

## PPM 336: Annual Evaluations

<b>Responsible Officer:</b>	Associate Vice President
<b>Responsible Office:</b>	<a href="#">Office of the Associate Vice President</a>
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### TABLE OF CONTENTS

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I.	POLICY SUMMARY .....	2
II.	DEFINITIONS .....	2
III.	POLICY TEXT .....	3
IV.	COMPLIANCE / RESPONSIBILITIES .....	3
V.	PROCEDURES .....	3
VI.	RELATED INFORMATION .....	4
VII.	FREQUENTLY ASKED QUESTIONS.....	4
VIII.	REVISION HISTORY .....	4

**Note: For links to referenced documents see  
Section VI, *Related Information*, below.**

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## I. POLICY SUMMARY

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- A. This section of the Policy and Procedure Manual for the University of California (UC) Agriculture and Natural Resources (ANR) describes the local implementing procedures for the annual evaluation process for all UC ANR academic appointee title series.

Note: The Professional Researcher, Project Scientist and Specialist title series are also subject to the Academic Researcher's Unit Memorandum of Understanding ("MOU", a.k.a., collective bargaining agreement). Refer to Section VI, *Related Information*, below for a link to the MOU.

- B. Nothing contained in these implementing procedures should be read or interpreted to contradict the UC Academic Personnel Manual (APM) policy. If any provision should contradict the UC APM policy, the UC APM policy shall prevail.
- C. The information provided below is general, whereas the circumstances associated with specific annual evaluation situations may be unique. Please contact the Academic Human Resources Manager (contact information on page 1 above) regarding specific situations about which you have questions or concerns.
- D. It is the policy of UC ANR to evaluate all academic appointees on an annual basis, with the exception of years in which the appointee seeks advancement, and advancement documentation is submitted and processed.
- E. Selected academic appointees have been assigned to a UC campus with personnel actions approved through campus academic policies and procedures. Thus, those selected academic appointees are subject to campus policies and procedures and are not addressed in UC ANR local implementing procedures. This section of the Policy and Procedure Manual is applicable only to academic appointees subject to UC ANR personnel actions.

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## II. DEFINITIONS

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- A. **Academic Appointee:** An individual appointed to the position of UC ANR Professional Researcher, Project Scientist, Specialist, Specialist in UC Cooperative Extension, UC Cooperative Extension Advisor, Academic Administrator, or Academic Coordinator.
- B. **Campus-Based:** Selected academic appointees have been assigned to a UC campus. Most are subject to the campus academic human resources policies and procedures, and such academics are not addressed in this context. This section of the PPM is applicable to those academics that are subject to the UC ANR-based academic human resources policies and procedures.
- C. **Evaluation, Annual:** Review of an academic appointee's performance, progress, and goals over the previous year. Required for all academics. Instructions are found in the *Guidelines for Preparing the Annual Evaluation for UC ANR Academics*, issued on-line annually.

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### **III. POLICY TEXT**

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- A.** Annual evaluations are required for all UC ANR academic appointees, with the exception of those submitting a program review dossier for advancement. Annual evaluations are not deferrable, excluding various exceptions wherein an extension or waiver may be granted; e.g., those on extended sick leave and/or family medical leave; those on sabbatical leave; or those who have submitted an intent to retire effective July 1 or earlier. Annual evaluations typically include a review cycle from October 1 to September 30.
- B.** Performance evaluations may take place on a more frequent basis if warranted and required by the academic appointee's supervisor for purposes of a performance improvement plan. (Reference *Performance Improvement Plan Process Guidelines* on the Academic Human Resources website – see link in Item VI, *Related Information*, below.)

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### **IV. COMPLIANCE / RESPONSIBILITIES**

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#### **A. UC ANR-Based Academic Appointees**

1. The UC ANR Vice President (VP) has authority and responsibility for academic annual evaluations and related matters as they apply to UC ANR-based academic appointees. The VP has re-delegated this authority to the UC ANR Associate Vice President (AVP) who has further re-delegated it to the UC ANR Vice Provost of Strategic Initiatives and Statewide Programs and to the Vice Provost of Research and Extension. In turn, the Vice Provosts have re-delegated authority to local unit Directors (e.g., UC Cooperative Extension Directors, Research and Extension Center Directors and Statewide Program/Institute Directors).
2. The AVP has authority and discretion to make exceptions to this section of the PPM as they deem appropriate, congruent with any applicable provisions of the UC Academic Personnel Manual.

#### **B. Campus-Based Specialists**

The campus Chancellor (acting on behalf of the VP) has authority and responsibility for academic annual evaluations and related matters as they apply to campus-based Specialists subject to campus academic human resource policies and procedures.

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### **V. PROCEDURES**

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- A.** Annual evaluations by the academic appointee's immediate supervisor, are completed as follows.
  1. For academic appointees, the appropriate Unit Director conducts the evaluation and renders the final decision on it.
  2. For Unit Directors and Assistant Vice Provosts the appropriate Vice Provost

conducts the evaluation and renders the final decision on it.

3. For Vice Provosts, the Associate Vice President conducts the evaluation and renders the final decision on it.

- B.** Detailed procedures governing annual evaluations appear in the *Guidelines for Preparing the Annual Evaluation for UC ANR Academics*, issued annually by Academic Human Resources, with input from the Academic Assembly Personnel Committee, and distributed electronically. Evaluations of academic appointees are held confidential to the fullest extent permitted by law.

The major milestones of the review process are as follows.

1. Academic appointees enter civil rights compliance and organizational reporting data into UC ANR's electronic system ("Project Board").
2. Immediate supervisors confirm with the academics they supervise on the intended action (e.g., advancement type, annual evaluation, or intent to retire) and submit to Academic Human Resources.
3. Academics that have served more than six months must submit the full annual evaluation by the deadline established by Academic Human Resources.
4. Supervisors prepare and submit review letters by the deadline established by Academic Human Resources.
5. Academics and supervisors discuss annual evaluations and progress toward meeting stated goals and advancement.
6. Academics may submit an optional dissent document.

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## **VI. RELATED INFORMATION**

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- [UC Academic Researchers Unit MOU](#) (a.k.a., collective bargaining agreement) November 8, 2019 – September 30, 2022
- [UC ANR Guidelines for Preparing the Annual Evaluation for UC ANR Academics](#)
- [UC ANR Performance Improvement Plan Process Guidelines](#)

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## **VII. FREQUENTLY ASKED QUESTIONS**

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Not used.

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## **VIII. REVISION HISTORY**

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**November 2017:**

Format updated.

**March 2021:**

Revised for current practices, consistency and clarity, and titles and links updated.

**September 2022:**

Format updated.