

**2009 E-Book—"THEME FORMAT"**

**Academic Coordinator and  
Academic Administrator**

Guidelines for Preparing

**PERFORMANCE REVIEW DOSSIERS**



**DIVISION OF AGRICULTURE &  
NATURAL RESOURCES**

University of California

*Compiled and edited by the Personnel Committee,  
UC ANR Academic Assembly Council*

**September 2009**

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## General Information

This E-Book was written to help you prepare an effective dossier to support review of your performance. The E-Book, combined with the online and hands-on training opportunities, should give you the information you need for preparing and submitting your dossier through the Online Review System.

Please note the following:

- **For 2009, There are two e-books for Academic Coordinators/Administrators.** One documents the process for Academic Coordinators/Administrators who choose to follow the dossier format ("one-pager format") used in 2008 and prior years, and the other documents the "theme" format new in 2009. It is highly recommended that academics move to the new format in 2009, but some may choose to stay with the old format if, for instance, they have already begun preparation of materials in that format. **Be sure to follow the E-Book instructions for the format you choose.**
- All access to the Online Review System, with its templates and upload modules, is through the UC ANR Portal.
- You will receive an e-mail from either Andra Strads or Carolyn Frazier notifying you that you can access the System.
- Only dossiers uploaded through the ANR Portal will be accepted. Printed copies will **not** be accepted.
- The deadline for uploading your dossier is **11:59 p.m., February 1, 2010.**
  - The Online Review System is available 24 hours a day until the deadline.
  - You may upload your documents and continue to make corrections/revisions up until the deadline.
  - There will be no extensions beyond the deadline.
- After the deadline, you will still be able to access and print your submitted dossier.
- After the review period has ended, your dossier will be archived and remain accessible to you.

### Where to Find More Information:

- If you have more questions, contact:
  - Carolyn Frazier, Human Resources Director, carolyn.frazier@ucop.edu, (530) 752-7497
  - Andra Strads, Administrative Analyst, andra.strads@ucop.edu, (530) 752-7532
- University of California ANR academic advancement policies and procedures are available in Section 315 of *UC Division of Agriculture and Natural Resources Administrative Handbook*.
- The Administrative Handbook, this E-Book, and other supporting materials are available at the ANR web site [http://groups.ucanr.org/Academic\\_Personnel/index.cfm](http://groups.ucanr.org/Academic_Personnel/index.cfm)

## Notes and Updates for the 2009 Theme Format E-Book

This E-Book is part of an ongoing effort to provide guidance for Academic Coordinators and Academic Administrators (AC/AA) in preparing for reviews of their performance. While the number of AC/AAs in ANR is small, the types of work and expectations for AC/AAs are different enough from those for CE Advisors to warrant a separate guidance document.

An Academic Coordinator is included on the ANR Assembly Council Personnel Committee to help the committee understand the differences in expectation and process for AC/AAs.

For 2009,

- **Choose between two dossier formats to describe your activities and accomplishments.** Use either the "one-pager" format, as in 2008 and earlier years, or organize the description of your activities and achievements around major themes or goals of programs, with the new descriptions replacing the "one-pagers." **This E-Book describes how to use the new "theme" format.** If you choose to use the one-pager format, see the 2009 E-Book "One-Pager Format."
- A Project Summary table has been included to document the details of projects and activities.
- If using the theme format, Professional Competence and Service activity should be shown in lists, with less detail than in earlier-year tables.

## Types of Review Dossiers

There are three types of personnel actions for which AC/AAs must prepare and submit a review dossier:

- 1) merit evaluation (AC/AA);
- 2) change in level (AC); and
- 3) accelerated action: merit evaluation (AC/AA)

A summary description of these actions and components for each type of dossier follows.

**1) Merit Dossier**—For AC/AAs seeking advancement within their current level.

| Goal  | Review period   | Dossier components*   |
|---|---|---|
| Advancement within level, from one step (AC) or salary level (AA) to the next | Since most recent salary action: All AA, AC I and AC II are reviewed every two years and AC III every three years | <ul style="list-style-type: none"> <li>• Position description(s) covering the review period</li> <li>• Table of contents</li> <li>• Self-statement</li> <li>• Fiscal Impact Statement</li> <li>• Documentation of performance in 3 academic criteria for advancement and affirmative action</li> <li>• Bibliography</li> <li>• Project summary</li> <li>• Extension activities (optional)</li> <li>• Letters of publication acceptance (if needed)</li> </ul> |

\*For a complete description of the dossier components, see "Elements of the Review Dossier" below.

2) ***Change-in-Level Dossier***—For Academic Coordinators seeking to move from one level to the next. A request for a change in level must be initiated concurrently with the merit evaluation process.

- For ACs, there is no expectation of a change in level without significant changes in the scope and complexity of the position.

| Goal   | Review period              | Dossier components*   |
|--|----------------------------|---|
| Advancement from one level to the next   | All years in current level | <ul style="list-style-type: none"> <li>• Position descriptions (current and proposed)</li> <li>• Table of contents</li> <li>• Self-statement</li> <li>• Fiscal Impact Statement</li> <li>• Documentation of performance in 3 academic criteria for advancement and affirmative action</li> <li>• Bibliography</li> <li>• Supervisor letter of evaluation/change in assignment</li> <li>• Project summary</li> <li>• Extension activities (optional)</li> <li>• Letters of publication acceptance (if needed)</li> </ul> |
| *For a complete description of the dossier components, see “Elements of the Review Dossier” below. |                            |   |

3) ***Accelerated Merit Dossier***—Prepared by eligible AC/AAs seeking an action earlier than it would normally occur. An acceleration represents a significant salary action intended to recognize exemplary efforts beyond what is typically accomplished.

| Goal   | Review period                      | Dossier components*   |
|--|------------------------------------|---|
| Advancement that occurs earlier than normal.   | Merit: since latest salary action; | <ul style="list-style-type: none"> <li>• Position description</li> <li>• Table of contents</li> <li>• Acceleration statement</li> <li>• Fiscal Impact Statement</li> <li>• Documentation of performance in 3 academic criteria for advancement and affirmative action</li> <li>• Bibliography</li> <li>• Three publication samples (as relevant)</li> <li>• Letters of evaluation</li> <li>• Project summary</li> <li>• Extension activities (optional)</li> <li>• Letters of publication acceptance (if needed)</li> </ul> |
| *For a complete description of the dossier components, see “Elements of the Review Dossier” below. |                                    |   |

### **Performance Expectations for Academic Coordinator/Administrator Levels**

Because the review dossier must provide evidence of the activities, accomplishments, impacts, and professional stature commensurate with the specific academic level, the performance expectations from the UC Academic Personnel Manual, APM-375 (Appointment and Promotion, Academic Coordinator Titles) and APM-370 (Appointment and Promotion, Academic

Administrator Series) are provided below for reference.

### **Academic Coordinator Levels**

#### **375-10.b.(1) Academic Coordinator I.**

This level is intended for individuals with responsibility for programs of minimal to moderate complexity. Such programs can be administered with a small staff, or they may consist primarily of local University-related activities with limited breadth or narrow focus. The administration of the program at this level will normally involve outside agencies or industries only when necessitated by the targeted needs or interests of a University-based clientele. The Academic Coordinator I will typically receive general supervision by a department chair, a faculty member, or other academic or professional staff member. The duties of an appointee may include limited involvement in the generation and/or coordination of funds.

#### **375-10.b.(2) Academic Coordinator II.**

This level is reserved for individuals with responsibility for programs of moderate complexity. The duties of an appointee may include the independent coordination of a program with a moderately-sized staff or, in a small organization, a scope that encompasses several departments, schools, or colleges of the campus, or a series of affiliated academic, governmental, or private institutions. The Academic Coordinator II is expected to manage the program with a great amount of independence and may receive general guidance from a faculty member, a department chair, an assistant/associate dean, or equivalent positions. Duties may include moderate involvement in the generation and/or coordination of funds from different sources.

#### **375-10.b. (3) Academic Coordinator III.**

This level is reserved for appointees who have primary responsibility for the administration, management, and coordination of large programs with broad and substantial complexity and who fulfill their responsibilities independently. These appointees might be unit heads who report directly to deans or vice chancellors. Their responsibilities may include the direction and supervision of a large staff and/or administration of a program with a broad, interdisciplinary scope that encompasses several colleges or schools within the campus, other UC campuses, or public and private agencies outside of the University. The duties of an appointee at this level may include extensive involvement in the generation and/or coordination of funds. Appointment to this level will require demonstrated superior professional ability, outstanding accomplishment in job-related activities, and the assumption of greater responsibility than typically delegated to Academic Coordinators at other levels. Appointment to this level may require demonstrated scholarly ability and attainment, depending on the duties of the position.

### **Academic Administrator Series**

#### **370-4.b.**

Appointment to the Academic Administrator series may be at any one of seven titles, i.e., Academic Administrator I through VII, each of which will be identified by a separate title code.

**370-4.c.**

The duties of the positions in this series are more in administration than in teaching and/or research, although the administration may include participation in as well as the overseeing of programs involving teaching, research, or academically-based public service.

**370-10.a.**

A person appointed to a position in this series must have professional and academic qualifications similar to those of academic appointees in the organized activity with which the appointee is to be concerned.

## **Criteria for Reviewing Performance—Academic Coordinator**

According to APM 375, “Merit increases are based on administrative performance, professional competence and activity, and University and public service. Professional accomplishment and scholarly achievement should also be considered, if required by the position.”

Materials submitted in support of a merit increase shall provide a comprehensive assessment of the candidate’s qualifications and performance in the areas specified below. A *Position Description* (all that are applicable to the review period) must be provided, along with an explanation of the candidate’s role in his/her unit and within a larger unit, if appropriate to the position.

The balance of a candidate’s commitments and responsibilities among the four criteria below should be based on the *Position Description*. If there is variation in the review period in the balance described in the *Position Description*, the candidate should explain that in the dossier.

### **1. Coordination of Academic Programs**

In most instances, Academic Coordinators will have primary responsibility for the administration and coordination of one or more programs and may have responsibility for directing the activities of other academic appointees or staff.

#### **Types of activities**

- Academic program planning and development.
- Assessment of program and constituency needs.
- Evaluation of academic program activities and functions.
- Development of proposals for extramural funding of campus programs and identification of support resources.
- Liaison representation with other agencies and institutions in the public and private sectors.
- Supervision and leadership of other academic appointees or staff.

### **2. Professional Competence**

Academic Coordinators will provide intellectual leadership and scholarship to their programs.

### **3. University and Public Service**

Academic Coordinators participate in the administration of their assigned units and the

University through appropriate roles in governance and policy formulation. In addition, they may represent the University in their special capacity as scholars during the discharge of their responsibilities.

#### 4. Affirmative Action

If applicable, the candidate's efforts and accomplishments with respect to Affirmative Action during the review period should be highlighted. Documented program and/or administrative accomplishments and commitment to outreach/diversity shall be taken into account in judging a candidate's performance in each of the above three criteria.

### Criteria for Reviewing Performance—Academic Administrator

According to APM 370, "Merit increases and promotions are based on administrative experience, professional competence and activity, and University and public service."

Merit increases are based on the submitted dossier which should provide a comprehensive assessment of the candidate's qualifications and performance. A *Position Description* must be provided, along with an explanation of the candidate's role in the program and within a larger unit, if appropriate.

### Elements of the Theme Format Review Dossier

The dossier may be prepared in either the new "theme" format or the old "one-pager" format. **This E-Book describes the NEW THEME FORMAT.** If you choose to use the old one-pager format, see the 2009 Academic Coordinator/Administrator One-Pager Format E-Book . Depending on the type of review (see "Types of Review Dossiers" section), the dossier may include the following elements, as discussed below:

- |  |  |
|--|--|
| 1. <i>Position Description</i>                                     | 6. <i>Bibliography</i>                       |
| 2. <i>Acceleration Statement</i>                                   | 7. <i>Project Summary</i>                    |
| 3. <i>Self-Statement</i>   | 8. <i>Publication Examples</i>               |
| 4. <i>Fiscal Impact Statement</i>                                  | 9. <i>Letters of Evaluation</i>              |
| 5. <i>Academic Criteria for Advancement and Affirmative Action</i> | 10. <i>Extension Activities</i>              |
|  | 11. <i>Letters of Publication Acceptance</i> |

#### 1. Position Description

The *Position Description* (PD) provides the basis for evaluating your dossier. Your PD must include the position title, nature and purpose of the position, major duties and responsibilities, internal and external relationships, qualifications and affirmative action responsibilities.

- Your PD must be submitted by you to the online system and your supervisor must "approve" it online. If you hold a cross-county assignment, all Supervisors/County Directors sign /"approve" only the hard copy of the Position Description.
- **PDs no longer need to be scanned and uploaded.** The Performance Review/Annual Evaluation system now maintains a library of position descriptions from throughout your

ANR employment history. The signed hard copies, however, should still be maintained in the regional/program office or next-level supervisor file. (See Appendix E for further instructions).

- Submit an addendum to reflect special short-term assignments that do not warrant a revised PD.

## 2. Acceleration Statement (3-page limit)

If you are requesting an accelerated salary action, you must notify your supervisor as soon as possible (usually early September). Your dossier must include an *Acceleration Statement* describing the outstanding accomplishments **since your last salary action** that you believe warrant the acceleration.

- An acceleration represents a significant salary action intended to recognize exemplary efforts beyond what is normally considered appropriate for a merit. Clearly note the driver for the case for acceleration. There should be evidence of exceptional achievement in **at least one** of the academic criteria. Moreover, productivity and progress in **all three** criteria for advancement should be greater than would normally be expected for the individual's level.
- Do not just repeat the description of activities and accomplishments contained in other sections of the dossier.
- If you submit an *Acceleration Statement*, do not submit a *Self-Statement*.

## 3. Self-Statement (1 page for each year under review)

This section is your opportunity to provide reviewers with the big picture of your activities. While other sections of the dossier contain lists and short descriptions, this section should highlight career phases, changes in job assignment, significant accomplishments, and external factors that have influenced the balance of your activities.

- Include brief descriptions of your overall goals or issues, audiences served, and the methods used to determine needs. Summarize your major results and impacts.
- It is essential that reviewers understand how your activities and accomplishments are related to your goals and objectives.
- You must clearly tie together the efforts that you list or describe elsewhere in the dossier, especially those in the *Academic Criteria for Advancement* section.
- It is recommended that you divide your *Self-Statement* into sections corresponding to the same broad groups of activities and projects used in the *Academic Criteria for Advancement* section.
- Provide a brief description of each broad category and summarize overall results or impacts. Placing this in your *Self-Statement* is preferred, but if the page limitations of this section are restrictive, you may instead place them in the *Academic Criteria for Advancement* section as explained below and refer the reader accordingly.

#### 4. Fiscal Crisis Impact Statement

- This ½ page statement is a means for you to describe any impact resulting from the recent/current fiscal crisis. For example, you may have lost staff; lost grant funding or lost community partners due to the crisis.
- If you have not experienced any impact, just write – “no impact

#### 5. Academic Criteria for Advancement and Affirmative Action

This section should include the following subsections:

- a. Coordination of Academic Programs/Administrative Experience
- b. Professional Competence and Activity
- c. University and Public Service
- d. Affirmative Action

**a. Coordination of Academic Programs/Administrative Experience** (5-page limit for merit, 10-page limit for acceleration/change in level)

- Administration and coordination of one or more programs and directing the activities of other academic appointees or staff should be combined into this single subsection in your dossier.
- Divide this subsection into the divisions that occur naturally under major themes/issues or goals of your program. The organization of this subsection should be guided by your *Position Description*, although there may be differences. Your activities and accomplishments are likely to include work in the following administrative areas:
  - Academic program planning and development;
  - Assessment of program and constituency needs;
  - Evaluation of academic program activities and functions;
  - Development of proposals for extramural funding of campus programs and identification of support resources;
  - Liaison and representation with other agencies and institutions in the public and private sectors; and
  - Supervision and leadership of other academic appointees or staff.
- At the beginning of the section, include a top-level outline of the themes/goals.
- For each theme or section, include the following:
  - **Background/rationale/short-term and medium-term goals**
    - Describe general background/rationale for each goal. Include information such as why you decided to focus on a particular effort, how you identified the need for it, why it was important, and how it fit within the overall goals of your program.
    - Succinctly describe the rationale of your various projects/activities within each goal.
  - **The Situation or Problem**

- What situation did you consider, solve, or answer?
- **Coordination/Administration activities**
  - Succinctly describe what you did to accomplish your goals, in a narrative.
- **Outputs/Outcomes/Impacts**
  - Emphasize evidence of short- and medium-term outputs/outcomes and long-term or projected impacts of the activities conducted to reach your goal. Impacts are the measure of your success. A product is created (results/output); someone's knowledge, attitude, skills, behavior, or practices are changed because of the product (outcome); and then there may be a benefit to an individual, organization, or community that can be a social, health, economic, environmental, or physical condition (impact). Sometimes impacts can be easily quantified, such as a financial impact, or may be harder to quantify, such as employee satisfaction.
  - Refer to your Project Summary (below) for your role and the roles of collaborators, resources/funding for projects/activities. Don't duplicate those details in your narrative.

**b. Professional Competence and Activity (no page limit)**

Divide this section into two categories: **Professional Development and Training** and **Evidence of Professional Competence**.

**Professional Development and Training.** List activities you undertook to increase your professional competence, including workgroup and nonworkgroup training sessions, and attendance at conferences, symposia, and workshops. Where applicable, give the date and/or duration of the activity or training. Include any special leaves you have taken, e.g., a study leave. Include professional society memberships if relevant. If applicable, organize by goal or subject matter first, then chronologically.

**Evidence of Professional Competence.** List activities that reflect your professional standing, including professional society presentations, books or journals edited, articles reviewed or refereed, professional organization offices held, professional recognition and awards, and sessions chaired at professional society meetings. If applicable, organize by goal or subject matter first, then chronologically.

**c. University and Public Service (no page limit)**

Divide this section into two categories: **University Service** and **Public Service**.

**University Service.** List activities that show your leadership role and contributions within the University. This includes memberships and contributions to committees, workgroups, and task forces, and should include whether the effort involved a specific program or department, or served the entire University. Also indicate whether the activity addressed issues of county, regional, state, national, or international significance.

**Public Service.** List activities and events in which you used your professional expertise to benefit groups or efforts outside the University. Divide these activities by community,

county, regional, state, national, or international levels. Include evidence of the recognition you received for public service and professional contributions to communities, industry, government, and other organizations. Items listed here should relate to your field of expertise. Highlight your outstanding leadership efforts.

**d. Affirmative Action** (2 page limit)

Where relevant, you should describe your Affirmative Action activities in your *Self-Statement* and in the above three subsections. The purpose of this separate *Affirmative Action* section is to highlight your efforts and accomplishments. There is a limit of two pages.

- Provide specific information about your activities.
- Relate the activities to the Affirmative Action responsibilities included in your *Position Description*.
- If applicable,
  - Include a short narrative description of the underserved audiences you intended to reach and the methods used to reach them. Be sure to highlight notable and innovative approaches, if any.
  - Describe efforts you made with, or through, other organizations.
  - Describe research or outreach you conducted with underrepresented audiences.

**6. Bibliography**

While publication is not specifically required as part of the AC/AA series (see APM-375 and APM-370, respectively), it is very likely that successfully meeting the expectations of these titles will result in publications, or publications may be required in your *Position Description*. Use this section to document these publications, or mark it or “none” as applicable.

- The *Bibliography* must cover your entire career.
- At the beginning of the section, provide a summary of the number of publications in each publication category for the review period.
- List entries in chronological order from oldest to most recent work.
- For multi-authored publications produced during the current review period, bibliographic citations **must be annotated with a sentence explaining your role in the publication and/or activities that led to it**. Just stating you were a co-author is insufficient.
- Use a single bibliographic formatting style that is considered standard for your discipline. Be sure date of publication and page numbers, as appropriate, are included for each entry.
- Categorize the publications using the system described below (A through E). Don’t rearrange your pre-existing bibliography; simply add the corresponding category letter at the beginning of each entry. *Note that this system does not imply importance of one category over another. Categorization enables the Administration to summarize for federal reporting purposes. Information targeted to specific audiences relevant to your Position Description is encouraged and is highly valued by Administration.*

**A** Popular articles, newsletter stories, UC Delivers. These may be targeted at specific

audiences or to the general public/layperson. (These would include newspaper articles, trade journals, magazines, websites, and presentations.)

**B** Peer-reviewed scholarly journal (a type of periodical that contains articles written by researchers and experts in a specific discipline aimed at other researchers). A peer review involves a blind review of your work and a refereed editorial process (with possibility of rejection) leading to publication. (Examples include: *Agronomy Journal*, *American Journal of Veterinary Research*, *Journal of Adolescence*, *Journal of Nutrition Education and Behavior*, *Journal of the American Society for Horticultural Science*.)

**C** Other peer-reviewed articles and publications. Examples include: *California Agriculture* and ANR Publications.

**D** Technical reports and articles (reports to funding agencies or commodity groups; articles in conference proceedings; workshop/training materials).

**E** Abstracts (limited in terms of the number of words and do not include footnotes or a bibliography). Examples are poster or presentation abstracts.

- Publications listed as “in press” must have been accepted for publication. Citations for these publications must include the journal or publisher and date of acceptance. Include a letter of acceptance from the publisher as an appendix to your dossier to document this status.
- If a publication is listed among the current bibliography as “in press” for this dossier, it should not be listed again among current bibliography in a subsequent dossier after it is published.
- Do not list publications that have been submitted, but are not yet accepted.
- It is appropriate also to cite nonprinted works in the *Bibliography*. These might include items such as slide or digital media, video or audiotapes, computer software, or website design, categorizing them as **A** or **D**. In addition to the information normally cited in a bibliographic reference, the citation for website design or work published on a web site should include the website’s name and URL and the date your material was last revised.
- Regular newsletters with multiple editions should be cited only once, and their citations should include volume and issue numbers. Original articles in specific issues can be separately cited. Newsletter articles on which you were a co-author can be cited with an annotation describing your contribution. When the same article is published in multiple locations, include all references to publications by volume and issue in a single citation.
- If yours is a review for an accelerated action, it would also be helpful to use an asterisk (\*) or **boldface** to mark publications that played a prominent role in your acceleration request.

## 7. Project Summary

Use the themes/goals you used to organize your narrative to subdivide the Project Summary table. List all projects, including the ones that do not have specific grants or financial support.

Include: title of project and duration; your role; first initial and last name, and institutional affiliation of collaborators; amount of support and its duration (and type if other than money); and the source.

| Project Title/Duration | Your Role | Collaborators | Support Amount/Duration | Support Source |
|------------------------|-----------|---------------|-------------------------|----------------|
|                        |           |               |                         |                |

## 8. Publication Examples

If you have included a *Bibliography*, it may be useful, especially for accelerated merit actions to include sample publications. Three are allowed. They may be articles, books, monographs, slide sets, digital media, videos, manuals, reports, information sheets, or others. Choose items that best represent your accomplishments and abilities. A brief description of each item should precede the samples.

Scanning or changing the format so that these items can be uploaded is the responsibility of the candidate. General instructions are on the Online Review System website.

## 9. Letters of Evaluation

*Letters of Evaluation* are required for accelerated personnel actions. These letters are confidential, so you will not see them. Your supervisor will solicit, collect, and upload the letters. While you may suggest persons to be solicited, your supervisor may choose to solicit letters from others who are knowledgeable of your work, but who are not on your list. All letters received will be included for the review.

- It is your responsibility to use the Online Review System to supply the names and contact information of three to five individuals from outside of your office who may be willing to write letters of evaluation and who can truly evaluate your activities. Enter the names by the **end of October**.
  - You are encouraged to suggest some peers from outside your program who are familiar with an important aspect of your work and who can provide a broad perspective for your activity and evidence for growth and influence of your work. These may include persons external to ANR, such as agency personnel or academics from other institutions and other states. It is helpful if those who are solicited for letters are likely to be familiar with the review criteria.
- You may also provide your supervisor by e-mail by the end of October with the names of individuals whom you do not want to be solicited for evaluation letters. Include your concerns about why these individuals may not be able to be objective in their evaluation of you.

## 10. Extension Activities (optional)

Extension and outreach are not inherently requirements of AC/AA positions. However, if they are required by your *Position Description*, you should include a list of these activities in your dossier. Even if they are not required, you may wish to list activities that you undertook.

- List extension/outreach activities conducted since the last salary action in chronological order (from oldest to most recent) using a table format.
- For each activity or event, list the date, name, topic, location, and number of attendees. If you hold large numbers of meetings of similar purpose in which your role remains constant (e.g., you are teaching the same content, facilitating the same agenda, etc.), you may consolidate them using a collective time frame, title, description, role, general location, and an estimated average attendance. Divide the list of activities using the following categories:

**Meetings organized** (also list your role in organizing the meeting)

**Educational presentations at meetings** (including oral presentations and posters)

**Other** (including news media interviews)

- List only those outreach activities that are directly related to your *Position Description*. Do not include consultations or meetings with individuals.
- List educational or outreach activities for groups such as students, foreign visitors, and scientific colleagues in the *Professional Competence* or *University and Public Service* sections as appropriate.

## 1. Letters of Publication Acceptance (as needed)

These are required for publications in the current review period that are listed as “in press” in the *Bibliography*. If these are not in electronic format, scan and upload them.

### Formatting the Review Dossier

Prepare your dossier using Times New Roman font, size 11 or 12, with single-spaced text and 1-inch margins at the top, bottom, and sides of each page. Use the most current edition of the American Psychological Association (APA) Publication Manual (5th Edition) or other current writing style handbook as a guide for all grammatical, punctuation, and bibliographic citations (see Appendix F. Useful Websites).

### Tips for Preparing for the Review Process

**Begin early!** Review the Online Review System website and begin to insert drafts of your dossier components.

The challenge in preparing a dossier is to develop a concise, readable, and comprehensive document that explains your activities to supervisors and other reviewers, who may not know your administrative activities, audiences, resources, situation, or accomplishments like you do. Some may work outside your discipline. The dossier must help them understand the challenges you face, why you engage in the work you do, your accomplishments, and the impact you’ve made. If you have emphasized one of the academic criteria for advancement over the others during this review period, be sure to explain why this occurred.

- Use the first person and active voice to describe your work and show your role in projects. For example, state “I presented” rather than “Information was presented.”
- Keep sentences short and to the point.
- Replace long words with short ones and technical terms with nontechnical terms.
- Avoid acronyms when possible. If you use them, define them in the text or explain them in an alphabetically sorted appendix
- Use the most current edition of the American Psychological Association (APA) Publication Manual (5th Edition) or other current writing style handbook for all grammatical, punctuation, and bibliographic citations (see Appendix G. Useful Websites).
- Proofread carefully!
- Ask a colleague to review your dossier prior to submission.

## Appendices

### Appendix A. The Review Process and Its Participants

#### 1. Required Elements in the Review Process

| Item or action                       | Type of review |                 |                     |
|--------------------------------------|----------------|-----------------|---------------------|
|                                      | Merit          | Change in Level | Accelerated Actions |
| Performance review dossier           | X              | X               | X                   |
| Letters of evaluation                |                | X**             | X                   |
| Supervisor check of dossier          | X              | X               | X                   |
| Supervisor review                    | X              | X               | X                   |
| Next-level supervisor review*        | X              | X               | X                   |
| Ad hoc committee review              |                | X               | X                   |
| Senior Administrative Council review | ***            | X               | X                   |
| Associate Vice President decision    | X              | X               | X                   |

\*If your supervisor is a Program Leader, a Regional Director, or the Assistant Vice President–Programs, then he/she is also the Next-Level Supervisor and a second review is not required.

\*\* Supervisor provides letter of evaluation/change in assignment to support the case for a change in level for Academic Coordinators but external letters of evaluation are not required.

\*\*\* SAC may review specific merit cases if requested by the supervisor.

#### 2. Roles of Participants in the Review Process

##### **Academic Coordinator/Academic Administrator**

- Collects information related to activities and accomplishments throughout the review period.
- Declares his/her desire to advance.
- If letters of evaluation are required, gives supervisor lists of colleagues to ask, and **not** to ask, for letters of evaluation.
- If ad hoc committee is required, may give supervisor list of persons to be excluded.
- Reviews his/her information supplied by the online system and contacts ANR to correct errors.
- Prepares dossier and submits it online.
- Meets with supervisor to review supervisor’s evaluation of candidate’s performance.

##### **Supervisor**

- Discusses possibility of advancement with candidate.
- Solicits letters of evaluation from individuals familiar with the candidate’s performance, including people on candidate’s list and others.
- If ad hoc committee is required, submits to Andra Strads the list of persons candidate has asked to be excluded.
- Collects letters of evaluation and uploads them into the online system.

- Reviews candidate's dossier to make sure it is complete.
- Reviews candidate's performance, prepares written evaluation, and uploads it into online system. In case of AC change in level, also explains change in responsibilities of the position and qualifications of candidate for new responsibilities.
- Meets with candidate to discuss evaluation.

### **Next-Level Supervisor**

The appropriate Program Leader or Regional Director or the Assistant Vice President–Programs reviews the dossier and any supporting material that may be involved (e.g., letters of evaluation), reviews the supervisor's evaluation, prepares his/her own recommendations, and uploads them. If your supervisor is a Program Leader, a Regional Director, or the Assistant Vice President–Programs, then he/she is also the Next-Level Supervisor and a second review is not required.

### **Ad hoc Review Committee**

Ad hoc review committees are composed of academic appointees who are peers of the candidate. The role of the committee is to evaluate the candidate's dossier for acceleration actions and appeals (for cases where a merit or other personnel action is denied) and to provide constructive feedback and analysis to assist the candidate in future performance reviews.

- The committees are composed of three ANR academics who are usually at or above the level being sought by the candidate and include at least one member with related subject matter expertise. In the event that there are no ANR members at or above the level being sought by the candidate with appropriate subject matter expertise, a fourth committee member having such qualifications can be included.
- Nominations for membership on these committees are made by the Assembly Council Personnel Committee and members are appointed by the Associate Vice President. Equal opportunity/outreach/diversity principles and commitment are considered along with subject matter expertise in the appointment of ad hoc review committee members.
- A candidate may submit name(s) of ANR academics whom they prefer **not** review their dossier to Carolyn Frazier, Human Resources Director or Andra Strads, Administrative Analyst, by the end of October.
- Ad hoc committees evaluate from one to three candidates. The names of ad hoc committee members and all of their activities are confidential. The committees are disbanded when their recommendation report has been accepted.

### **Senior Administrative Council**

The ANR Senior Administrative Council (SAC) is composed of the CE Regional Directors, Program Leaders, and the Assistant Vice-President–Programs. This body reviews ANR Academic Personnel dossiers and recommendations of supervisors and ad hoc committees for merit, promotion, change in level, and accelerated personnel actions. Program Leaders present the cases that fall in their program area (Ag Policy and Pest Management, Agricultural Productivity, Human Resources and Natural Resources and Animal Agriculture Programs) to the SAC, and the group votes on actions to develop recommendations to the Associate Vice President. The composition of SAC is being evaluated at this time. It is known that the Program Leaders will not continue next year.

**Associate Vice President**

The ANR Associate Vice President makes final decisions related to advancement of academic employees.

**Vice President**

The ANR Vice President reviews and makes the final decisions on appeals.

**Appendix B. Tips for Collecting and Collating Information for Your Review Dossier**

Academics should compile pertinent information in advance to facilitate preparation of their review dossier. An organized system of tracking activities can be very helpful. This may include:

- a daily calendar for appointments, administrative projects, and activities, work on projects, program planning and development, committee service, assessments, outreach activities, training, etc.;
- an electronic folder (or hard-copy folder) for the current review period with subfolders for each academic criterion for advancement. For example, when returning to the office after giving a presentation at an educational meeting, file the meeting agenda (where you are listed as a speaker) in a sections labeled *University Service* and *Public Service*;
- an electronic folder (or hard-copy folder) for publications, abstracts, and other items; and
- an electronic folder (or hard-copy folder) for extension/outreach activities and grant solicitations, if any are applicable to your dossier.

Consider setting up in advance the formatting for dossier sections, especially those that require tables or for the *Bibliography*, so additions can be made periodically and easily.

Obtain assistance and guidance from your supervisors and colleagues in your office or discipline. It is very helpful to read a well-written review dossier of a colleague or mentor. Ask a colleague to review your initial drafts.

Participate in a training session on the performance evaluation process, if possible. The information shared at these sessions can provide valuable ideas on criteria, format, and style for the dossiers.

Ask questions of your colleagues and supervisors. While they cannot divulge confidential information about specific individuals, they can offer valuable “tips of the trade”. Prepare your dossier for the intended audience: your supervisor, an ad hoc review committee, and the SAC.

|   |
|---|
| <b>Appendix C. Checklist for the Completed Review Dossier</b> |
|---|

|   | <b>Component</b>  | <b>Comment</b>   |
|---|---|--|
| – | Online title page information   | Insure information about you is listed correctly. If there are errors, contact Andra Strads.                   |
| – | Table of contents   |  |
| – | 1. Position Description(s)  | Position descriptions will be uploaded by AC/AA and verified electronically by the supervisor. See Appendix E. |
| – | 2. Acceleration Statement   | Accelerated action candidates only.  |
| – | 3. Self-Statement   | Not needed for accelerated action candidates.  |
| – | 4. Fiscal Impact Statement  |  |
| – | 5. Academic Criteria for Advancement/Affirmative Action: <ul style="list-style-type: none"> <li>• Coordination of Academic Program/Administrative Experience</li> <li>• Professional Competence</li> <li>• University &amp; Public Service</li> <li>• Affirmative Action</li> </ul> |  |
| – | 6. Bibliography   |  |
| – | 7. Project List   |  |
| – | 8. Publication Examples   | Scanned & uploaded as required.  |
| – | 9. Letters of Evaluation (or Supervisor Letter of Evaluation/Change in Assignment for Change in Level)  | Uploaded by Supervisor, only needed for Accelerations and Changes in Level.                                    |
| – | 10. Extension Activities  | Optional   |
| – | 11. Letters of Publication Acceptance   | Scanned and uploaded, if needed.   |

Note: While reference has been made to scanning a document, if you already have an electronic version of it, then upload that.

## Appendix D. Instructions for Uploading Your Review Dossier

Most sections are required and will be identified as ‘required’ in red. Your dossier is not complete unless all required files have been uploaded.

### **To upload one of the files:**

Click on the section name from the main page, e.g., ‘Self-Statement’.

Click on the ‘Browse’ button next.

Find the file on your computer. Your file must be one of the following types:

- Portable Document Format (Acrobat) **–.pdf**
- Microsoft Word **–.doc**
- Word Perfect **–.wpd**
- Rich Text Format **–.rtf**
- PowerPoint **–.ppt**

When you have found and selected the file, click ‘Save Your File’. Depending upon the file size, and your connection speed, it may take a few minutes to save the file.

The file will be converted into **pdf** format and, once it is uploaded, the next screen in your computer will show the status as ‘uploaded’. The date and time of the upload will be displayed. If your file will not upload and it was not already a **pdf** file, converting it to a **pdf** file prior to upload will remedy most problems.

If you want to make a change to your document or submit an updated version, you may do so until the submission deadline (see instructions to Review/Change file). Only the most recent version will be on the website. Older versions are not displayed.

Once you have uploaded all of the required documents, you will see a message similar to this:

“Your Review Dossier has been uploaded. After midnight on February 1, 2010 it will become available to your immediate supervisor. Prior to that, you may update any of the components by clicking on the document name and then uploading a replacement file.”

### **Review/Change file**

You can review, or change, the files you have in the system at any time prior to the system being closed (February 1, 2010 at 11:59 p.m.).

#### **To review a file:**

Click on the file name from the main menu

Under the blue header will be a grey section. That section will have a link to review your current document.

#### **To change a file in the system:**

Follow the same steps used when first adding a document: Click the ‘browse’ button and upload the file.

### **Documents Allowing Multiple Entries**

Some documents will allow multiple files to be uploaded. You may have different versions of the file that you need to include. These are listed on the main page under the grey bar.

**To upload a *new* version of a file:**

Click on the section name from the main page

Provide a ‘Version Name’ for the file, e.g., ‘Sabbatical Leave – Mexico’. Each version of the file will have its own name.

Click on the ‘Browse’ button next

Find the file on your computer. Your file must be one of the following types:

- Portable Document Format (Adobe Acrobat)—**.pdf**
- Microsoft Word—**.doc**
- Word Perfect—**.wpd**
- Rich Text Format—**.rtf**
- PowerPoint—**.ppt**

When you have found and selected the file, click on ‘Save Information’. Depending upon the file size, and your connection speed, it may take a few minutes to save the file.

**To edit a file** that allows multiple versions, or to review the file, you will need to click on the version name. Follow the Change/Review instructions for single files.

**Deleting files**

**If you need to delete any files:**

Click on the file name from the main menu.

Scroll to the bottom of the page, and click on ‘Delete This File’ link.

Verify deletion.

## Appendix E. Instructions for Uploading Your Position Description

The Online Review System offers the ability to maintain a library of position descriptions from throughout your ANR employment history. The signed hard copy, however, should be maintained in the next-level supervisor file.

- The uploaded PD must be verified electronically by your supervisor before it will be available to other reviewers such as Ad hoc committees and SAC.
- County Directors/Supervisors who are the primary supervisors for AA and AC with cross-county assignments will be responsible for the electronic signature of the PD. The remaining cross-county supervisors will have read-only access.
- You may electronically store as many Position Descriptions as you would like. All of your PDs will be available in the coming years to speed the process of using the PR/AE system.

### **To Upload Position Descriptions:**

- In the Online Review System, click on ‘Position Descriptions’ from the list of files.
- Click on ‘Upload a Position Description.’
- Enter the start date for the position description (08/10/2008 format). Give the PD a descriptive name, for instance: “Interim County Director – 2006”.
- If you have any cross-county assignments covered by this Position Description, select one from the drop-down list. After saving you will be brought back to the same screen where you can add as many cross-county assignments as appropriate.

Selecting a cross-county assignment will give the cross-county CDs the ability to view your dossier. Only the primary County Director/Supervisor will be submitting a review. Other cross-county County Directors/Supervisors will have read-only access.

- Click ‘Choose File’ and locate the file on your computer. Files must be Microsoft Word (.doc), or Adobe Acrobat (.pdf).
- Click ‘Upload File.’
- The new file will be added to the list of Position Descriptions, and it will automatically be activated for the current action.

Once a PD is in the system, it must be verified by your supervisor. Supervisors will see a list of Position Descriptions when viewing a candidate’s dossier. Once a Position Description has been verified, the date of verification and the supervisor’s name will be displayed when the Position Descriptions are listed. PDs not verified will not be displayed to reviewers other than your immediate supervisor.

### **To edit a Position Description in the system:**

- Click on ‘Position Descriptions’ from the main menu.
- From the PD menu, click on the date or name of the PD.
- Modify text or upload a new document.

- Click 'update file'.
- Once a PD has been verified, you will not be able to edit or replace the file.

**To delete a Position Description**

- From the PD menu, click on the date or name of the PD.
- Click 'Delete PD'.
- Click 'ok' in the verification box.

|                                    |
|------------------------------------|
| <b>Appendix F. Useful Websites</b> |
|------------------------------------|

|   |   |
|---|---|
| ANR Home Page   | <a href="http://ucanr.org">http://ucanr.org</a>   |
| ANR Portal  | <a href="https://ucanr.org/portal/login/index.cfm">https://ucanr.org/portal/login/index.cfm</a>   |
| Administrative Handbook , Section 300–Academic Personnel                | <a href="http://danr.ucop.edu/admin-handbook/300/">http://danr.ucop.edu/admin-handbook/300/</a>   |
| ANR Online Directory  | <a href="http://ucanr.org/direct.cfm">http://ucanr.org/direct.cfm</a>   |
| ANR Academic Personnel  | <a href="http://groups.ucanr.org/Academic_Personnel/">http://groups.ucanr.org/Academic_Personnel/</a>   |
| Academic Assembly Council Personnel Committee                           | <a href="http://groups.ucanr.org/AAC/Personnel_Committee/">http://groups.ucanr.org/AAC/Personnel_Committee/</a>   |
| American Psychological Association (APA)                                | <a href="http://www.apa.org">http://www.apa.org</a>   |
| UCOP Academic Personnel, AC APM section (375), and AA APM section (370) | <a href="http://www.ucop.edu/acadadv/acadpers/">http://www.ucop.edu/acadadv/acadpers/</a><br><a href="http://www.ucop.edu/acadadv/acadpers/apm/apm-375.pdf">http://www.ucop.edu/acadadv/acadpers/apm/apm-375.pdf</a><br><a href="http://www.ucop.edu/acadadv/acadpers/apm/apm-370.pdf">http://www.ucop.edu/acadadv/acadpers/apm/apm-370.pdf</a> |

