

Annual Performance and Development (APD)

What you need to know to make the most of the process this year

Acknowledgement of Country

The University of Queensland (UQ) acknowledges the Traditional Owners and their custodianship of the lands on which we meet.

We pay our respects to their Ancestors and their descendants, who continue cultural and spiritual connections to Country.







We recognise their valuable contributions to Australian and global society.



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Updates to Annual Performance & Development Process 2023/2024 Season

Timeline	Goals	Aspirations	HoS Input	Ratings Guidance	Acknowledgement Step
					
<p>Launching a month earlier (04/09/2023)</p>	<p>Re-enter goals rather than 'carry over'</p>	<p>Enable informal EOI in development opportunities (e.g. Post-Grad study)</p>	<p>HoS/Directors can now add comments to APD's for Academic employees</p>	<p>Domain rating guidance updated for clarity relating to timeframes for review, considerations for academic category</p>	<p>Acknowledgement step enables employee to indicate if APD conversation took place</p>
<p>Balances time allocated between self-evaluation and manager evaluation</p>	<p>New naming convention for goals (e.g. ACAD 2024)</p>	<p>Clearer split between career aspirations and development opportunities to support analysis of data</p>	<p>Corrections to approval chains where HoS/Director role was incorrect</p>		<p>Managers asked to record date APD conversation occurred</p>
	<p>Improved Help text</p>				

FAQ's for changes

Q: Why the date change?

A: Based on feedback that managers and HoS' needed more time to complete reviews, now there is a closer balance in the time available between the self, manager and HoS evaluation steps

Q: What happens when an employee selects 'No formal conversation has occurred'?

A: Process routes back to manager to address, no 'formal action' by HR but data after season closes will help HR CP target training and manager support

Q: Why do goals have to be annual and not carry over?

A: To reduce 'copy/paste' goal setting without considered review, and to encourage a breakdown of large goals that have to be accomplished over a number of years (e.g. what specifically will you do in the next 12 months to support the 3-5 year initiative you've identified?)

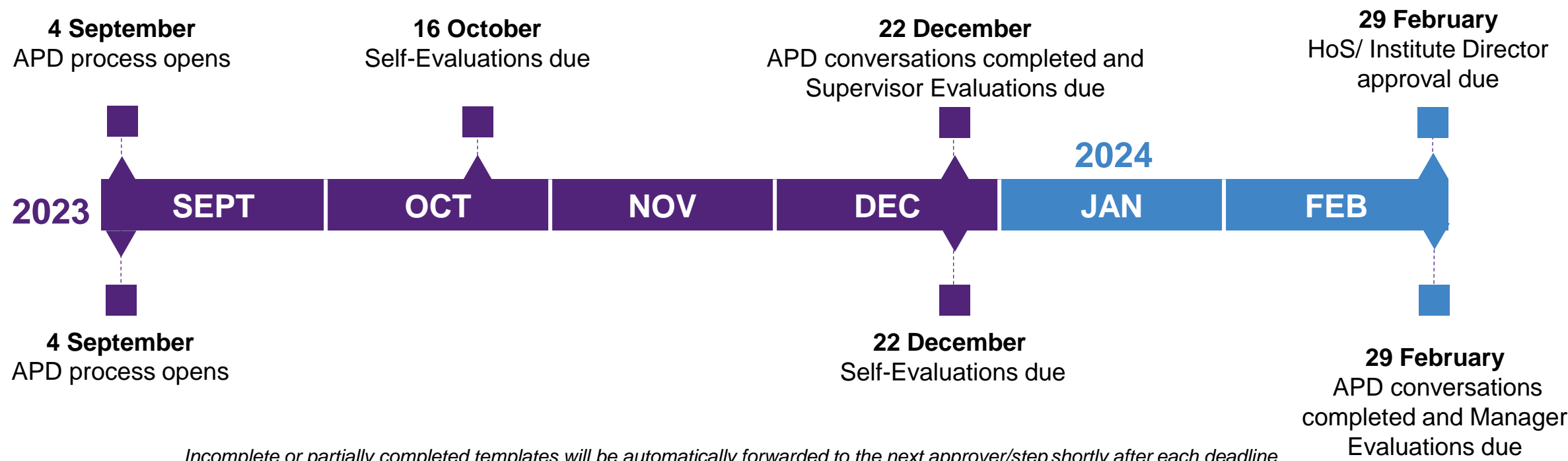
More [APD FAQ's available here](#)

2023/24 APD Process Timelines/Due Dates

COO & Provost Reminder Comms scheduled, 2 for individuals to complete self-evaluation, 3 reminders to supervisors, 3 reminders to HoS – local comms to be drafted and distributed with support from HRCP.

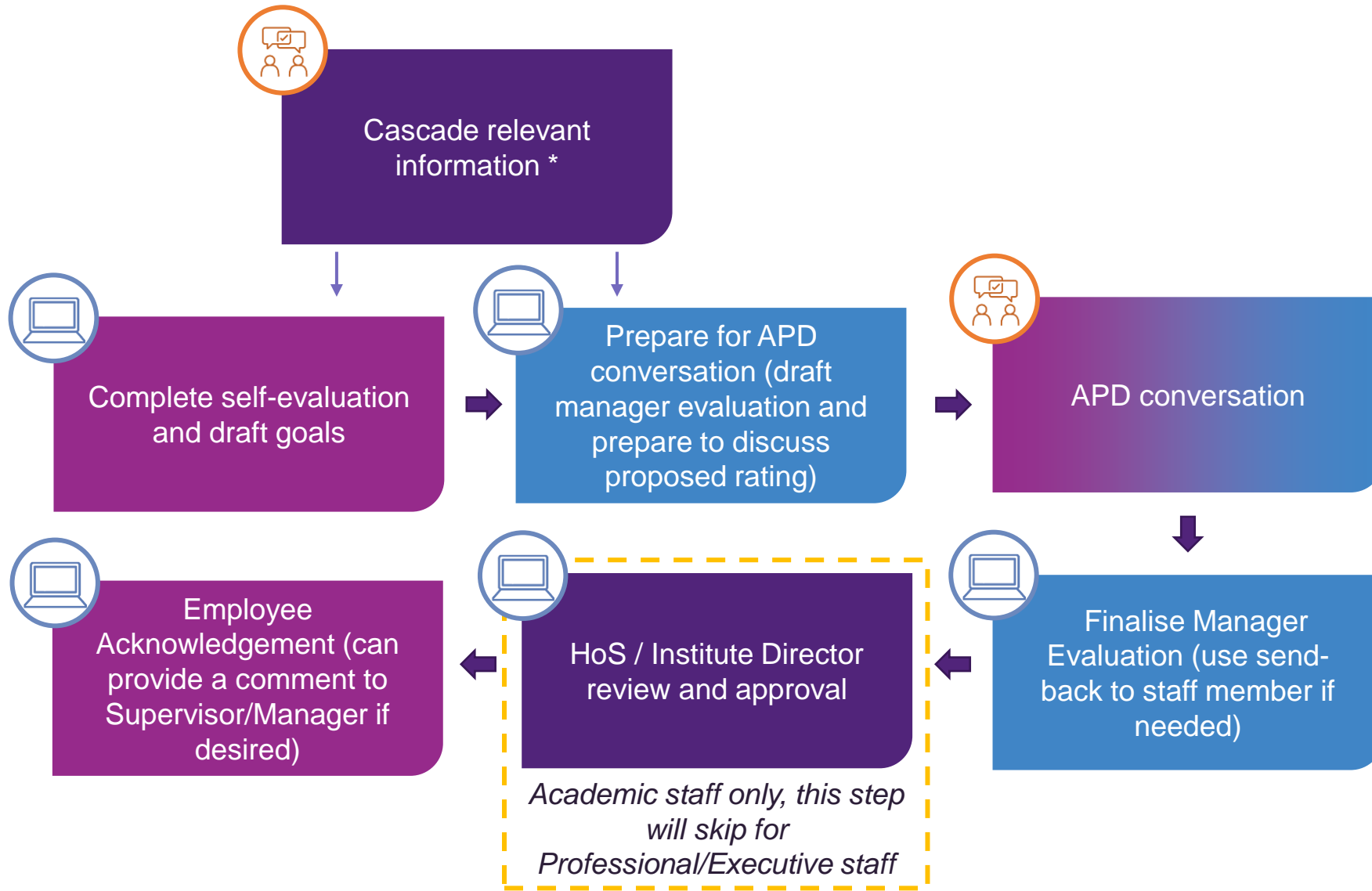
Academic

Professional & Executive



Incomplete or partially completed templates will be automatically forwarded to the next approver/step shortly after each deadline

Recommended APD process



Key



* e.g. strategic planning, expectations, ratings guidance

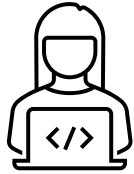
APD Workday Process for Academic Staff



APD Workday Process for Professional / Executive Staff



Roles and responsibilities



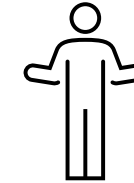
Staff member

- Complete self-evaluation and draft goals via Workday ahead of APD conversation
- Proactively book time with your Supervisor / Manager/ PDM for the APD conversation
- Consider the development opportunities or career aspirations you might wish to discuss with your Supervisor
- Reflect on opportunities to contribute to the broader Organisational Unit or University strategy



Supervisor / Manager / PDM

- Prepare for the APD conversation by reviewing the staff member's APD in Workday
- Consider goals for the year ahead and alignment with broader Organisational Unit / University objectives
- Attend a Leading Annual Performance and Development workshop to prepare to lead an effective APD conversation.
- Schedule the APD conversation with your staff
- Jointly reflect on the past year's achievements in the context of identifying priority areas for the year to come
- Use coaching questions to draw out development areas



Head of School / Institute Director

- Set and communicate strategic priorities for Organisational Unit to inform goal setting
- Clarify and communicate expectations regarding the APD process, application of the Criteria for Academic Performance and ratings
- Review and approve Academic APD documentation
- Confirm that all Supervisors/Managers/PDM's have undertaken training in conducting Performance Reviews as required by the Enterprise Agreement.

Employee Self-Evaluation

Hints and Tips



Focus

- Set aside dedicated time to complete your self-evaluation to avoid distractions
- Be concise but clear, noting you will have the opportunity to discuss further in the APD conversation
- Utilise Workday's 'Save for Later' functionality so you don't lose any progress
- Reflect on available [APD resources](#) before you start



Balance

- Balance the amount of effort across each section of the self-evaluation
- For example: don't put all your effort into the goal reflections and miss the opportunity to effectively reflect on your career aspirations



Housekeeping

- Try to give each goal only ONE category
- We recommend setting typically no more than 12 goals in total across your whole APD
- Update the status of each goal (e.g. in progress, partially completed, completed, no longer required)
- Goals should be [SMART](#), and go beyond your BAU responsibilities
- Quality over quantity!



Clarity

- Avoid generalised /vague comments (e.g. setting a goal like "Attend a workshop!")
- If possible, use data to show results and impact
- Include contributions to team or organisational outcomes if relevant
- If you encountered challenges, explain how you either overcame or learnt from them

Goal Setting – hints and tips

The core purpose of goal setting is to set clear expectations for what needs to be accomplished in the year ahead

Effective goal setting can:

- create clear expectations
- clarify requirements for a successful year
- create a clear vision for development and incorporate development opportunities
- create accountability
- make evaluations fairer
- Support alignment of a staff member's goals with the organisational unit goals, and the University strategy more broadly (see [Goal Alignment](#) module).

Drafting goals

As a starting point, employees will draft their goals in Workday ahead of a discussion with their manager. Determining your own goals increases ownership and commitment to achieving these objectives. Where needed, a manager can add or expand on goals as part of the conversation.

Top tip

It is recommended that each staff member sets typically **no more than 12 goals** each year

Goal setting is completed against specific goal categories

Professional / Executive	Academic *
<ul style="list-style-type: none"> • Delivery • Citizenship and Leadership Development 	<ul style="list-style-type: none"> • Teaching • Research • Supervision and Researcher Development • Citizenship and Service

* Depending on Academic Category

What resources should I refer to when goal setting?

Professional / Executive	Academic
<ul style="list-style-type: none"> • Position description / Job profile • UQ Strategic Plan • Organisational Unit Strategic Plan 	<ul style="list-style-type: none"> • Position description / Job Profile • Criteria for Academic Performance • UQ Strategic Plan • Organisational Unit Strategic Plan

[Academic
Goal Library](#)

[Professional
Goal Library](#)

[Executive
Goal Library](#)

Criteria for Academic Performance and Domain Ratings

How Supervisors assess performance against the Criteria for Academic Performance and determine a rating

Step 1

Consider:

- 1 Performance against goals
- 2 Achievements and outcomes articulated within IAP
- 3 Commentary and context provided in the APD template
- 4 Relative to opportunity considerations
- 5 Any other relevant observations from the supervisor

Step 2

Review the Criteria for Academic Performance and rating guidelines (as highlighted red below)

Further information can be found in the Academic Annual Performance and Development Policy and Procedure [5.70.15]

CITIZENSHIP AND SERVICE DOMAIN ACADEMIC PERFORMANCE: EXPECTATION BY LEVEL				
Level E Professor	Level D Associate Professor	Level C Senior Lecturer	Level B Lecturer	Level A Associate Lecturer
CITIZENSHIP AND SERVICE DOMAIN PERFORMANCE CRITERIA*				
a) Citizenship demonstrates leadership of self and senior leadership of others in relation to UQ values	a) Citizenship demonstrates and leads others in relation to UQ values b) Internal service: sustains a track record of impact, achievement and initiative in internal service role/s	a) Citizenship demonstrates UQ values consistently b) Internal service: has an established record of achievement and initiative in internal service role/s	a) Citizenship demonstrates UQ values b) Internal service: undertakes internal service role/s effectively c) External service: actively pursues agreed goals in external service	a) Citizenship demonstrates UQ values b) Internal service: undertakes internal service role/s c) External service: collaborates in engagement activities and partnerships
b) Internal service: demonstrates senior leadership in relation to internal service, including significant outcomes and innovations within and beyond the organisational area unit	c) External service: shows leadership in relation to external service	c) External service: shows evidence of an established record in relation to external service	d) Engagement: actively pursues agreed goals in engagement activities and partnerships	d) Engagement: collaborates in engagement activities and partnerships
c) External service: demonstrates senior leadership in relation to external service	d) Engagement: leads self and others in advancing partnerships, and in relation to UQ and public engagement activities	d) Engagement: pursues successful engagement activities and media opportunities	e) Leadership: shows leadership of self and others through mentoring, supervision and collaboration	e) Leadership: shows leadership of self through collaboration and active participation in priority activities for the unit
d) Engagement: leads self and others in advancing partnerships, and in relation to UQ and public engagement activities	e) Leadership: shows high level of leadership of self and others through mentoring, supervision, responsibility for staff wellbeing, and contributing to and ensuring the governance of the institution	e) Leadership: shows leadership of self and others through mentoring, supervision and a responsibility for staff wellbeing		

*Appraisers will be directed to specific Examples of Domain activity relating to criteria above. It is expected that appraisers will exercise appropriate judgement in the application of the rating guidelines.

GUIDELINES FOR CITIZENSHIP AND SERVICE DOMAIN PERFORMANCE RATINGS AGAINST CRITERIA

1. **Exceeds expectations:** Typically, must demonstrate both a) and b) and two of c), d) or e)
2. **Performing well:** Typically, must demonstrate both a) and b) and one of c), d) or e)
3. **Some gaps:** Typically, must demonstrate a) and one of b), c), d) or e)
4. **Unsatisfactory:** Typically, does not demonstrate a)

Step 3

Determine Performance rating for each relevant domain (noting Citizenship and Service must be rated)

Rating	Domain			
	Teaching	Research	Supervision and Researcher Development	Citizenship and Service
Exceeds Expectations				
Performing Well				
Some Gaps				
Unsatisfactory				
Not Applicable				

Determining an Overall Performance Rating for Academic Staff

As with the individual domain ratings, consideration should also be given to relative to opportunity factors and consideration of other relevant circumstances in determining the overall rating.

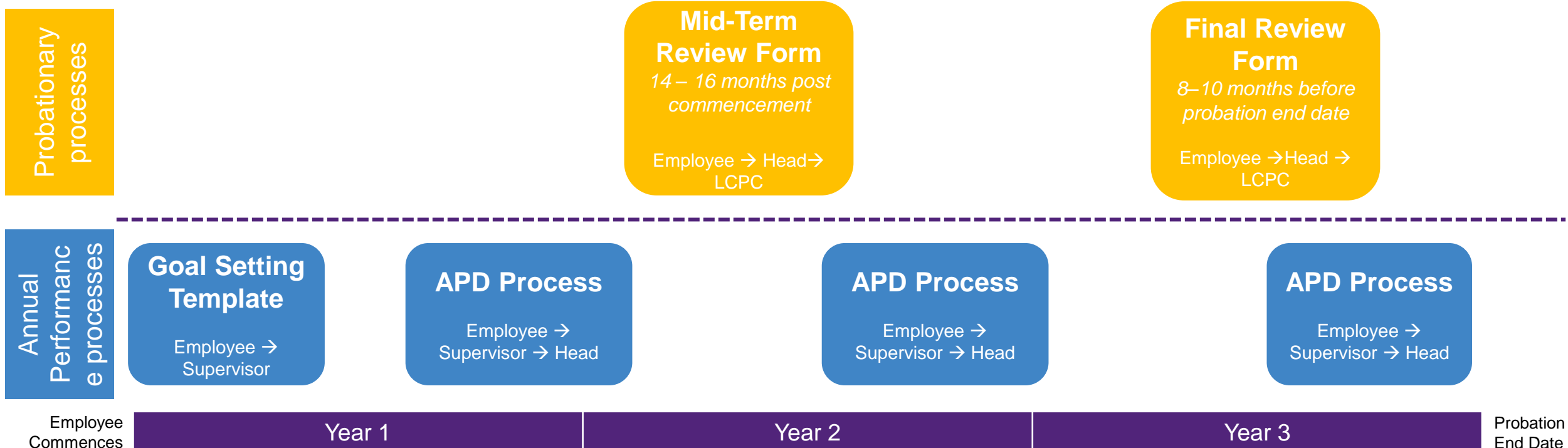
Should the supervisor determine that overriding the guidance above is warranted, the justification should be provided in the relevant Overall Rating section of the APD process.

Further information can be found in the [Academic Annual Performance and Development Policy and Procedure \[5.70.15\]](#)

Overall Rating	Domain Ratings
4 - Exceeds Expectations	4 Exceeds Expectations
4 - Exceeds Expectations	3 Exceeds Expectations, and 1 Performing Well
3 - Performing Well	2 or less Exceeds Expectations, and 2 or more Performing Well
3 - Performing Well	1 Some Gaps, and any combination of higher ratings
2 - Some Gaps	2 or more Some Gaps, and any combination of higher ratings
2 - Some Gaps	1 Unsatisfactory, and no Some Gaps
1 - Unsatisfactory	2 or more Unsatisfactory, or 1 Unsatisfactory and 1 Some Gaps

Academic Probation and APD

- Probationary processes (Mid-Term Review and Final Review) and Annual Performance processes (APD) have been split into parallel ‘streams’.
- A shortened Mid-Term Review and Final Review Form will be completed by the staff member and Head/Director consistent with the current timeframes. This Form and access to the IAP will be provided to the LCPC/PCPC.
- Probationary staff will now complete the standard APD process on the same cycle as other Academic Staff with APD documentation **not** forming part of the MTR or FR submission for the LCPC/PCPC.
- Impacted staff will be contacted directly with additional information.



Professional and Executive Ratings

How Managers apply the rating scale to the goal domains and overall rating

1. Review the goals set and employee evaluation for both '*Delivery*' and '*Citizenship and Leadership*'. Consider the measures that were agreed in the previous year and what your staff member was able to achieve.
2. Consider any feedback you or your staff member may have received.
3. Reflect on your observations throughout the year
4. Consider the four-point rating scale definition as outlined to the right and in the [5.70.01 Executive and Professional Staff Annual Performance and Development - Policies and Procedures](#)

Rating	Description
4 Exceeds expectations	<ul style="list-style-type: none"> • Performance consistently exceeds expectations and goals are met. Ambitious, or 'stretch', goals are also achieved. • Consistently delivers high quality outcomes at/before timeframes and well above the standards expected of their role and cohort. • Consistently exhibits exemplary standards of UQ values, citizenship behaviours and leadership (where relevant).
3 Performing well	<ul style="list-style-type: none"> • Performance satisfactorily meets most expectations and goals, or may exceed in one or two areas. • Delivers outcomes within timeframes required, consistent with their current role and cohort. • Consistently demonstrates expected UQ values, citizenship behaviours and leadership (where relevant).
2 Some gaps	<ul style="list-style-type: none"> • Performance does not meet all expectations and goals, may have met some but not all delivery goals. • Does not consistently meet required work quality, timeframes and output expected of their current role and cohort. • Occasionally demonstrates behaviour below expected UQ values, citizenship behaviours and leadership (where relevant).
1 Unsatisfactory	<ul style="list-style-type: none"> • Performance does not meet most or all expectations or requirements. • Does not demonstrate skills, knowledge and/or capabilities required for their role and does not produce work to expected standards. • Does not sufficiently demonstrate UQ values, citizenship behaviours and leadership (where relevant).

APD training – existing and upcoming

Three pillars of training are identified to maximise the impact of the APD processes. In addition to the centrally-developed training (which is consistent across all areas), an ‘area-specific’ training offering is also recommended based on the variance in local approaches and leadership preferences with respect to application of the academic criteria and performance ratings.

	Qualitative, skills-based training	Process-specific training	Context or area-specific training
Current Offering	<u>Leading Annual Performance and Development (existing)</u>	<u>APD Foundations (existing)</u>	Senior Leaders can work with local HR CP leaders to develop
Audience	Supervisors/Managers (2 cohorts) <ul style="list-style-type: none"> HEW 4-8 and Academic Level A-C HEW 9+ and Academic Level D-E 	Supervisors/Managers and staff	Academic Supervisors
Focus	<ul style="list-style-type: none"> Enhancing skills in performance and development conversations Providing feedback (positive and constructive) using SBIN model Conversation frameworks Frameworks for effective staff coaching/development 	<ul style="list-style-type: none"> Understanding the APD process Process overview and timelines Roles and responsibilities Purpose/benefits and how to get the best out of the process Links to resources and support 	<ul style="list-style-type: none"> Dean/ Head/ Director expectations for applying the Academic Domain and Overall ratings Understanding and applying the Criteria for Academic Performance within the specific Faculty/ School/ Institute context
Format	Two-hour interactive workshop	30-minute self-paced online course	Locally decided
Facilitated by	OCC team (centrally delivered) OR HR Client Partnering (locally delivered)	N/A – Digital Online Course	Head of Academic Unit (Head/Director) Supported by HR Client Partnering team

APD Resources and Support

Performance toolkit



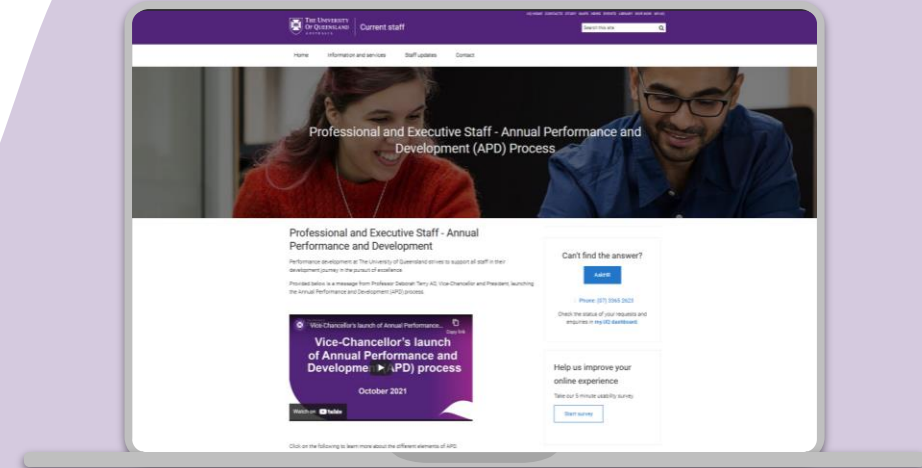
Academic, Professional & Executive
Goal libraries



Frequently Asked Questions



Supporting guides and videos



Academic Staff APD Website

Professional and Executive Staff APD Website

Contact



AskHR

For general APD
Questions



HR Client Partnering

For leadership advice
and support



Organisational Culture and Capability

For detailed questions or
feedback regarding APD

