CIRES ASA Training 2024

Annual Summary of Accomplishments for
July 1, 2023 - June 30, 2024

Presenters:

Becca Edwards, (she/her) CIRES Diversity, Equity and Inclusion (DEI) Director
Lucia Harrop, (she/her) CIESRDS and CIRES Liaison With NOAA
Jazmin Surface, (she/her) CIRES HR Generalist

What will this training cover?

- ASA Overview - what the ASA is and general guidelines on completion/dates and procedures

- Overview of supervisor responsibilities and resources available to you in support of the ASA process

- Career track - connection to ASA processes

- DEI information - what is gathered, how is it used and why

- Q&A

The training should take about 90 minutes with time left for Q&A at the end. Session will be recorded and recording and slide deck will be posted here shortly after the live session.

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Who completes the ASA?

All CIRES Researchers and Staff hired before July 1, 2024
-Full time and Part time
➡ -CIRES Postdocs (including 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

C I R E S

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

- 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 the training opportunities offered by CU Central HR, CIRES HR, DEI program and outside organizations.

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

ASA support resources from CIRES HR

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

- [Supervisor Best Practices 2024](#) - [slide deck](#)
- [DEI Employee Information Session](#) - [slide deck](#)
- Performance Management offered by Kelly Leandro, CU Boulder, March 2024- [Video Recording](#) - [slide deck](#)

Please review this training library before you embark on your evaluations - while these sessions are not mandatory for supervisors they are highly recommended. All CIRES trainings are open to science advisors.

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Implicit bias in evaluations

Implicit bias can show up in performance evaluations in a number of ways. Interrupting these biases can help you have a more objective and accurate view of performance.

What is implicit bias?

Implicit Bias: the attitudes or stereotypes that affect our understandings, actions, and decisions in a subconscious manner. These biases are activated involuntarily and without an individual's awareness or intentional control.

Becca Edwards, and CIRES HR offered a workshop on implicit bias in the workplace in April. This session contained specific strategies for recognizing and interrupting biases. You can find the [recording here](#) and [slides here](#).

CU HR also offers this implicit bias [reference sheet](#) to learn more.

Support resources from CU HR

[CU Boulder hosted trainings](#)

Some highlighted/popular trainings:

- CliftonStrengths™ for Faculty & Staff - learn about different communication styles, personality types and how we can come together in our differences to be stronger teams.
- Crucial Conversations - learn how to effectively navigate high impact conversations effectively.
- Leading at the Speed of Trust - see how lack of trust hinders teams, and how to build a culture of trust.

The hybrid space creates special considerations for performance/team management

The [training series](#) on work, supervision and management in the hybrid space is an excellent resource. A condensed (one hour) **CIRES specific** version can be found [here](#).

Additional free and paid trainings are available- fill out the [professional development request](#) to request CIRES sponsored funds.

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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 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 app - THIS LOCKS THE RECORD.

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 deadline for science advisors is before the supervisor deadline.
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	

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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)*
    - Please help CIRES stay in compliance with DEPA!

- 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**

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Supervisor responsibilities

- Review submitted ASA

- Consider input from Science Advisor if provided

- Write Supervisor's assessments

- Review remote [work agreement](#) on insideCIRES
  - You do not need to redo agreements if they are still accurate, only re-submit if there is a change.

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Supervisor responsibilities (cont.)

- Review Career Track goals and timelines

- 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 - please be sure that input is collected transparently - employees should know what/who is contributing to their assessment.

- Submit assessments through insideCIRES no later than **August 4 (seriously, don't make this weird)**

Science Advisor responsibilities

Science Advisor participation is optional - it is up to feds to decide to participate, however, NOAA federal science advisors, feedback should be confined to project level discussions - **not** individual performance. This level of participation is allowable/aligns with the guidance from the new agreement.

- Review Submitted ASA (whether the science advisor is participating or not, they will get a copy of the write up from the employee).

- Write or verbally provide Science Advisor's assessment by July 21 (or earlier as long as it is BEFORE supervisor's assessment is submitted).

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

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

- There will be no penalty to the rating for those without science advisor input.
- Science advisors can provide feedback on the project(s) but should not comment on the performance or assign a rating.
- Please ensure consistency for all direct reports (i.e. a science advisor should provide feedback for **all advisees or none** and should use the same method for all advisees - this may be up to supervisors to provide guidance to achieve consistency).
- Transparency should be considered for feedback from advisors - employees should be have access to the feedback.

Evaluation meeting

- 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 2024-2025
- Career track review
- Review modality agreement & DEPA
- Concurrence/edits - the documents can be edited and revised
- Signing of final rating sheet via ASA app

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Special considerations during ASA

- Equity and compression issues are NOT addressed in merit process. Please use these instead:
  - Career track planning
    - This should be the go-to first for compensation discussions
  - Out of cycle increases
    - If career track is not the right step, an out of cycle increase can be considered if the employee has taken on more responsibility or if the job duties have changed significantly. This is subject to HR review.

  - CIRES HR is always available to discuss & CIRES leads may also be consulted.

- 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 - this is a useful tool for career planning.

Additional documentation

- 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
  - Provide this documentation in an email to [CIRES HR](mailto:)

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?

- 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.

All newly assigned supervisors are invited to meet with Jimena Ugaz, CIRES HR, to go over the expectations and given resources. You can also reach out to CIRES HR at any time. Please don't wait if you are struggling or need support.

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: DocuSign

The DocuSign process is now automated on the ASA app!

Supervisor submits the rating and a DocuSign is generated and emailed to the employee

Employees sign first, then it is routed to the supervisor

Once all parties have signed the full ASA pdf is available on the ASA app for view/download

Supervisor can still edit and send back to the employee for edits as needed

*please note, edit at this stage will void/override any existing DocuSign, restarting the signature process

Other Important Details

- Merit increases will be effective January 1, 2024

- For 2025, Regents have approved a 4% Merit Pool for the Boulder campus. (more details to come)

- Any employee hired prior to 7/01/24 should complete a full ASA
  - Those hired between 07/01/24 -09/01/24 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

Career Track & the ASA

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 you're ready to submit a promotion application based on the following:

- Years in service (time eligibility)

- Career Track criteria
  - The years in service requirement is only one aspect of readiness for a promotion.
  - Familiarize yourself with the criteria and eligibility requirements *before* you submit your ASA and meet with your supervisor.

Career Track - General Information

The Career Track section of InsideCIRES has many pages filled with detailed information related to:

- Career Track descriptions and criteria for each level and type of track (AS/RS/AA)

- Sub-track definitions and criteria (for AS/RS positions)

- Years in service requirements

- Lists of required materials for each application level/type

- Reference letter requirements depending on type of application

- Timeline and deadlines

- FAQs, which are updated regularly

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Career Track & the ASA

What should you include in the Career Track ASA prompt?

- 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

- The ASA write up and discussion with your supervisor is a good time to identify where your position fits within the Career Track *sub-tracks*.

    - You'll select a primary and secondary (*if applicable*) sub-track when you start a Career Track application, so it's important that you and your supervisor are in agreement

    - The sub-tracks were created to better define and provide promotion criteria for the many different roles across CIRES

Career Track Timeline

- Process officially starts during the ASA season (Summer).

- Between summer and the time you start your application (Fall), you should start thinking about who you'll request reference letters from (*if your application requires additional letters beyond your supervisor*)

- Beginning of November:
  - Career Track Information Session
  - Official Career Track Announcement with the finalized schedule and any other updates will be posted on InsideCIRES

- Deadline to submit application: end of the first week of January
  - Submit online through InsideCIRES

- Full Timeline

Career Track Application

- 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.

- If your application requires *additional* letters, the system won't send formal requests 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.

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.

- For a productive conversation around this, supervisors should be familiar with the time eligibility requirements and criteria *before* the ASA meeting with their employee.

- Supervisor support is required for a promotion application and a strong supervisor letter is crucial for a successful promotion.

While an employee is responsible for the bulk of their promotion application materials, this process is a partnership between employee and supervisor.
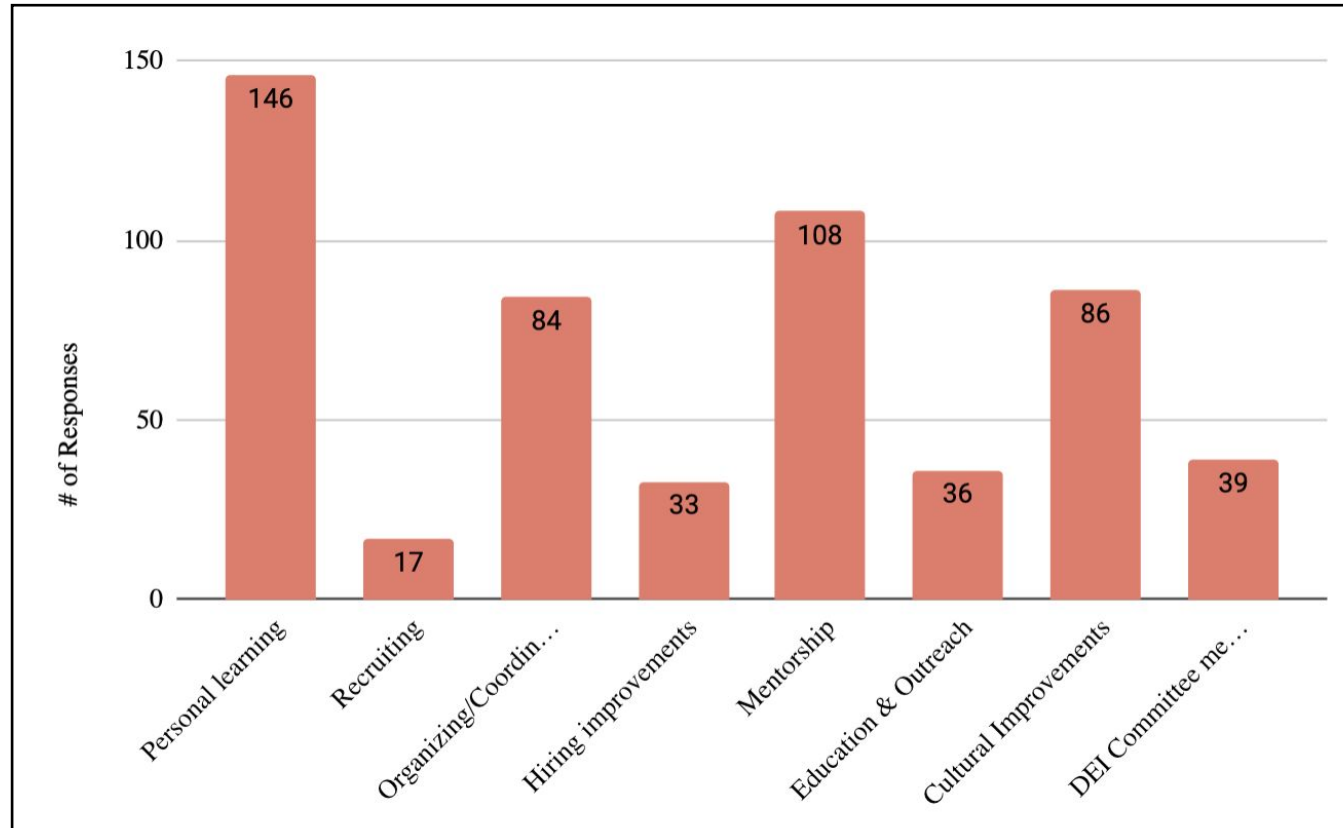
Diversity, Equity and Inclusion (DEI) ASA Prompt

For the last two years, employees have been asked to input any activities that they completed that forward the CIRES DEI strategic plan.

ASA responses	2021	2022	2023
Total ASA responses	581	623	648
Total ASA DEI responses	159	141	343
Response rate	**27.4%**	**22.6%**	**52.9%**

Diversity, Equity and Inclusion (DEI)
ASA Prompt 2023 data

Diversity, Equity and Inclusion (DEI)
ASA Prompt 2024

At CIRES, our commitment to diversity, equity and inclusion (DEI) shapes our work culture and is essential to how we practice excellence and integrity in environmental research. Our mission includes the following DEI strategic imperatives:

- Fostering an inclusive, respectful culture that recognizes and embraces the diversity of our communities.

- Building capacity to successfully recruit and hire a diverse workforce.

- Creating authentic partnerships with those who are most impacted by our work and with organizations that serve underrepresented and marginalized groups in environmental sciences.

Diversity, Equity and Inclusion (DEI) ASA Prompt 2024

Please choose the activities below that you participated in last year which help to forward any of the CIRES DEI strategic imperatives. Examples are included to help define categories. <u>You can choose all that apply</u>. (There is an optional textbox included for descriptions of your work)

- ❏ **Personal learning** (*workshops, webinars, books, attended DEI events or meetings*)
- ❏ **Outreach** (*worked with students at K-12 or college level to improve pathways and broaden access to STEM careers*)
- ❏ **Hiring Improvements** (*attended HR training on inclusive hiring, used rubrics to minimize bias*)
- ❏ **Recruitment** (*participated in an inclusive recruitment event, managed programs that introduce students to CIRES*)
- ❏ **Mentorship** (*engaged in a formal mentoring relationship with a student or peer*)
- ❏ **Workplace Culture** (*individual effort to improve the workplace culture in CIRES/NOAA unit, including onboarding and/or social events*)
- ❏ **DEI Committee member** (*attended and/or coordinated meetings and events*)
- ❏ **DEI Leadership** (*organized DEI events, programs or committees, fostered DEI work as an administrator, tribal engagement, community-engaged and environmental justice research projects*)
- ❏ **Accessibility** (*ensuring digital accessibility of distributed electronic materials, inclusive language in communications*)

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

Brand new to the ASA process?

If this is your first year doing the ASA, here are a few tips.

1. The ASA is accessed through the homepage of InsideCIRES

2. All sections of the *Professional Summary Portio*n should be completed (even if just to say n/a).

3. *Professional Activities Section* - only complete sections that are relevant to your role/what you've done over the past year.

4. Ask your supervisor what format they prefer (bullets, paragraphs)

5. Still need help? Email lucia.harrop@noaa.gov, or cireshr@colorado.edu