Annual Staff Performance Appraisal Process (2021)
Supervisor Focus

Presented by ANR Human Resources
March 2021
Expected Outcomes of Today’s Session

1) Learn how to access and use the ePerformance (web-based) system
2) Obtain the information, tools, and resources you need to make the Performance Evaluation process meaningful and productive.

Zoom Information sessions:
Employee Role: Monday, March 15, 2-3pm
Supervisor Role: Wednesday, March 17, 3-4:30pm
Agenda

1. Overview - Annual Staff Performance Evaluation Process
2. Roles and Responsibilities
3. Annual Evaluation Timeline
4. Practical Tips for Supervisors and Employees
5. UCPath ePerformance System
6. Employee Process
7. Supervisor Process
8. Resources

Helpful resources are available on the Supervisor Resources>Performance Management web page. (https://ucanr.edu/sites/ANRSPU/Supervisor_Resources/Performance_Management/)
Overview of the Annual Staff Performance Evaluation Process

• Why do we prepare performance evaluations?
  • Required and appropriate

• What period is under review?
  • April 1, 2020 through March 31, 2021

• When does the process take place?
  • Annual review process runs from March 2, 2021 through June 30, 2021

• Where do we complete the review process?
  • Web-based ePerformance System

• Who will be evaluated?
  • All non-represented and represented career and contract staff employees
    (only contract employees appointed 6 months +)

  *Oakland based ANR employees refer to Office of the President process and timeline*

<table>
<thead>
<tr>
<th>This process does not apply to the following:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academics</td>
</tr>
<tr>
<td>Student Employees</td>
</tr>
<tr>
<td>Rehired Retirees</td>
</tr>
<tr>
<td>Temp Employment Service</td>
</tr>
</tbody>
</table>
How are annual evaluations impacted by the COVID-19 pandemic?

• Annual reviews were not required for April 2019 – March 2020 review period
  • UC-wide Presidential directive

• Supervisors and employees are asked to acknowledge the negative impact of the pandemic when reviewing accomplishments during the last year and setting goals for the coming year

• Supervisors can use the opportunity to ask staff if they are encountering obstacles to getting their work done, and to explore potential solutions together.
## Roles and Responsibilities

<table>
<thead>
<tr>
<th>Manager’s Role</th>
<th>Employee’s Role</th>
<th>Human Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Set goals and expectations</td>
<td>• Understand what performance</td>
<td>• Act as an objective 3rd party</td>
</tr>
<tr>
<td>• Give employees the insight needed to achieve key</td>
<td>management means</td>
<td></td>
</tr>
<tr>
<td>outcomes</td>
<td>• Participate actively in the ongoing</td>
<td></td>
</tr>
<tr>
<td>• Hold employees accountable</td>
<td>process</td>
<td></td>
</tr>
<tr>
<td>• Enable meaningful performance conversations</td>
<td>• Discuss performance expectations</td>
<td></td>
</tr>
<tr>
<td>• Support employees’ development plans</td>
<td>• Own their performance and career</td>
<td></td>
</tr>
<tr>
<td></td>
<td>development</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Ask for performance feedback</td>
<td></td>
</tr>
</tbody>
</table>

### Human Resources

- **Act** as an objective 3rd party
- **Support** managers and employees in understanding performance management and differentiated pay for relative performance
- **Provide** tools, training, and coaching.
<table>
<thead>
<tr>
<th>Date Range</th>
<th>Task Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mar 1-Mar 19</td>
<td>• Employee completes the ePerformance self-evaluation</td>
</tr>
<tr>
<td>Mar 22-May 7</td>
<td>• Supervisor meets with employee to review the ePerformance self-evaluation</td>
</tr>
<tr>
<td></td>
<td>• Supervisor completes the manager evaluation fields</td>
</tr>
<tr>
<td></td>
<td>• <strong>Supervisor routes ePerformance evaluation to second level approver</strong></td>
</tr>
<tr>
<td></td>
<td>• Second level approver reviews and approves evaluation</td>
</tr>
<tr>
<td>May 7</td>
<td>• <strong>Deadline for ePerformance evaluations with proposed overall ratings</strong></td>
</tr>
<tr>
<td>May 8-May 31</td>
<td>• Calibration committee reviews proposed ratings for consistency and confirms</td>
</tr>
<tr>
<td></td>
<td>final ratings</td>
</tr>
<tr>
<td>By June 18</td>
<td>• HR communicates to unit directors/ dept. heads that calibration is complete</td>
</tr>
<tr>
<td></td>
<td>• HR approves the final evaluations in ePerformance</td>
</tr>
<tr>
<td>By June 30</td>
<td>• Supervisors share final results with employees</td>
</tr>
<tr>
<td></td>
<td>• Employees acknowledge receipt</td>
</tr>
</tbody>
</table>
Practical Tips for Supervisors

• Review and share the Guidelines and FAQs with your staff and supervisors

• Confirm with your staff that they are able to log into UCPath

• Confirm that your direct reports are listed in your UCPath Online Dashboard

• When you receive an email notification that a performance document has been created for your employee check in with them to ensure they received their notice. Remind them of their deadline to complete their self-evaluation.

• Plan to meet with the employee when you receive notification that they have completed their self-evaluation for clarification purposes
  • Performance and ratings are not discussed at this stage. It is merely to obtain clarification on any items you want to address. This is not required, but encouraged.

• As you prepare to draft the evaluation for your staff, review previous performance appraisals, including-
  • Expectations and Goals
  • Opportunities for improvement and training plans

• Refer to ANR Performance Standards when rating core competencies

• Identify key organizational and unit goals in Strategic Plans, work plans, your PR, etc.
  • Ensure your employees are aware of how they support your mission and the division as a whole.

• Plan to provide feedback when you get to the final stage. Discuss evaluation and future direction/ goals.
ANR Performance Standards

• Common descriptions for each job competency in ePerformance

• Changes in 2021:
  • Re-ordered to match the ePerformance system
  • Expanded examples for Diversity and Inclusion competency

• Used as the basis for performance discussions and ratings

http://ucanr.edu/sites/ANRSPU/Supervisor_Resources/Performance_Management/
<table>
<thead>
<tr>
<th>Competency</th>
<th>Exceptional</th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Partially Meets Expectations</th>
<th>Improvement Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication</td>
<td>Is an excellent communicator, both verbally and in writing</td>
<td>Is a strong communicator, both verbally and in writing</td>
<td>Consistently uses clear and appropriate language, both verbally and in writing. Readily shares work-related information.</td>
<td>Sometimes unclear in verbal or written communication</td>
<td>Verbal and/or written communications often are unclear or inaccurate</td>
</tr>
<tr>
<td>Diversity and Inclusion</td>
<td>Appropriately encourages and incorporates diverse points of view for enhanced results. Actively seeks opportunities to incorporate diversity of ideas into projects and processes</td>
<td>Promotes inclusivity of diverse opinions/ideas among colleagues. Promotes equity and inclusion by actively seeking ideas and insights from diverse groups</td>
<td>Values differences and applies others’ perspectives to get results. Sensitive to cultural norms, expectations, and ways of communicating. Uses inclusive and non-offensive language and behaviors</td>
<td>Inconsistently involves a diversity of people and ideas in making decisions. Discourages different points of view.</td>
<td>Does not value, encourage, or adapt to different perspectives. Lacks sensitivity to other cultural norms and ways of communicating. Uses language and behavior that is exclusionary or offensive</td>
</tr>
<tr>
<td>Employee Engagement</td>
<td>Is a model employee in exhibiting behaviors of mutual respect, cooperation, professionalism and fairness. Actively promotes a positive work environment.</td>
<td>Is proactive in demonstrating high standards of mutual respect, cooperation, professionalism and fairness.</td>
<td>Builds productive rapport with employees at all levels within and outside the department. Treats others with fairness, dignity and respect.</td>
<td>Occasionally exhibits behaviors of mutual respect, cooperation, professionalism, and/or fairness in interacting with others.</td>
<td>Exhibits behaviors of disrespect and/or a lack of professionalism and fairness.</td>
</tr>
</tbody>
</table>
Calibration Review

• Second-level supervisors and Unit Heads are expected to promote consistent ratings based on ANR Performance Standards

• HR reviews appraisals for employees with a PROPOSED OVERALL RATING of “Exceptional”, “Does Not Meet” or “Partially Meets Expectations”
  • In some cases, HR may ask supervisors for clarification and direct that performance ratings change to be consistent with division-wide standards
Exceptional Performance

Baseline
Compliant with UC policy in performance of job duties. Up-to-date on mandatory trainings.
Not subject to a disciplinary action during review period.

Job Competencies
Above expectations or higher on each performance element/job competency based on Performance Standards.
If the employee supervises others, this includes performance as a people manager.

Achievement of Goals
Work consistently exceeds quality, quantity, and timing for performance goals established by the employee and supervisor during the review period.

Transformative
In addition to exceeding performance goals, the organization is fundamentally better as a result of the employee’s contributions.
Or, the employee overcame significant obstacles during review period.
The individual is a role model for others in ANR.

In current role during the entire review period
Practical Tips for Employees

• Keep an eye out for an email notification that your performance document has been created
  • Follow up with supervisor so he/she knows that you are now working on your self-evaluation
• Review goals and expectations in your previous performance appraisal
• Look back over your notes, emails, to do lists, meetings you held or attended
• Think about how your role fits into the bigger picture (relate individual work to unit goals)
• Describe how you make a difference
• Review ANR Performance Standards
• Review training sites for professional development opportunities (UC Learning Center, LinkedIn learning)
• Keep your self assessment brief and use bullet points
• Think about how you receive feedback
  • Listen to understand
  • Consider requesting time to follow-up and develop a plan
UCPath ePerformance System Supervisor’s Role
Confirming *Reports To* Info in UCPath

- Verify *Reports To* information is correct in UCPath
- Supervisors

> UCPath Online > Dashboard
- OR –
> UCPath Online > Manager Actions > View Employee Information

Submit a Zendesk ticket to the HR Help Center if the “Reports To” information needs to be corrected.
humanresources@ucanr.edu
Confirming *Reports To* Info in UCPath

- **Supervisors**
  - UCPath Online > Dashboard
  - OR –
  - UCPath Online > Manager Actions > View Employee Information
Employee Annual Performance Notification

This automatic notification is to alert you that ANR Annual Performance Docs document have been created for the period beginning 04/01/2020 and ending 03/31/2021. This document should be completed and approved by 03/19/2021.

Document was successfully created for the following employee:

You may select this link to access the document:


(Please do not respond to this automatic notification.)

Access by email link above or go directly to UCPath.
Accessing Directly in UCPath Online

1. Navigate to ucpath.universityofcalifornia.edu
2. Click on Performance WorkCenter

This will open a new tab

PeopleSoft ePerformance is a self-service evaluation management application for managers and employees. You can use ePerformance as a tool for planning, collaborating, communicating, assessing, and monitoring evaluations for multiple purposes like performance, Probationary, Incentives and development document evaluations.

ePerformance supports the entire planning and evaluation process, from planning and aligning employee performance, Probationary, Incentives and development document, through assessing and rewarding employee performance results within the right behaviors. ePerformance provides you with the flexibility to establish evaluations for different purposes by setting up document templates that define evaluation processes and With this application, you can:

- Define evaluation criteria.
- Introduce mid-period checkpoints to track employee progress.
- Manage multiple participants.
- Enter evaluation data, including notes, ratings, weights, and comments.
- Consolidate feedback from multiple sources into the manager/mentor's evaluation.
- Submit the manager/mentor evaluation for review and approval.
- Perform administrative tasks, such as transferring deleting documents.
Accessing Directly in UCPath Online

1. Navigate to ucpath.universityofcalifornia.edu
2. Click on Performance WorkCenter
3. Employees: Click on My Current Performance Docs
Core Competencies

Enter your ratings and comments for each applicable section and save. When you have finished updating your evaluation select the complete button to save your changes and send this document to your manager for review.

<table>
<thead>
<tr>
<th>Long Format</th>
<th>Calculate All Ratings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accomplishments</td>
<td>Core Competencies</td>
</tr>
</tbody>
</table>

**Section 2 - Core Competencies**

**Communication**

*Description*: Shares and receives information using clear oral, written, and interpersonal communication skills.

1 Does Not Meet Expectations 2 Partially Meets Expectations 3 Meets Expectations 4 Exceeds Expectations 5 Exceptional Performance 6 Not Applicable

**Employee Rating**: 0.00

Created By: Template 03/06/2020 11:21AM

**Diversity and Inclusion**

*Description*: Models and promotes the University of California Principles of Community and complies with UC policies on Diversity and Non-Discrimination.

1 Does Not Meet Expectations 2 Partially Meets Expectations 3 Meets Expectations 4 Exceeds Expectations 5 Exceptional Performance 6 Not Applicable

**Employee Rating**: 0.00

Created By: Template 03/06/2020 11:21AM

**Employee Engagement**

*Description*: Demonstrates commitment to the job, colleagues, the University and its mission by acting in ways that further the accomplishment of its goals.
Core Competencies

Enter your ratings and comments for each applicable section and save. When you have finished updating your evaluation select the complete button to save your changes and send this document to your manager for review.

### Resource Management

**Description:** *Required for Supervisors Only* Demonstrates integrity, accountability and efficient stewardship of university resources in a manner consistent with the UC Standards of Ethical conduct and other policies.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Does Not Meet Expectations</td>
</tr>
<tr>
<td>2</td>
<td>Partially Meets Expectations</td>
</tr>
<tr>
<td>3</td>
<td>Meets Expectations</td>
</tr>
<tr>
<td>4</td>
<td>Exceeds Expectations</td>
</tr>
<tr>
<td>5</td>
<td>Exceptional Performance</td>
</tr>
<tr>
<td>6</td>
<td>Not Applicable</td>
</tr>
</tbody>
</table>

**Employee Rating:** 0.00

**Created By:** Template  
**Date:** 03/09/2020 11:21AM

### People Management

**Description:** *Required for Supervisors Only* Leads and engages people to maximize organizational and individual performance through alignment with the University mission and attainment of strategic and operational goals.

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1</td>
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<td>5</td>
<td>Exceptional Performance</td>
</tr>
<tr>
<td>6</td>
<td>Not Applicable</td>
</tr>
</tbody>
</table>

**Employee Rating:** 0.00

**Created By:** Template  
**Date:** 03/09/2020 11:21AM
Highlights

Enter your ratings and comments for each applicable section and save. When you have finished updating your evaluation select the complete button to save your changes and send this document to your manager for review.

Section 4 - Strengths

Expand | Collapse

Description: Summarize the employee's key strengths, describe two or three core competencies that represent particular strengths.

Employee Comments

Created By: [Redacted] 03/08/2020 11:21 AM

Areas for Development

Description: Highlight one or two areas for further development.

Employee Comments
Overall Summary

Enter your ratings and comments for each applicable section and save. When you have finished updating your evaluation select the complete button to save your changes and send this document to your manager for review.

Section 5 - Overall Summary

1. Does Not Meet Expectations
2. Partially Meets Expectations
3. Meets Expectations
4. Exceeds Expectations
5. Exceptional Performance
6. Not Applicable

Employee Rating: 0.00

Employee Comments

Section 6 - Employee Comments
Best Practices

• Save the document throughout so you don’t lose your work

• Work in a Word document first and copy and paste your text boxes
  • Accomplishments
  • Strengths
  • Areas of Improvement
  • Summary

• Mandatory items: system requires radio button completion, but finishing the text boxes is just as important
Confirmation and Document Completed
Who Can View or Approve Evaluations?

• There are two levels of approval in ePerformance: the employee’s supervisor who is providing their evaluation and the next level up, who is generally the supervisor’s supervisor.

• Supervisors can view evaluations for staff of any supervisors who report to them.

• HR Employee & Labor Relations & Management

• Supervisors can request input from another “participant” (i.e. secondary supervisor); however, the participant cannot view the employee’s evaluation or what the primary supervisor has written
Who Creates, Views or Approves Evaluations?

- Each of these employees create their own self-evaluation

- Alex meets with Sandy and Carlos and then completes their evaluation

- Min meets with Jordan and then completes that evaluation

- Quinn meets with Alex & Min and completes their evaluations

- Quinn provides secondary approval for Sandy, Carlos, & Jordan

- Sandy creates their own self-evaluation

- Carlos creates their own self-evaluation

- Jordan creates their own self-evaluation
Supervisor Annual Performance Notification

-----Original Message-----

From: ucpath-notifications@universityofcalifornia.edu
Sent: Friday, February 26, 2021 9:21 AM
Subject: ANR Annual Performance Docs Document has Been Created

This automatic notification is to alert you that the HR Department has created ANR Annual Performance Docs document for the period beginning 04/01/2020 and ending 03/31/2021. Documents should be completed and approved by 05/07/2021.

ANR Annual Performance Docs documents were successfully created for the following employees:

You may select this link to access the documents for your team:
https://ucpath.universityofcalifornia.edu/people/EMPLOYEE/HRMS/c/ROLE MANAGER,EP_CURRENT_MY PRF.GBL

(Please do not respond to this automatic notification.)
Supervisor Notification

-----Original Message-----
From: ucpath-notifications@universityofcalifornia.edu <ucpath-notifications@universityofcalifornia.edu>
Sent: Tuesday, March 3, 2020 4:07 PM
To: [email]
Subject: [Name] has completed self evaluation ANR Annual Performance Docs

[Name] has completed the self-evaluation ANR Annual Performance Docs for the period ending 03/31/2020.


(Please do not respond to this automatic notification.)
Supervisor Access Directly in UCPath Online

1. Navigate to ucpath.universityofcalifornia.edu
2. Click on Performance WorkCenter
3. Employees: Click on My Current Performance Docs
4. Supervisors: Click on Teams Current Performance Docs
Supervisor View of Performance WorkCenter

The image shows a screenshot of the Supervisor View of Performance WorkCenter in ORACLE. The screen displays the Current Performance Documents section, where the manager can view and manage performance documents for employees. The screenshot highlights a document for a user named Bobbie Aggle, with details such as Document Type, Status, Business Unit, Periods, and Job Title.

UNIVERSITY OF CALIFORNIA
Agriculture and Natural Resources
Viewing Employee Self-Evaluation

Complete your assessment of the employee’s accomplishments in this long-text field.
Core Competencies

Enter ratings and comments for each section in this evaluation, if applicable. At any point in time you can save this evaluation by selecting the Save button.

[Long Format] [Calculate All Ratings] [Cancel Evaluation]

Accomplishments | Core Competencies | Leadership Skills | Highlights | Overall Rating | Comments

Section 2 - Core Competencies

Expand | Collapse

Communication

Description: Shares and receives information using clear oral, written and interpersonal communication skills

1 Does Not Meet Expectations 2 Partially Meets Expectations 3 Meets Expectations 4 Exceeds Expectations 5 Exceptional Performance 6 Not Applicable

Manager Rating: 0.00

Employee Rating: 3 Meets Expectations

Diversity and Inclusion

Created By: Template 03/03/2020 12:33PM

See definitions of the ANR Performance Standards https://ucanr.edu/sites/ANRSPU/files/238148.pdf
Highlights and Areas for Development

Enter ratings and comments for each section in this evaluation, if applicable. At any point in time you can save this evaluation by selecting the Save button.

Section 4 - Strengths

Description: Summarize the employee's key strengths, describe two or three core competencies that represent particular strengths.

Manager Comments:

Employee Comments:
Great communication, team player, completes tasks quickly.
**Enter Overall Rating**

<table>
<thead>
<tr>
<th>Long Format</th>
<th>Calculate All Ratings</th>
<th>Cancel Evaluation</th>
</tr>
</thead>
</table>

### Section 5 - Overall Summary

- **Manager Rating**: 0.00
- **Employee Rating**: 3 Meets Expectations

**Attachments**

- No Attachments have been added to this document

**Add Attachment**

**Audit History**

- Created By: Scott Leaf  
  Last Modified By: Mary Vandis

- 03/03/2020 12:33:32PM  
  03/03/2020 12:59:15PM
Secondary and HR Approvals

- The supervisor submits evaluation to the Secondary Approver (generally the supervisor’s supervisor) (Suggested due date 4/19)
- Secondary Approvers have ability to select “Approve” or “Deny” only
- When approved, evaluation routes to HR for calibration review
- Human Resources approves and releases evaluation to the supervisor
- The supervisor selects “share” evaluation with employee
# Reviewing Supervisor Input

<table>
<thead>
<tr>
<th>Section 1 - Accomplishments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Long Format</strong></td>
</tr>
<tr>
<td><strong>Accomplishments</strong></td>
</tr>
</tbody>
</table>

**Summary of Accomplishments**

Description: Use this space to describe progress and achievements in relation to pre-established organizational or unit goals and/or performance expectations. Include goals documented in the prior year’s performance appraisal (if any), as well as new goals added during the year.

**Manager Comments:**

Excellent work so far in the cycle for meeting the established organizational goals.

**Employee Comments:**

Listing of progress and achievements in relation to pre-established organizational or unit goals and/or performance expectations. Included are goals documented in the prior year’s performance evaluation, as well as new goals added during the year.
The Rest of the Process

- The supervisor and employee meet to discuss the evaluation details
- The employee may enter comments and “save” evaluation
- The supervisor selects “request acknowledgement” from employee
- The employee selects “acknowledge”
- Supervisor finalizes process by selecting “complete” (Confirmation will appear to ensure process has been finalized.)
Screenshots of the Rest of the Process

Supervisor Action
Screenshots of the Rest of the Process

Employee Action

If Employee does not act, Supervisor Action
Screenshots of the Rest of the Process
ePerformance Workflow

1. Employee completes and submits Self-Evaluation
2. Supervisor meets with employee to clarify self-evaluation (does not include supervisor assessment)
3. Supervisor completes manager portion of evaluation; submits to second level approver
4. Second level approver approves/denies evaluation and submits to HR
5. HR performs calibration review
6. HR releases complete evaluations to supervisors
7. Supervisor shares and meets with employee to discuss evaluation
8. (Optional) Employee enters comments on last section.
9. Employee acknowledges
10. Supervisor completes
Resources

https://ucanr.edu/sites/ANRSPU/Supervisor_Resources/Performance_Management/

ANR Performance Standards
Performance Elements mapped to UC Core Competencies
Career Planning Tools
People Management Resources

SMART Goals Worksheet
   SMART Goals: Worksheet Example
   SMART Goals Examples
SMART Goals: A How to Guide

Additional Performance Management Resources at UCnet

Performance Management Webinar Resources
2019-20 Staff Performance Eval Guidelines FAQ
UC People Management Series

• We encourage all supervisors who are responsible for completing a performance review take two online people management courses:
  • Setting Expectations and Individual Performance Goals
    (DAC-HRUCPM02; Estimated Duration: 1 hour)
  • Giving & Receiving Feedback
    (DAC-HRUCPM03; Estimated Duration: 45 minutes)
• Available on-demand through the UC Learning Center: http://lms.ucdavis.edu
• If you have completed these courses in the past, you may want to review again as a refresher. (The courses have not changed in the last year.)
Questions?

For future inquiries regarding the evaluation process, please contact Jodi Rosenbaum at jrosenbaum@ucanr.edu. If you have system-related questions, please contact Patricia Glass at pglass@ucanr.edu.
Giving and Receiving Feedback

• SARA: the natural response to feedback
  • Surprise
  • Annoyance
  • Resistance
  • Acceptance
Reactions to Feedback: SARA Model

Energy

Shock

What? Did I hear you right?
Are you kidding?
I don’t think so!
Stunned silence
Non-responsive

Anger

No way! Obviously others don’t get what I do.
I just can’t talk about this now.

Resistance

I get it—but I don’t buy it. It’s a mistake.
This doesn’t apply to me.
What’s the point of trying?

Acceptance

What do I need to consider?
What can I do? What might be possible?
Who might be able and willing to help?