEI Employee Information Session - slide deck](#)
- [DEI Supervisor Information Session - slide deck](#)
- Project Management Workshop offered by Lauren Harris, CU Boulder, on March 7 2023 - [video recording](#) - [worksheet](#)
- Performance Management offered by Kelly Leandro, CU Boulder, on March 13 2023 - [Video Recording](#) - [slide deck](#)
- Hiring and Supervising Foreign Nationals - [video recording](#) - [slide deck](#)

ASA Support Resources from CU HR

Supervisors and supervisees can also access training on difficult conversations, biases, & advocacy and other [CU Boulder hosted trainings](#)

- Manager's Academy
- Leadership Development
- CliftonStrengths™ for Faculty & Staff
- Crucial Conversations
- Emotional Intelligence
- Getting Things Done
- Employee Management and Compliance Essentials
- ProSci Change Management

Free and paid trainings are available- fill out the [professional development request](#) to request funding (CIRES has a limited pool that does not come from grants/NOAA)

Performance Management Fundamentals

- Aligning work and resources to clearly defined goals and mission essentials for effective collaboration
- Setting clear expectations for employees and supervisors
- Providing ongoing opportunities for direct & constructive feedback
- Building relationships & establishing a foundation of trust
- Open and transparent communication
- Addressing issues as they arise
- Avoiding biases

Biases to Avoid

[Performance Management Training](#) offers specific guidance on how to avoid biases during the evaluation process.

Some of these covered in the training are:

- 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

Biases can be amplified in the hybrid and remote environments.

A [training series](#) on work, supervision and management in the hybrid space is available through CU Central HR.

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

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
- Consistency between your ongoing feedback and the ASA evaluation

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.

ASA Process Sequence

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 - science advisor input should be provided BEFORE supervisor write up.

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 - the process is designed to be iterative*

Submission Deadlines

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-July 21	Science Advisor reads ASA and completes form* *If science advisor input is being used it must be input before supervisor input and no later than July 21 Please note this is a new deadline for science advisors
July 1- July 28	•Supervisor reads ASA and complete forms after considering science advisor input - see deadline above. Science advisor input after July 21 can be included in the next year's evaluation
July 1- July 28	•Supervisor & employee meet and discuss •Supervisor and employee complete rating sheet
August 4	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	

A Note on ASA Deadlines

Failing to meet the deadline can have real consequences for CIRES getting our merit roster to CU Central HR

HR requests that packets are submitted on time except for unavoidable and unexpected scenarios (i.e. illness)

If you know you will be on vacation, in the field, or otherwise unable to meet the timeline do the following:

- Consider setting an earlier deadline for yourself or your team so that final packets are not late to HR
 - you can submit ASA packets early!
- Reach out to HR in advance to get approval if deadlines are impossible (last resort for extraordinary circumstances)

Employee Responsibilities

- Enter all relevant fields in the ASA app on [InsideCIRES](#)
 - All sections under Professional Summary are required
 - If you have no DEIA items to report you can say n/a
 - 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 4**

Supervisor Responsibilities

- Review Submitted ASA
- Consider input from Science Advisor's assessment if given by the deadline
- Write Supervisor's assessments
- Review remote [work agreement](#) on insideCIRES

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 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 if they provided input
- Submit assessments through insideCIRES
- Complete and submit rating sheets electronically, no later than **August 4**

Science Advisor Responsibilities

Please note that Science Advisor participation is not mandatory

- Review Submitted ASA
- Write Science Advisor's assessment by July 21 (or earlier) - BEFORE supervisor'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 science advisor 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(s) 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 (the ASA itself)
- Highlight accomplishments and successes
- Areas for improvement
- Goals for 2023-2024
- Career track review
- Review telework agreement & DEPA
- Concurrence/edits
- Signing of final rating sheet via DocuSign

Special Considerations during ASA

- Equity and compression 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 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 everyone in the 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?
- Is there a need for training or other support?

Training Advisory: Supervisory Responsibilities and ASA

While supervisor best practices and other performance management trainings are currently not required - HR requests that all supervisors review the training materials to support this process and to ensure best practices are being followed.

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.
- 2023 performance management training recording [here](#).

Peer Review: What to Consider

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

Peer review can be an excellent tool for gathering a whole picture view and can be helpful if science advisor input is not available.

*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 similar across the peer/collaborator group

*if you do this for one of your supervisees, it should be done for all supervisees for consistency.

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

Other Important Details

- Merit increases will be effective January 1, 2024
- Pool % for 2024 is TBD (HR will notify you ASAP)
- Any employee hired prior to 7/01/23 should complete a full ASA
 - Those hired between 07/01/23 -09/01/23 may be merit eligible and can use the app as a planning tool, but no rating sheet is necessary. Final campus guidance is coming soon.
- Even if you completed a career track app this year, you need a full ASA
 - Can be used as a planning tool
 - Sections on 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/Centers/Divisions
- Technical contact between CIRES and employees:
 - Guidance for Arriving and Departing
 - Completion of timesheets and documentation of leave
 - Other HR processes as they arise
- Support Career Track promotion process through evaluation and recommendation
- Complete and sign ASA evaluation and rating sheet

Also see this [link](#) for more information on the roles of a supervisor.



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)

Career Track

The ASA is a logical touchpoint for conversations surrounding career track eligibility, timelines and needed milestones for successful pursuit of a career track promotion.

This is a good time to discuss whether you and your supervisor both agree if you're ready to submit a promotion application based on the following:

- Years in service (time eligibility)
- Career Track criteria

Career Track

What should you include in your ASA write up?

- Explicitly outline your expectations for promotion and timeline goals
 - Is there anything missing from the next level up today
 - How can you fill those gaps
 - What skills, training or support is needed
- Are you eligible to apply for a career track promotion later this year?
 - The years in service requirement is only one aspect of readiness for career track
 - Review career track [criteria](#)

Career Track Timeline

- Process officially starts during the ASA season.
 - Familiarize yourself with the [criteria and eligibility requirements](#) *before* you submit your ASA and have the ASA meeting with your supervisor.
- Beginning of November: Career Track Information Session
 - If you are planning on applying, you should 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.
- Beginning of November: Official Career Track Announcement with finalized schedule and any other updates if applicable.

Career Track Timeline

- Between summer and the time you start your application, you should think ahead about who you'll ask to submit reference letters for you (*if your application requires additional letters*)
- If you and your supervisor determined you'll submit an application: Your first step in the Fall will be to start your online application in

[InsideCIRES](#)

+ Start New Promotion Packet

☑ Career Track Criteria

- You'll be able to save and continue at a later time so clicking "Start" won't require you to upload any materials at that time.
 - However, you'll be asked to enter your supervisor contact information and once you click "Save" on that page, they'll automatically receive an email. That email serves as a notification that you've started your application and it also requests a letter of recommendation from them.

Career Track Timeline

- If your application requires *additional* letters, the system won't send formal requests for a letter until your entire application has been submitted.
- You'll be working on your promotion packet 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 extended it by a week so you don't have to spend the last week of the year finalizing your packet before submitting.
- Full Timeline:
<https://insidecires.colorado.edu/hr/tracks/promotionschedule.html>

Career Track Criteria & General Info

- The [Career Track](#) section of InsideCIRES has many pages filled with detailed information related to:
 - Criteria for each level and type of track (AS/RS/AA)
 - Years in service requirements
 - Career Track descriptions
 - Lists of required materials for each application level/type
 - Reference letter requirements depending on type of application
 - [Timeline](#) and deadlines
 - [FAQs](#), which we will continue to add to

Career Track Criteria

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 this 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.
- 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*.

Career Track: Supervisors

- 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 career track plans with your supervisees during the ASA season in the summer, you should have plenty of time to prepare a detailed, thoughtful letter of support by the end of January.
- While an employee is responsible for the bulk of their promotion application materials, this process is a partnership between employee and supervisor.

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