Performance Appraisal Processes: Approaches and Ideas
Professional Issues Committee, September 2014

This brief document provides details about the way the performance appraisal process is undertaken at a number of other academic libraries and provides suggestions for possible ways McGill Library might evolve the Annual Performance Recognition (APR) process. The goal of this document is to simply start a positive conversation and begin generating ideas with regard to this topic.

The current form used at McGill relies heavily on the librarian job descriptions: librarians are instructed to "[u]se clauses from the document *Clauses for Possible Use in Duties and Responsibilities* or the *Duty Statement* in the position description/posting" when writing their APRs. However, one of the immediate priorities that emerged from the planning exercise that that the Library went through in December 2013 was to re-write and update librarian job descriptions. Immediate Priority #41 is: *Write job descriptions for new and existing librarian positions*. This, paired with the general sentiment that the form is ready for some updating and that it is in many ways unwieldy, provides us with an opportunity to reconsider the forms and work to improve them—for both the employee writing the APR and the reader assessing it.

Concordia University is an example of an institution that handles performance reviews largely through a reappointment and tenure process. A dossier that reports on Professional Librarian Activities, Research and Scholarship, and Service to the University and Community is submitted for reappointment and for tenure, and then a performance evaluation that follows the same format as the reappointment and tenure dossiers, albeit on a smaller scale, is submitted by tenured librarians every two years. This smaller document reports on the preceding two years. Increase in salary scale "steps" are connected to these performance evaluations. Though McGill has a different merit system in place, the idea of aligning the format of the APR with tenure/reappointment dossier is an interesting one. Using the APR as a "mini dossier" would assist those on the tenure track. Please see Appendix 1 for a copy of the document that guides dossier and post-tenure performance evaluation documents at Concordia.

Western University has an annual review process for librarians, the purpose of which is "to provide an annual assessment of performance that allows recognition of a Member's achievements, to provide feedback on plans for the coming year, and to identify areas for development in the Member's Professional Practice, Academic Activity and/or Service activities, as appropriate to the Member's Responsibilities and Workload" (http://uwo.ca/facultyrelations/libs_archs/annual_report_review.html). The form (Appendix 2) is an interesting example of an "Executive Summary" approach to the APR. Western librarians report on Areas of Responsibilities and Workload Balance, Performance Review (which includes the following categories: Professional Practice, Academic Activity, and Service), and Goals for the Upcoming Year. In each section, librarians are asked to provide a statement describing their activities. Goals are handled in a section entitled Plans for the Coming Academic Year, and that section follows the same format: the librarian provides a statement outlining Areas of Responsibilities and Workload Balance for the year ahead and then statements for sections entitled Planned Activities and Comments and/or Suggestions for Immediate Supervisor.

At the **University of Massachusetts**, the Annual Report and Evaluation for Librarians form (Appendix 3) has been going through a revision and update, as have the procedures connected to it. These procedures are documented in Appendix 4 (Guidelines for Completing the Annual Report and Evaluation for Librarians) and Appendix 5 (Proposed Merit System). Like the form at Western University, the approach is more "Executive Summary" than what we do here: librarians are instructed to provide statements that summarize their activities in each section that they report on. The Guidelines document states the following: "Use your own words, avoiding the standard phraseology of job descriptions, and provide clear explanations, keeping in mind that most people who read the report are not familiar with the details of your job. While there is no word limit for each section, try to present your work clearly and concisely." At the end of the Guidelines document, there is the following note: "The LPC [Librarians' Personnel Committee] recommends a five page or 2,000 word limit for text prepared by the librarian."

Though the merit process is a distinct process from the APR, these are linked, and we include information here where we think it may be helpful for understanding how the APR can be structured. Another notable aspect of the process currently underway at UMass is that they have a proposed metric for arriving at a merit score for individuals (Appendix 5). The three categories reported on in the APR (Performance of Assigned Duties and Responsibilities, Professional Growth and Development, and Service) are each given a score. Professional Duties are given the most weight, with 18 points as a maximum score. The Professional Growth and Development and Service categories each have 6 points as a maximum score. Those 6 points are broken down as follows:

> Professional Growth and Development
> - 3 points for Participation
> - 3 points for Intensity, Prestige, Impact and Outcomes, Audience/Visibility
> Service
> - 3 points for Participation
> - 3 points for Scope, Contribution, Impact and Outcomes

For librarians at the **University of Alabama**, each category of position responsibilities is also given a score and the merit award is based on a weighted average of scores in assigned categories. Scores can be partial to the tenths (e.g. 3.45, 3.50, 3.95) and each section is evaluated on a scale of:
a.   1 - Unsatisfactory. Quality and quantity of work unsatisfactory. Immediate corrective action imperative.
b.   2 - Needs Improvement. Individual not performing at adequate level. Corrective action required.
c.   3 - Satisfactory. Individual performing at "satisfactory" level: Tasks and goals are being accomplished in a timely and competent manner.
d.   4 - Good. Tasks and goals are being accomplished with some meritorious elements of performance.
e.   5 - Excellent. Quality and quantity of work is meritorious; goals exceeded, highly productive; individual recognized beyond the unit.
f.   6 - Preeminence. Preeminent distinction resulting from outstanding meritorious accomplishments. (It is expected that the performance of no more than 3% of the faculty would fall into this category.)
(see https://far.ua.edu/docs/faqs.cfm#38)
The categories reported on are Teaching (Librarianship), Research/Creative, Service/Other, and Administration; how these categories are weighted depends on the

librarian's position. It is possible to be in an administrative position that does not have much—or any—weight assigned to the non-administrative categories.

Information about how the **University of Connecticut** works to align librarians' goals with the larger goals of the library was shared on a listserv recently and it was reported that individual goals are only drafted after library-wide and area (i.e. departmental) goals are determined. Individuals discuss their goals with their supervisor and the supervisor signs off on them. After 4 months, librarians meet with their supervisor to review progress on the agreed upon goals and add, delete, or modify goals.

Ideas for Evolving McGill Library's APR process

1. Aid in building librarians' dossiers for tenure and reappointment and align library processes more closely with institutional processes by making the APR a sort of "mini dossier" that follows a similar format, albeit on a smaller scale, as the reappointment and tenure dossiers.

2. Adopt an "executive summary" approach to writing up accomplishments from the past year. Each section of the form could consist of a few paragraphs describing highlights of the librarian's year rather than an exhaustive list of clauses from a job description. This approach has the potential to produce a more refined, sophisticated, and abbreviated document. It would also encourage the further development of writing and information synthesis skills in librarians while also making the process of evaluating the APRs easier.

3. Adopt an iterative and holistic approach to the annual goal setting process: first set goals at the Library level, then at the unit level, and then at the individual level. Allow goals to be added, modified, or deleted at the 3-4 month mark.

4. To encourage a culture of research, include a section where librarians can document any research questions or themes they've explored over the past year and those that they plan to explore in the year ahead.

5. To encourage reflective practice, reframe the section for reporting on the previous year's goals so that it consists of a written self-evaluation.

6. Explore the possibility of developing a metric, more detailed scores, and/or documentation of some other kind for the merit assignment process. Is this something that is feasible for us? What are the issues, if any, connected to being guided by, and providing, more granular information in this area? Is it something that we want as an organization?

Appendix 1

CONCORDIA UNIVERSITY LIBRARIES
Performance Evaluation
June 1, 2010 to May 31, 2012
Article 15 of the CUFA Collective Agreement

Name:　　　　_____

Position:　　　_____

Rank:　　　　__ _____

Reporting to: _____

Date Submitted to the *Library Personnel Committee:* _____

(must be no later than October 1, 2012)

See CUFA CA Article 15.01 f): "The complete dossier consists of a current curriculum vitae and all three component parts: the professional librarian activities dossier (Article 15.01 c)), the research and scholarship dossier (Article 15.01 d)) and the service to the University and the community dossier (Article 15.01 e)). Preparation of a digital version of the dossier is the responsibility of the Employer, unless the member chooses to prepare it in accordance with prescribed guidelines."

A.　　　　**Professional Librarian Activities Dossier**

B.　　　　**Research and Scholarship Dossier**

C.　　　　**Service to the University and the Community Dossier**

Appendix 2

WESTERN UNIVERSITY
Annual Report for Librarians & Archivists
to be submitted by no later than February 18, 2014)

Member:	Click here to enter text.
Date of Report:	Click here to enter text.
Review Period:	July 1, 2012 – June 30, 2013
Rank (current):	Click here to enter text.
Date of last promotion (if applicable):	
Appointment Type:	Click here to enter text.
Unit:	Click here to enter text.
Name of Supervisor:	Click here to enter text.

According to the Collective Agreement, the standardized Annual Report shall include, but is not limited to, the items in this template (as are relevant to the Member's Responsibilities). Numbers in parentheses refer to clauses of the *Annual Report and Review* Article of the Collective Agreement.

When preparing your Annual Report please remember that it is your responsibility to provide sufficient detail of activities and their outcomes to enable your immediate supervisor and the University Librarian or Dean or designate to assess your performance, (4.4)

Submit your Annual Report in paper and electronic format to your immediate supervisor and the University Librarian or Dean. (4, 4.2)

I.   Curriculum Vitae

Attach an up-to-date curriculum vitae to this Report. (4.3 a)

II.   Current Review Period [July 1, 2012 – June 30, 2013]

A.   Areas of Responsibilities and Workload Balance

Indicate the areas (Professional Practice, Academic Activity, Service) for which you had Responsibilities during the period under review [July 1, 2012 – June 30, 2013]. Indicate your Workload balance for the same period and include details of any Alternative Workload or Leave arrangements. (4.3 b, c)

Member's Statement:

Click here to enter text.

B. Review of Performance

1. Professional Practice

a) In reviewing your performance in the area of Professional Practice, you may include reference to the preceding three years of employment. In cases where your work during the current period is on projects of long-term duration and parts of which have continued during the preceding five years, you may include reference to the preceding five years in relation to those projects only. This review may include some or all of the following, with relevant details:

- *Progress towards achieving goals and objectives for the period under review (4.3d (i))*

- *Identification of professional development activities such as conferences, workshops, projects, courses of study, seminars etc., in which you have participated and a description of the significance of the activity to your development as a Librarian or Archivist. (4.3 d (ii))*

- *A report of any Employer-approved work outside the Unit (4.3 d (iii))*

- *Other significant activities relevant to your Professional Practice Responsibilities. (4.3 d (iv))*

Member's Statement:

Click here to enter text.

2. Academic Activity

As applicable, describe your performance in the area of Academic Activity for the period under review [July 1, 2012 – June 30, 2013] and the preceding two years, with details of relevant activities and/or research in progress. (4.3 e)

Member's Statement:

Click here to enter text.

3. Service

Describe your performance in Service for the period under review [July 1, 2012 – June 30, 2013]. (4.3 f)

Member's Statement:

Click here to enter text.

III. **Plans for the Coming Academic Year** [July 1, 2014 – June 30, 2015]

A. **Areas of Responsibilities and Workload Balance**

For the coming academic year [July 1, 2014 – June 30, 2015], indicate the areas (Professional Practice, Academic Activity, Service) in which you will have Responsibilities. Indicate your Workload balance for the same period and include details of any Alternative Workload or Leave arrangements. (4.3 g (i, ii))

Member's Statement:

Click here to enter text.

B. **Planned Activities**

Provide a brief description of your planned contributions to the Unit, as determined in the Unit Workload Plan. Include any plans for professional development for the upcoming academic year. (4.3 g (iii, iv))

Member's Statement:

Click here to enter text.

C. **Comments and/ or Suggestions for Immediate Supervisor**

You may provide additional comments or specific suggestions for your immediate supervisor on ways he/she can help to enhance your future performance and/or better meet the goals of the Unit (4.3 g (v)).

Member's Statement:

Click here to enter text.

_____   _____
Member's Signature   Date

Paid Activities Report
(See *Conflict of Interest and Conflict of Commitment* Article, clauses 14 and 14.1)

A *Paid Professional Activity* is an activity funded by sources other than the University which arises from the Member's position and expertise and which confers a financial benefit. (14)

Each Member who engages in an annual aggregate of $2,000 Paid Professional Activities outside the Member's Responsibilities in the previous Academic Year *[*July 1, 2012 – June 30, 2013*]* shall submit a Paid Activities Report as part of the Member's Annual Report covering the period in question. The Paid Activities Report shall include:

a) the total time involved in each Paid Professional Activity and a brief description of the activities involved; and

b) any significant use of University resources in any Paid Professional Activity. (14.1)

Appendix 3

UNIVERSITY OF MASSACHUSETTS AMHERST
UNIVERSITY LIBRARIES

ANNUAL REPORT AND EVALUATION FOR LIBRARIANS
TABLE OF CONTENTS

Click here to enter text.
NAME

Initials of Librarian

Annual Report (*Sections I-V*)

Job Description

For initial 5 year reappointment and promotion

    a. Current resume

    b. Annual Report from past year(s)

Other attachments? YES ☐ NO ☐   *If YES please list below*

I.   Comments, Evaluations, and/or Recommendations

Initials of Administrative Official

    Department Head (if applicable)

    Other Supervisor (if applicable)

    Division Head

    Librarians Personnel Committee

    Director of Libraries

UNIVERSITY OF MASSACHUSETTS AMHERST
UNIVERSITY LIBRARIES

ANNUAL REPORT AND EVALUATION FOR LIBRARIANS

for the period covering July 1, xxxx to June 30, xxxx
For librarians employed at the University during any or all of this period.

PLEASE FILL OUT SECTIONS I, II, III, IV, AND V AND RETURN THE FORM TO YOUR SUPERVISOR.
USE ADDITIONAL SHEETS AS NECESSARY.

SECTION I.

Name: Click here to enter text.   Date: Click here to enter text.

Rank: Click here to enter text.   Title: Click here to enter text.

Department: Click here to enter text.   Years in Present Rank: Click here to enter text.

Highest Degrees   Date of First UMass Appt: Click here to enter text.
and Dates: Click here to enter text.

Expiration Date of Present Contract: Click here to enter text.

SECTION II. Performance of assigned duties and responsibilities

Section II.A. In the space below, the librarian should describe specific contributions, projects or activities for the period under review, with primary emphasis on the performance of assigned duties and responsibilities as contained in the official job description.
Click here to enter text.

Section II.B. Describe any changes in responsibility during the year.
Click here to enter text.

SECTION III.   Professional growth and development

Section III.A. In the space below, the librarian should describe any activities related to professional growth and development; with emphasis on the effect such activity has had on the enhancement of performance of assigned duties and responsibilities or its benefits to the Library, the University, or the library profession.
Click here to enter text.

SECTION IV. Service

In the space below, the librarian should describe service activities with emphasis on service contributions as a professional librarian.

Section IV.A. Library or University committee service

Click here to enter text.

Section IV.B. Service to the profession, government, or community

Click here to enter text.

Section IV.C. Other service activities which are not adequately covered in the previous sections

Click here to enter text.

SECTION V. Professional activities or accomplishments during the period under review which are not adequately covered in the previous sections.

Click here to enter text.

☐ My initials in this box mean that I consent to placing a copy of my completed Annual Report in a file in the Library Office, where it will be made available for consultation during the year and will be destroyed during the next following review period.

AFTER COMPLETING THESE SECTIONS, THE LIBRARIAN FORWARDS THE FORM TO THE IMMEDIATE SUPERVISOR FOR COMMENT

Appendix 4

Guidelines for Completing the Annual Report and Evaluation for Librarians (AREL)

1. You should complete sections I-V only; if there is nothing to report write "none "or "non-applicable.". Information needed to complete Section I. will be included in the annual "memorandum" from the Library Office sent out on May 15.

2. You should avoid the use of abbreviations, especially initialisms.

3. Staff members with major assignments in more than one department should report on all of them. Performance will be evaluated by all supervisors.

4. Read the Librarians' Personnel Committee "Promotion and Merit Policies" included in your AREL annual packet before writing your report in order to remind yourself of some of the points that will be considered by those reading your report.

5. When completing specific sections of the report, please consider the following suggestions:

    Section II.A.--This section should combine an explanation of your basic duties and activities which do not change from year to year and, if pertinent, a report on events, highlights, or particularly important aspects of your work during the review year. Include here special projects or assignments related to your job and contributions which you consider to be important. Use your own words, avoiding the standard phraseology of job descriptions, and provide clear explanations, keeping in mind that most people who read the report are not familiar with the details of your job. While there is no word limit for each section, try to present your work clearly and concisely.

    Section II.B.--Include temporary assignments, sabbatical leaves and other leaves, as well as permanent changes in responsibility. Also include any changes in productivity or focus during the period of review. For example, you were unable to fulfill all duties outlined in your job description due to large projects, or you were unusually productive in comparison to previous years.

    Section III.--Include professionally related activities and explain how they have enhanced the performance of assigned duties and responsibilities, or their benefit to the Library, the University, or the library profession. Examples might be: memberships in professional or academic organizations, conferences attended, presentations at conferences, attendance at training workshops, etc.; classes taken or taught; extensive professional reading or independent study; acquisition of special skills such as foreign languages, computer software, etc.; professional writing or research, including book reviews, bibliographies, editing, etc. It is helpful if you group your activities by type, e.g., list of classes taken, list of conferences attended, etc. Supporting documentation may be included.

    Section IV.A.--List University committees and official Library committees to which you have been appointed by the Director.   List service on *ad hoc*, divisional or departmental committees here as well, but note that they are ad hoc.

    Section IV.B.--Include service on committees of professional organizations. Service in church, civic associations, etc., may be included when that service relates to or draws upon your professional skills.

    Section IV.C.--This section is rarely used. Most service will fall in the previous three categories. An example could be service that involves using your skills as a librarian in another profession

    Section V.--Include here awards, work as an adjunct faculty or paid consultant, and anything else not covered in Sections II-IV.

6. When compiling the Index/Table of Contents, list like materials together, e.g., letters of appreciation or commendation, reports, certificates, etc.

7. Attachments to the annual report are entirely at the discretion of the reporting librarian. Any supporting

documentation you choose to include should add depth or context to your written statements and are not required as proof of you accomplishments. For example, if you report a presentation given you do not need to attach presentation slides as evidence. If, however, you received an evaluation of your presentation that demonstrates outstanding performance, do include that document as an attachment. In general, be mindful that each attachment you include needs to be reviewed as carefully as your written text, so please only add materials that really highlight achievement.

Recommend as attachments:

- Sabbatical report or other report documenting any leave with pay
- Letters of appreciation that highlight specific achievements
- Documents that provide context to accomplishments or outstanding performance

Not recommended as attachments:

- Brief thank you letters or emails (ex. a quick thanks from a colleague)
- Presentation slides (list your presentations under Section III)
- Publications (list your publications under Section III)

8. The LPC recommends a five page or 2,000 word limit for text prepared by the librarian.

Revised 2014

Appendix 5

PROFESSIONAL PRACTICE (the provision of services to library users and the technical and administrative services required to deliver these user services). Choose the category that best represents the total body of work.

Level 0	Level 1	Level 2	Level 3
0 points	1-6 points	7-12 points	13-18 points
- Supervisor's evaluation indicates concerns or lack of improvement - No reflection on one's performance in the AREL - No evidence of any of the following: independence, responsibility, and judgement; organizational skills, planning, supervision, management; communication; creativity, initiative, vision, entrepreneurship; influence, impact	- A generally positive evaluation of performance by the supervisor(s) - Some reflection on one's performance in the AREL - Examples of how work relates to the mission and goals of the library and/or university - Examples of some of the following: independence, responsibility, and judgement; organizational skills, planning, supervision, management; communication; creativity, initiative, vision, entrepreneurship; influence, impact	- A strong evaluation of performance by the supervisor(s) - A reflective approach about one's performance in the AREL - Examples of how work relates to the mission and goals of the library and/or university - Examples of some of the following at a high level: independence, responsibility, and judgement; organizational skills, planning, supervision, management; communication; creativity, initiative, vision, entrepreneurship; influence, impact	- An exceptional evaluation of performance by the supervisor(s) - A reflective approach about one's performance in the AREL - Examples of how work relates to the mission and goals of the library and/or university - Examples of some of the following at a high level: independence, responsibility, and judgement; organizational skills, planning, supervision, management; communication; creativity, initiative, vision, entrepreneurship; influence, impact

PROFESSIONAL PRACTICE SCORE (select one level from above):

SCHOLARLY AND/OR PROFESSIONAL ACTIVITIES

Participation	Intensity, prestige, impact and outcomes, audience/visibility	Notes
0-3 points	0-3 points	
Examples: ● attending a training, workshop, or conference ● attending webinars ● publications ● coursework ● presentation ● guest lecturer ● sponsored research ● successful grant application ● other	Intensity of learning: ● intensity of training (2 days-1 week, or over time, semester-long learning, etc.) Prestige: ● peer-reviewed publication ● peer-reviewed presentation ● keynote speech ● invited contributions Impact and outcomes: ● relevance to mission, strategic goals ● transformation/change ● model/standard/best practice ● high citations ● other indicators of impact Audience/visibility: ● regional audience ● national/international Other indicators as appropriate.	
SCORE	SCORE	TOTAL SCORE

PROFESSIONAL SERVICE

Participation	Scope, contribution, impact and outcomes	Notes
0-3 points	0-3 points	
Examples: ● committee service ● union service ● serving as a peer reviewer ● contributing to a professional standard ● community service related to librarianship ● other	Scope: ● library/campus ● regional ● national ● international Contribution: ● member ● chair ● defined position such as treasurer, secretary, etc. ● elected position ● invited role Impact and outcomes: ● relevance to mission, strategic goals ● transformation/change ● supports collaboration and communication Other indicators as appropriate.	
SCORE	SCORE	TOTAL SCORE

TOTAL SCORE

PROFESSIONAL PRACTICE SCORE	
SCHOLARLY AND/OR PROFESSIONAL ACTIVITIES SCORE	
PROFESSIONAL SERVICE SCORE	
TOTAL SCORE (of 30 possible points)	

DRAFT