

Rapports et
évaluations annuels,
Permanence et Promotion

Annual Reports and reviews,
Permanence and Promotion

Leslie Robertson & Jennifer Dekker

With contributions from a 2013 Workshop given by

Mary Curran & Hélène Carrier

AGENDA

- **Part I: Rapports annuels et évaluations**
 - Questions at end

- **Part II: Permanence et promotion**
 - Questions at end


ANNUAL REPORTS

- Required every year except in the final year of service when a librarian is retiring;
- *Part basis for annual reviews;*
- *Part basis for decisions re: academic leaves; (see 31.2.2.1 b)*
- *Part basis for decisions re: continuing appointments and promotion;*
- *Part basis for formal warning, in relation to disciplinary measures for deficient performance of workload duties;*
- Explains the impact and outcomes of your activities and accomplishments;
- Helps to set short and long-term career objectives and evaluate progress;

PROCEDURES

- Annual Report Template is on library Intranet
- Covers activities from May 1st to April 30th
- Submission date: June 1st for members with continuing appointments
- For librarians with preliminary appointments:
 - At the end of the first year, at the end of the second year and six months before the end of the 36 month preliminary appointment.
 - At the end of the first year and six months before the end of the 24 month preliminary appointment.

PROFESSIONAL ACTIVITY EXAMPLES

- Information services (a)
 - Collection development (b)
 - Metadata, original cataloguing (c)
 - Teaching research methodology; preparing research tools (d/e)
 - Representing the library to departments, other universities or vendors and promoting the activities of the library (f)
 - Providing orientation and training to new librarians and others (g)
 - Contributing to the effective operations of LIS associations or similar organizations by serving on their governing bodies or participating in the work of their committees (h)
 - Providing research support to research teams (i) or individual researchers.
- 

ADMINISTRATIVE ACTIVITY (20.5.2) EXAMPLES

Those activities described in the member's job description together with specific goals and objectives established annually, such as:

- Direction of a service or library
- Supervision of employees
- Management of activities, services or budgets (N.B.: removed restriction on collection budgets)
- Coordination of a specific activity within a service or library
- Project management or implementation
- Chairing committees.

SCHOLARLY ACTIVITY (20.5.3) EXAMPLES

A librarian member's scholarly activities are those which contribute:

- through research activities to the advancement of knowledge in her area of specialization;
- through artistic/literary creation to the advancement of the arts and letters;
- through various professional development activities to the advancement of the library profession.


Limitations:

- Peer evaluation must be possible;
- Any work directly overlapping with the immediate day-to-day fulfillment of professional activities as defined in the work description is not considered scholarly activities.

- Research projects and critical analyses, individually or with others (a, b)
- Presenting results of research or critical studies (c)
- Preparing reports, articles, chapters or books (d)
- Academic study leading to a post-secondary degree in a field relevant to member's area of specialisation (e)
- Contract work, provided it contributes to the advancement of knowledge, and the results are accessible in a form permitting peer evaluation (f)
- Editing a scholarly publication, where there is evidence that the member's work extends beyond customary editorial duties and includes a significant contribution to the advancement of knowledge (g)
- Developing new electronic applications (e.g. tools or systems) that improve library activities such as information literacy training or information retrieval (h)
- Producing original art works or forms of expression
- Conceiving, developing and carrying out for publication artistic projects or literary criticism.

Examples of scholarly activities

ACADEMIC SERVICE EXAMPLES (20.5.4)

- Participation in the work of committees, work groups or task forces in the library or the university (a)
 - Participation in the operations of APUO (and AUCC, CAUT, OCUFA) (b,c)
 - Refereeing submissions to scholarly or professional publications (d)
 - Editing scholarly or professional publications (e)
 - Contributing to operations of learned or professional societies (f)
 - Contributing to community projects related to the role of the university (g)
- 


ANNUAL REVIEW (23.5)

- Based on the member's annual report and any other relevant documentation (must be submitted by June 1st, along with an updated CV)
- Evaluates the performance of your responsibilities (i.e. your job description) but also any other activities you submit. These are grouped into the four categories just discussed.
- Performed first by the immediate supervisor. After this stage, the supervisor must inform the member of the review, and discuss it with her (no later than September 1st).
- The member can add comments or appeal the review within ten days of confirming in writing that he/she has been aware of the review.
- Finally, the University Librarian reviews the review (no later than October 1st).
- Appeals must be completed by November 15th. If you might have a case for an appeal, let the supervisor know ASAP so that there is enough time for your appeal.
- ***APUO can help identify your options and with an appeal.***

LEVELS OF PERFORMANCE

- Satisfactory, good, outstanding, unsatisfactory, or not applicable.
- Last year's annual reviews resulted in several complaints (but no grievances or appeals):
 - Some of the complaints were based on lateness of the reviews.
 - Some were based on evaluations themselves, but there were new levels of performance introduced last year and some felt unclear about how to apply them or whether to appeal them.
 - There is also a report that a national or international award is required to obtain an evaluation of "outstanding." This is false.
 - There is also a report of supervisors being told to downgrade evaluations.

LEVELS OF PERFORMANCE

- Satisfactory : when the performance of the member fulfills the requirements and whose performance is what would normally be expected of other librarians with similar qualifications and experience;
 - Good when the performance of the librarian is higher than the standard for satisfactory;
 - Outstanding when the performance of the librarian is higher than the standard for good indicated above. For the purposes of this article and any other relating to the performance and evaluation of librarians, outstanding is defined as peer recognition at the national or the international level of the member's contributions and impacts on the profession or the discipline.
- 

CRITERIA FOR REVIEW

- Professional and Administrative tasks: Quality, Quantity, Consistency, Knowledge, Expertise, Initiative, Judgment, Communication.
- Scholarly and Academic service activities: Quantity, Quality, Consistency, Initiative.
- Bottom line: *Some of this will be subjective.*

WHAT IS NOT APPROPRIATE IN THE REVIEW

- Negative mentions of reductions of workload: maternity leaves, sick leaves, sick days, emergency leaves, compassionate leaves, academic leaves, etc...
- Leaving the evaluations blank in anticipation of a meeting. Members need to be aware of their review before the meeting with their supervisor to adequately prepare a reasonable response.
- Inappropriate mention of gender, family or caregiving responsibilities, disability, mental health or other health issues, or personal characteristics of any kind.
- Reviews predicated on a notion that there is **specific number** of reference questions, workshops, articles, presentations, etc... to be given in a year.

ACCOMMODATIONS

If a member is being accommodated according to Ontario Human Rights Law, this cannot be used against the member in a review. Accommodations can include:

- Increased flexibility in work hours or break times (including for religious observance)
- Providing reading materials in alternative formats including digitized text, Braille or large print
- Putting in automatic entry doors and making washrooms accessible in the workplace
- In some cases, changing job duties, retraining or assigning a person to another job
- Accommodations related to mental health issues.

PROCESS / TIMELINES

June 1st submit report, CV & documents

Supervisor completes review

Supervisor informs member of contents

Member and supervisor meet to discuss

Member confirms in writing she has read the review



Within 10 days:

Sept. 1 (latest): Member adds comments

OR

Sept. 1 (latest): Member submits appeal

NO APPEAL

Sept. 1st: Member adds comments

University Librarian reviews the review, including member's comments and adds her own opinion

Optional: UL can solicit opinion of LPC

Optional: UL can draw attention to + or – aspects

October 1st (latest): The University Librarian sends a copy of the review to the member

APPEAL

Sept. 1st: Member submits appeal to UL

Within 15 days, UL advises LPC and provide LPC copies of documentation

Member, Supervisor and UL may appear before LPC or they can submit written statements

Within one month of previous step, LPC provides written opinion re: the appeal to UL, who provides copies to the member and Supervisor.

NO APPEAL

If everything is OK, review is filed in Faculty File.

APPEAL

University Librarian reviews the review, including member's comments and the LPC's report of the appeal and adds her own opinion

November 15th (latest): The University Librarian sends a copy of the review to the member

File the review in Faculty File.

Questions

PART II: CONTINUING APPOINTMENTS

- A continuing appointment is one whose term has no time limit and which may be terminated only by voluntary resignation, dismissal for just and sufficient cause in accordance with the provisions in article 39 (Disciplinary measures), or layoff following application of the provisions of section 31.5 (Abolition of an occupied position).

REQUIREMENTS

18.1.2.1

A continuing appointment shall be granted to a librarian member when:

- her performance, evaluated in accordance with the provisions of section 23.5 (Annual Reviews), is satisfactory;
- the specific conditions of the preliminary appointment, if any, are met;
- she has completed a preliminary appointment of 24 or 36 months.

BUT:

- The UL can terminate a preliminary appointment after the first review (or the preliminary appointment will continue if the review is satisfactory);
- A preliminary appointment can be extended by up to 12 months after a 36 month preliminary appointment.

FURTHERMORE ...

- UL must consider the opinion of the LPC in a case where a member's preliminary appointment might be terminated after 12 months;
- When it comes to transitioning from a preliminary to a continuing appointment, ultimately the Administration Committee makes the decision based on two recommendations: that of LPC and that of UL.
- A negative recommendation by either the LPC or the UL can be contested by letter of disagreement to the Admin. Committee.
- The Admin. Committee must:
 - Give proper consideration to both recommendations;
 - Make its decision within 30 days of receiving the recommendations;
 - The UL will communicate the decision to the member.

KEEP IN MIND

- U of O librarians have a very good record vis a vis continuing appointment.
- The negotiating team agreed to a longer preliminary appointment period in the 2011-2012 agreement (used to be only one year).

PROMOTION

There are five librarian ranks: I, II, III, IV, and V.

- Ranks are based on experience, not on job. Therefore, a person does NOT do a different job when she is promoted. The promotion recognizes past accomplishments. Think of professors. Their jobs don't change when they are promoted to an Associate or Full rank. It's the same for librarians.
- Your rank upon entry into the system is quite important because promotion cannot be assumed.
- Rank is recommended to UL by LPC.
- Rank determines to some extent salary, though there is not much of an increase in salary if you get a promotion. Ceilings are raised.
- You have six months to challenge your **YULE** or your rank after hire.

YEARS OF UNIVERSITY LEVEL EXPERIENCE

- Periods of full-time service at the University of Ottawa prior to the regular appointment,
- Periods of full-time service at other institutions of higher learning,
- Any other experience deemed equivalent, in whole or in part, to university-level experience as determined by the appropriate faculty YULE criteria.
- In the initial letter of appointment of a regular faculty member (or librarian), the dean (UL) shall state the number of YULE recognized, if any, for the applicant's prior activities. In addition, the dean shall call the applicant's attention to the provisions of 23.4.1.3 regarding reconsideration and inform the applicant that the faculty criteria for YULE.
- 23.4.1.3 A member may, at any time during the first 6 months of the first regular appointment at the University of Ottawa, request a reconsideration of the number of YULE and RULE initially recognized by the employer. Reconsideration shall follow the steps in 23.4.1.2, taking into account all relevant information, including any new submissions by the member.

RANK I & II

If you were hired at Rank I, you were determined to have:

- A master's degree (MLS) or equivalent;
- Fewer than two YULE.

If you were hired at or promoted to Rank II, you were determined to have:

- A master's degree (MLS) or equivalent;
- At least two YULE;
- Satisfactory professional activities in an annual review.

RANK III

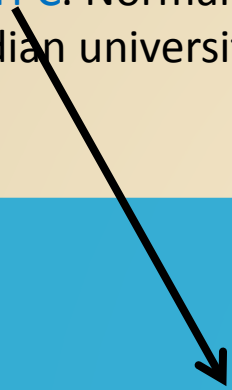
If you were hired at or promoted to Rank III you were determined to have:

- A master's degree (MLS) or equivalent;
- Four years of experience at Rank II;
- Satisfactory professional activities in an annual review;
- Scholarly activities and academic service of sufficient "quality and the significance of which is deemed to be satisfactory by peers at the University of Ottawa."
- Note that no external reviews are required up until this point.

RANK IV

If you were hired at or promoted to Rank IV (since the 2011-2012 agreement) you were determined to have:

- A master's degree (MLS) or equivalent;
- Four years of experience at Rank III;
- Good professional activities as well as scholarly activities and academic service of sufficient "quality and the significance of which is deemed to be good by peers at the University of Ottawa and elsewhere."
- External reviews are now required for promotion to IV.
- The LPC shall choose 3 or 4 outside evaluators, including at least one person chosen from the list submitted by the member and a second person chosen from the list submitted by the **DTPC**. Normally, the majority of the outside evaluators shall be from a Canadian university or research institution...



For librarians this should be the LPC.

RANK V

If you were hired at or promoted to Rank V (since the 2011-2012 agreement) you were determined to have:

- A master's degree (MLS) or equivalent;
- Ten YULE;
- Good professional activities;
- AND Two of the Three following:
 - Outstanding scholarly activities with external reviewers
 - Outstanding academic service with external reviewers
 - Good administrative activities with external reviewers

PROCEDURES FOR PROMOTION

Promotions are granted or refused by the Administration Committee (for info see <http://www.uottawa.ca/about/governance/internal-governance/administration-committee>)


Administration Committee Membership: VP Academic and Provost; VP Research; VP External Relations; VP Resources; VP Governance.

Members must apply by September 1st.


WHAT TO INCLUDE IN YOUR APPLICATION

- Up-to-date CV
- Annual reports of activities for the years under consideration
- Annual reviews for the years under consideration
- Information re: participation in academic service activities
- A list of at least 3 potential external evaluators (for application to Rank IV)
- Any example of scholarly activity including: (article 23.3.1)
 - Any published works
 - works in progress, final or preliminary drafts
 - description of works instead of the work itself
 - works produced in cooperation with others
- Works submitted must be in a form which they can undergo peer evaluation
- Anything else deemed useful

23.3.1 SCHOLARLY ACTIVITIES FULL LIST

- (a) The member may submit for assessment articles, books or contributions to books, the text of presentations at conferences, reports, portions of work in progress, and, in the case of literary or artistic creation, original works and forms of expression.
 - (b) Works may be submitted in final published form, as galley proofs, as preprints of material to be published, or as final or preliminary drafts. Material accepted for publication shall be considered as equivalent to actually published material.
 - (c) Instead of the works themselves, the member may submit a clear and detailed description of any works which are such that their physical submission is not practical.
 - (d) The works submitted by a member shall be in a form in which they can undergo peer evaluation.
- 

23.3.1. CONT'D...

- (e) The member may submit works produced in cooperation with others, provided that the extent of the member's contribution to such works is clearly identified.
 - (f) With respect to activities which are not adequately reflected in works of the type indicated in (a), the member may submit such descriptions and documentation as she deems appropriate for the activities in question.
 - (g) Works resulting from scholarly activities undertaken on a contract basis shall be considered during any assessment of the member's performance, provided that they conform to (a)-(e) above.
 - (h) It is understood that since methods of dissemination may vary among disciplines and individuals, dissemination shall not be limited to publication in refereed journals or any particular form or method.
- 

23.3.2 OUTSIDE EVALUATORS

The evaluator shall be a person who:

- (a) does not hold a regular appointment at the University of Ottawa;
- (b) can be considered as one of the member's peers;
- (c) is, or has professional status equivalent to that of, an associate or full professor in the case of an application for associate professor and that of full professor for an application for full professor;
- (d) can be expected to give a fair and competent evaluation of some or all of the member's scholarly activities.

*It is important to provide a list of names of people you DO NOT want the employer to contact regarding your application.

PROCEDURES

- Application due Sept 1
- Promotions take effect May 1st after the application was filed
- The UL submits the application to the LPC and the LPC must make a recommendation to the Administrative Committee by March 15
- UL also makes a recommendation to the Administration Committee and forwards complete file to Admin Ctee.
- Administration Committee makes a decision by April 1
- Promotions granted or refused by the Administration Committee
- Promotion takes effect on May 1st following application.

GRIEVANCE PROCESS

Negative Recommendation from UL or LPC

File a Letter of Disagreement (10 working days)



Step 1 pre-grievance meeting

Settlement

No Settlement

GRIEVANCE PROCESS

Negative Decision from the Administrative Committee

File a Grievance (15 working days)



Step 1 meeting

Settlement

No Settlement



Grievance referred to Arbitration

Grievance assumed by the APUO

Private Grievance

Questions