

**Guidelines for Preparing the
Annual Evaluation
for UC ANR Academics**
For the period ending September 30, 2019

*The deadline for uploading your annual evaluation is
11:59 PM, February 1, 2020.
There will be no extensions beyond the deadline.*

*Compiled and Edited by
ANR Academic HR Office in collaboration with
Academic Assembly Personnel Committee*

If you have questions, please contact:

Academic Human Resources
(530) 750-1354 | ANRacademics@ucanr.edu
<http://ucanr.edu/academicpersonnel>

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Revised November 22, 2019



INTRODUCTION

The *Guidelines for Preparing an Annual Evaluation* pertain to academic title series used in ANR, including: (a) Professional Researcher, (b) Project Scientist, (c) Specialist (non-CE), (d) Specialist in Cooperative Extension, (e) Cooperative Extension Advisor, (f) Academic Administrator, and (g) Academic Coordinator.

The annual evaluation process is intended to provide an academic and their supervisor an opportunity to discuss the academic's annual activities, progress towards realizing goals, and future directions. In general, the annual evaluation should document the past year's activities, accomplishments, and impacts.

Newly Appointed Academics: Academics who began their appointment on or before September 30, 2019 submit a full annual evaluation. Academics who began their appointment on October 1, 2019 or later only complete goals for the coming year.

Templates: Annual evaluation templates are available on the Academic Human Resources Website at <http://ucanr.edu/acadaemicpersonnel> (go to annual evaluation link on left hand side).

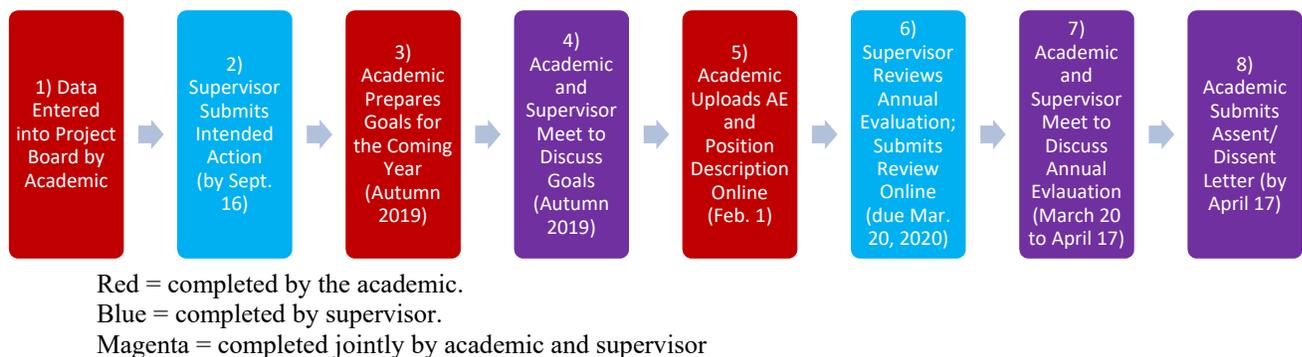
Negative Supervisor Reviews: If an academic receives a negative evaluation, a performance improvement plan must be initiated. Plans are for a set period of time and are subject to revision and renewal as needed. They are intended to provide guidance to the academic on how to succeed in their position. They are written and signed by the academic, with input from their supervisor and a copy submitted to Academic Human Resources. Performance improvement plans should also be submitted as a supporting document to an academic's annual evaluation or program review dossier along with goals. A performance improvement plan template can be found on the [Academic Human Resources website](#).

SECTION 1: Annual Evaluation Process

Annual evaluations are required of all ANR academics ([ANR Administrative Handbook Section 336](#)). Academics cannot defer the submission of an annual evaluation. The only reasons for not completing an annual evaluation are: (a) submission of a program review dossier, (b) on sick leave and/or family medical leave; (c) on sabbatical leave; (d) if the academic has submitted an intent to retire letter effective July 1 or earlier.

The review cycle for each year is from October 1 to September 30. The annual evaluation involves multiple stages of preparation and evaluation (see Figure 1).

Figure 1. Annual Evaluation Process



Step 1: Academics Enter Data Into ANR Project Board (continuously throughout the year)
[Project Board](#) is UC ANR's online system that integrates academic program review, civil rights compliance, and organizational reporting requirements. Project Board reduces duplicative reporting efforts and provides searching and querying features that facilitate collaboration. All academics must input data into Project Board by February 1, 2020 and should be entering data continuously throughout the year. Project Board replaced DANRIS-X, CASA, and Academic Online Program Review.

Step 2: Supervisors Submit Intended Actions by September 16, 2019

Immediate supervisors confirm with the academics they supervise on intended actions (e.g., advancement type, annual evaluation, or intent to retire) and submit to Academic Human Resources.

Step 3: Academics Prepare their Goals for the Coming Year and Submit to Supervisor
(no firm date set by ANR; recommended in Autumn 2019)

Step 4: Academic and Supervisor Meet to Discuss Goals
(no firm date set by ANR; recommended in Autumn 2019)

Step 5: Academic Prepares the Remainder of their Annual Evaluation by February 1, 2020.

ANR uses a third-party product [interfolio.com](#) to drive the process. Access to [interfolio.com](#) is provided by the ANR Portal's Single Sign-on feature. Academics receive an e-mail from Interfolio indicating a case has been prepared and is ready for them to begin uploading

documents. Academics may upload documents into Interfolio and make revisions by uploading a different document until February 1, 2020.

Step 6: Supervisor Prepares a Review Letter by March 20, 2020

The academics' immediate supervisor (typically a County Director, Research and Extension Director, or Statewide Program Director) reviews the academic's annual evaluation and writes a letter of evaluation. The supervisor will provide a narrative appraisal of what is presented in the complete annual evaluation. This appraisal will address performance in terms of productivity and provide comments and constructive guidance. The supervisor addresses the following:

- Indicate the areas in which the supervisor believes that the academic is meeting expectations for their level in each of the advancement criteria.
- Indicate whether progress is being made in terms of productivity for rank and step and progress toward advancement to the next rank and step
- Indicate areas of concern and suggestions for improvement.
- Approval or non-approval of goals. If not, recommendations for revising goals should be provided.

The supervisor will select one of the following assessment statements:

- Demonstrates exemplary efforts beyond normal expectations
- Meets levels of expected program excellence
- Is deficient in expected levels of program excellence

Step 7: Academic and Supervisor Discuss Annual Evaluation and Progress

(between March 20 and April 17)

Step 8: Academic Submits Assent or Dissent Document by April 17, 2020

Academics are required to upload an assent or dissent document in response to their supervisor's reviews. There is no template form for this. Simply express your agreement or disagreement (with rebuttal), and upload into Interfolio.

Tips for Preparing an Effective Annual Evaluation

- Write for the intended audience: County Director, or Immediate Supervisor. Clearly describe your role(s) and make the impacts of your efforts obvious to the reader(s). Write a concise, readable, and comprehensive document that explains your program to your supervisor.
- Use a style handbook appropriate for the discipline, as a guide for all grammatical, punctuation, and bibliographic citations.
- Avoid acronyms.
- The voice in the narrative is subject to one's personal style. Academics are encouraged to use first person and active voice wherever appropriate in describing activities and accomplishments. Use of the word "I" is acceptable, as it identifies what the candidate contributed. Use of the word "we" is also acceptable when describing collaborative efforts.
- Proofread carefully to minimize typographical errors.
- All documents must be uploaded in pdf format.

SECTION 2: Elements of the Annual Evaluation

The annual evaluation is composed of five required and two optional sections: (I) Position Description, (II) Progress Table, (III) Barriers statement, (IV) Project Board checklist, (V) Sabbatical Leave Plans and Report (if applicable), (VI) Work Plan or Performance Improvement Plans (if applicable), and (VII) Goals for the coming year.

I. POSITION DESCRIPTION

- The position description must include the academic's name, position title, purpose, clientele group(s), major academic program responsibilities, program leadership or administrative responsibilities (if applicable), affirmative action, relationships and qualifications and effective date of the position description.
- It is the responsibility of the academics to update their position description when there is a change in responsibilities and/or reporting relationships.
- The academic position description template is available on the [Academic Human Resources website](#). This template is adapted to reflect the academic's specific position. The first few paragraphs should contain position specific information reflected in the position vacancy announcement under which the academic was hired.
- Position descriptions for academics must be signed, and dated, by their supervisors. For county-based academics, the designated primary County Director and/or supervisor will have the responsibility to review and sign the position description for an academic assigned to his/her county. All other cross-County Director's and/or supervisors shall review the position description for completeness before it is forwarded for final review by the Academic Human Resources Office. The position description maybe signed by Vice Provost of Statewide Programs and Initiatives, Vice Provost of Research and Extension and/or Associate Vice President, and may include additional signatures by Statewide Program Directors. Academic Human Resources Office will return the signed position description to the academic to upload into Interfolio.
- The Performance Review System maintains a library of position descriptions for the academic's entire ANR employment history. The candidate may check or uncheck which position descriptions should appear in their dossier. Check all position descriptions that reflect activities for the current review period.
- Use an addendum to document special short-term assignments that do not warrant a revised position description, such as Acting County Director or temporary cross- county assignment.

II. PROGRESS TOWARDS LAST YEAR'S GOALS

Copy your goal table from your previous annual evaluation or program review dossier. Add a fourth column (green) to describe progress towards your goals, including new collaborators; or outcomes and impacts.

<i>Specific Goals</i>	<i>Anticipated Collaborators</i>	<i>Anticipated Outcomes and Impacts</i>	<i>Progress Towards Goal (including any new collaborators or outcomes/impacts)</i>
Theme 1: [name here]			
Theme 2: [name here]			
Theme 3: [name here]			
General/Other			

III. BARRIERS OR OBSTACLES IN ACCOMPLISHING YOUR GOALS

Briefly describe barriers and progress made to overcome them.

IV. PROJECT BOARD REPORTING BY February 1, 2020

These are required for annual organizational reporting in Project Board by February 1, 2020.

Please indicate you have submitted required annual organizational reporting (check):

- program outcomes and impacts (reported in Project Board – Themes)*
- Extension activities (reported in Project Board – Activities)*
- review and update clientele group(s) baseline (updated in Project Board – Clientele)*
- clientele contacts (reported in Project Board – Activities)*
- publications (reported in ANR Portal Profile – Bibliography). Include publications developed during the time period covered in this annual evaluation year.*

V. SABBATICAL LEAVE PLAN AND REPORT (if applicable)

Plans and reports for sabbatical leaves completed during the review period.

VI. WORK PLAN OR PERFORMANCE IMPROVEMENT PLAN (if applicable)

A work plan, recommended for all academics with less than one (1) FTE, describes how the academic will meet advancement criteria at that percent time, for the rank and title. A performance improvement plan is also used when an academic receives a negative advancement decision and/or negative annual evaluation review. The plan, developed between the academic and their supervisor, outlines areas needing improvement, actions to be undertaken, and milestones identified to track progress. Plans should be included with applicable annual evaluations and academic advancements. Information on plans and a template maybe found on the [Academic Human Resources website](#).

VII. GOALS FOR THE COMING YEAR: October 1, 2019- September 30, 2020

Include goals you intend to accomplish in the coming year, anticipated collaborators, and anticipated outcomes and impacts. You may want to organize your goals according to the themes you are going to use in your program review dossier. Remember to include goals addressing the advancement criteria for your title series.

Note: Academic Human Resources recommends that academics and supervisors have a conversation about goals in the fall; there is not firm deadline set by ANR.

1. Goals for the Coming Year

<i>Specific Goals</i>	<i>Anticipated Collaborators</i>	<i>Anticipated Outcomes and Impacts</i>
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2. Anticipated Barriers or Obstacles in Accomplishing Your Goals

Provide a brief description.

3. Support from Supervisor(s)

Briefly describe any support you would find helpful from your supervisor(s).

Note: Academics with County Director or Research and Extension Director appointments need to have at least one **goal** on the following topics under an administrative theme:

1. **Advocacy** – *Include a plan for educating policymakers and stakeholders on the value of UCCE in their county.* Examples include 1) providing an annual report of UCCE impacts, 2) holding an event for county administrators, 3) inviting local elected officials to UCCE events, or 4) developing a calendar for tracking contacts with stakeholders.
2. **Development** – *Include a plan for expanding your office’s fund raising efforts.* Examples include 1) develop best practices for UCCE team members to collect contact information from volunteers and visitors to programming events, 2) invite ANR development officers to speak to team members about fund raising, or 3) participate through social media on ANR fund raising events (Giving Tuesday, Big Dig Day, etc.).

Appendix A: Civil Rights Compliance in Extension Activities

Who is required to document Civil Rights Compliance in Extension Activities?

- CE Advisors
- CE Specialists with ANR merit and promotion processes (not campus)
- Other academic titles who may extend knowledge and information directly to the public

The questions below may help other academic titles determine if they are required to document Civil Rights Compliance in your Extension Activities. Please refer to your position description and discuss with your supervisor. David White (dewhite@ucanr.edu), UC ANR Principal Affirmative Action Analyst, is available to assist in determining if you are required to document Civil Rights Compliance.

Self-Assessment Questions:

- 1) Do you have a regular clientele base that includes audiences external to ANR?
- 2) Do you conduct educational activities with identified clientele?
- 3) Are you responsible for recruiting participants or building relationships with potential clientele external to ANR who would benefit from your educational program?

If you answer yes to all questions, you are likely required to document Civil Rights Compliance. If you answer no to one or more of the questions, you may not be required to document Civil Rights Compliance. Consider listing your activities under University Service, Public Service, or Professional Competence, rather than Extension Activities, in your dossier.

Project Board information:

When recording the number of attendees in your Extension Activities in Project Board, please note if the attendees are internal to ANR (i.e., ANR staff/academics, clientele reported in another internal reporting system) or external to ANR. If internal, you will only be required to enter the total number of participants. If external, you will be required to enter the total number of participants by demographic groups. If there is a mix of internal and external participants, please choose one category that makes the most sense for the situation and your reporting requirements.

New to Civil Rights Compliance documentation?

Initial steps including defining your clientele group and providing demographic baseline numbers in Project Board. Please see the following resources:

- 1) Civil Rights Compliance and Outreach (why ANR collects this data, how to collect the data): PowerPoint available at <http://ucanr.edu/sites/anrstaff/files/272999.pdf>
- 2) An Affirmative Action, Civil Rights and Equal Opportunity Orientation Guide. UC ANR Orientation Guide. Appendix J of New Academic Orientation. Available at <https://ucanr.edu/sites/ProjectBoardHelp/files/291392.pdf>
- 3) Project Board – Civil Rights Compliance Instructions: http://ucanr.edu/sites/ProjectBoardHelp/Policies_and_Procedures/#civilrightscompliance