Academic APD process

An Introduction for Academic Staff

Topics covered in this slide deck

- The new APD framework:

    o   Four Domains of academic activity

    o   New APD process; from setting goals to having my appraisal

    o   New criteria for academic performance in each Domain, and having performance ratings allocated to each Domain

    o   Receiving an overall performance rating

- Goal setting and getting ready for the APD process in 2022

- What does the APD process look like in HCMS?

- Further work in progress

Tailoring the new APD process for all academic categories

- **Single framework** for all academic categories (T&R, TF, RF, Clinical)

- A general expectation that staff with Teaching focussed or Research focussed appointments will have the opportunity to contribute meaningfully to Research and Teaching Domains, respectively.

- Where justified, **the use of "Not Applicable"** for a Domain allows a supervisor to align the individual's role with the APD process.

- Goal-setting is prospective and leads to an emphasis on expectations for future performance/

- **Citizenship and Service is always applicable** and must be rated.

- The APD must be integrated to the data sets in the IAP as well as the expectations of performance in the new Criteria for Academic Performance

Four Domains: Greater visibility of a variety of academic activity

Teaching Domain

- Distinguishes between teaching profile and other important contributions
- Highlights evidence-based practices in curriculum, pedagogy and assessment

Research Domain

- Values translation and impact
- Engagement teased out from service as distinct and standalone

Supervision and Researcher Development Domain

- New emphasis on mentoring of ECRs
- Greater diversity of supervisory activities

Citizenship and Service Domain

- Clear focus on internal service, distinct from Discipline/Professional service
- Citizenship highlighted as an expected attribute

Steps in the new APD process for 2022

- **Step 1**: Goals will be set in October 2021 to be reviewed in the APD process in October 2022

- **Step 2**: At a date yet to be determined, academic staff will be asked to complete their submission of material in preparation for their appraisal with their supervisor

  - FORM A: will be replaced by the web-based interface with the Individual Activity Profile (IAP)
    - Where data can be supplied from University sources (e-space for publications, NTROs etc), it will be. This should result in a significant saving in time.
    - Where no data source exists, staff will enter data through interactive tables within the IAP (in a similar fashion to that of FORM A in the Academic Portal). Where staff have used FORM A in Academic Portal, automated migration of data into the IAP is planned.

  - FORMS B, C and D: will be replaced by field-based entry into HCMS, including goal setting, and reflection ns on achievements in each domain

- **Step 3**: Appraisal meetings from October to December 2022

2022 - **Academic** APD template

The APD template is designed to provide staff with the scope to reflect on the key aspects of their performance, career aspirations, development objectives and goals for the year to come.

The layout of these sections provides a logical framework to support a developmentally-orientated performance conversation, covering both past performance with a focus on the future.

The starting point for the 2022 cycle is STEP 5 which is goal-setting (from Oct 2021); when the actual appraisal occurs in Q4 of 2022 the starting point will be STEP 1 or self-reflection on previously set goals

5. Drafting of goals for the following year

1. Self-reflection on previously set goals

2. Upload IAP and/or CV

3. Self-reflection on performance against Academic Criteria

4. Reflection on career and development plans

THE UNIVERSITY OF QUEENSLAND AUSTRALIA
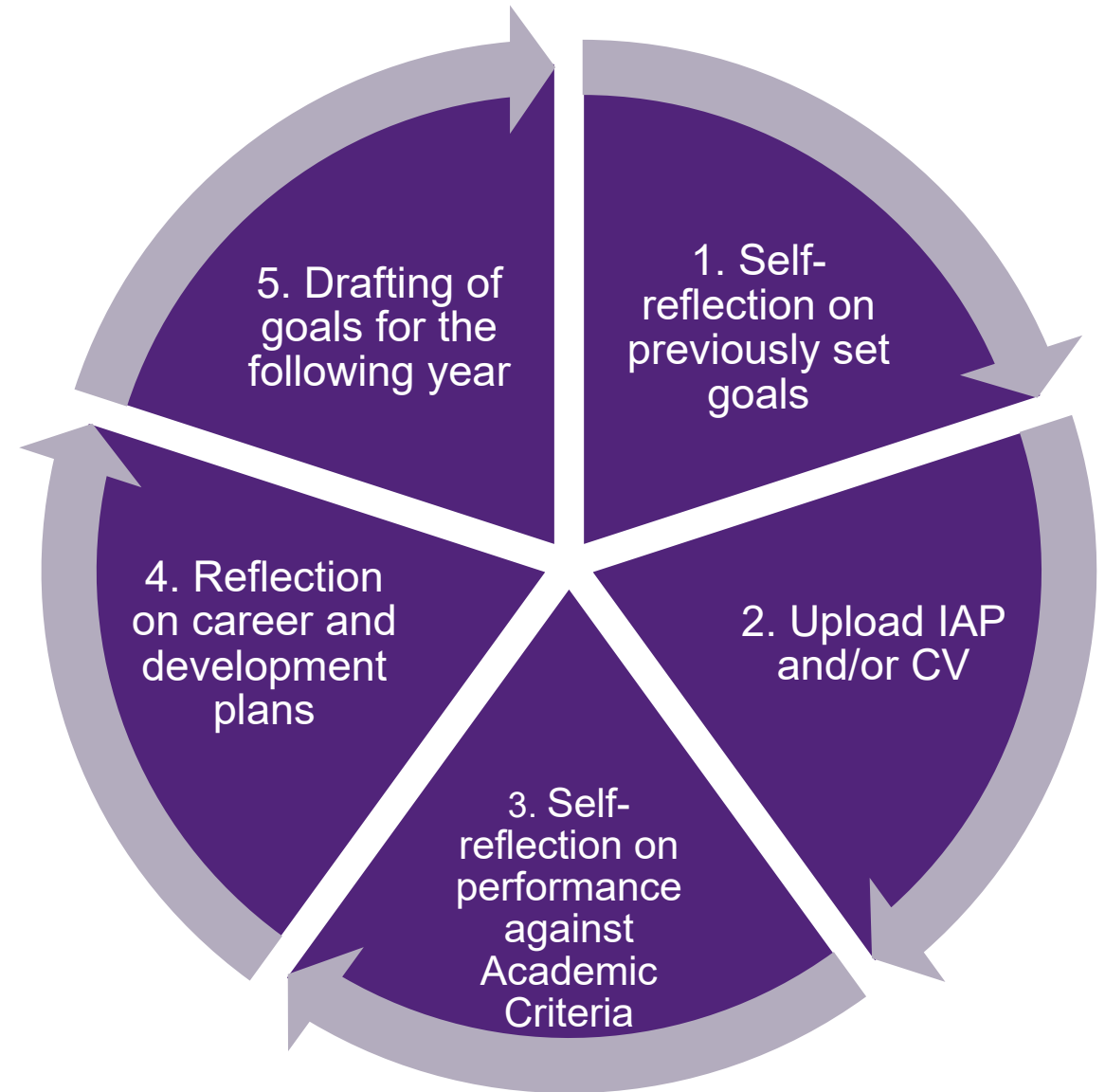
2022 - **Academic** APD process workflow

1. The staff member completes the self-assessment template in Workday

2. The Supervisor reviews the self-assessment template and the performance conversation occurs with the staff member

3. Following the conversation, the Supervisor enters their comments and ratings in Workday and submits to Head of School (if the Supervisor isn't the HoS)

4. The Head of School reviews and approves the submission in Workday. Following the HoS approval, the finalised documentation is sent back to staff member for formal acknowledgement and comment

2022 - New Criteria for Academic Performance in each Domain

TEACHING DOMAIN

RESEARCH DOMAIN

SUPERVISION AND RESEARCHER DEVELOPMENT DOMAIN

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 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:** 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 e) **Leadership:** shows high level of leadership of self and others through mentoring, supervision, responsibility for staff wellbeing, and contributing to and improving the governance of the institution	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 c) **External service:** shows leadership in relation to external service d) **Engagement:** leads self and others in advancing partnerships, and in relation to UQ and public engagement activities e) **Leadership:** shows leadership of self and others through mentoring, supervision, responsibility for staff wellbeing, and contributing to the governance of the institution	a) **Citizenship:** demonstrates UQ values consistently b) **Internal service:** has an established record of achievement and initiative in internal service role/s c) **External service:** shows evidence of an established record in relation to external service d) **Engagement:** pursues successful engagement activities and media opportunities e) **Leadership:** shows leadership of self and others through mentoring, supervision and a responsibility for staff wellbeing	a) **Citizenship:** demonstrates UQ values b) **Internal service:** undertakes internal service role/s effectively c) **External service:** actively pursues agreed goals in external service d) **Engagement:** actively pursues agreed goals in engagement activities and partnerships e) **Leadership:** shows leadership of self and others through mentoring and collaboration	a) **Citizenship:** demonstrates UQ values b) **Internal service:** undertakes internal service role/s c) **External service:** collaborates in external service activities d) **Engagement:** collaborates in engagement activities and partnerships e) **Leadership:** shows leadership of self through collaboration and active participation in priority activities for the unit

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)

For more information on the new criteria for Academic performance please view the Academic Staff - Annual Performance and Development (ADP) Process website.

2022 – A rating will be given for each Domain

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

Example – Level B Criteria for the Research Domain

Level B Lecturer

a) **Quality research outputs:** produces research outputs consistent with discipline norms, with a lead role in some outputs, resulting in a developing national profile

b) **Funding and other external support:** contributes to, and sometimes leads funding applications or other external mechanisms of research support, consistent with discipline norms

c) **Translation and impact:** contributes to progressing towards transfer of knowledge, technology and practices to research end users through translation, including commercialisation of UQ IP

d) **Engagement:** contributes to the development of, or delivery of partnerships with research end users, or external collaborations resulting in quality outputs

e) **Leadership:** participates in team building and/or discipline service

In **determining a rating for each Domain**, a supervisor is required to consider:

- the goals set for the period under review and the reflections of the staff member on the progress achieved on the goals, and more generally across the activity captured by the Domain.

- the Criteria for Academic Performance for that Domain, the academic level and academic category, and the guidance provided for giving a rating.

- the supervisor may override the guidance and give a different rating should they consider relative to opportunity or other considerations warrant it (a written justification is required).

GUIDELINES FOR RESEARCH 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 one of a) or b) and one of c), d) or e).
4. Unsatisfactory: Typically, does not demonstrate either a) or b).

Determining an Overall Performance Rating

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

In determining the appropriate Overall Rating, consideration should also be given to **relative to opportunity factors** and consideration of other relevant circumstances. 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.**

Setting Goals

What are the purpose and nature of goals?

- Goal setting is not meant to be a comprehensive list of all activities that may be conducted in the next 12 months

- Goals highlight the pursuit of key outcomes that have been agreed by the staff member and supervisor
  - Some goals may highlight career development opportunities for the staff member to strive for
  - Some goals may represent important and/or substantial tasks for the staff member to participate in
  - Some goals will be aligned to School/Institute priorities (e.g. a School Review)

- Goals do not represent the only activities to be reflected upon in the appraisal
  - Some important outcomes may have been achieved without being highlighted in a goal

- An outcome that may represent a goal for one staff member, may not make a suitable goal for another staff member at a different academic level, or in a different discipline

- Examples of goals will be supplied to assist staff and supervisors when constructing goals, but these should not be considered as definitive or exhaustive; context is critical in setting goals

Setting of Goals

- A goal must be set if the supervisor has an expectation that a proportion of a staff member's time is to be spent on activities in that Domain at the time of the appraisal

- The nature of the goal(s) set in a Domain should reflect the importance of the Domain to the overall expectations and workload of the staff member

- Goals should be specific, achievable, may require multiple years to complete, and could be informed by activities found in the Guidelines on Evidencing Academic Achievement

- A Goal Library will be supplied to assist in setting goals.

Note: The current EA has a principled based approach to workloads (transparency, fairness, consultation, equitable opportunities). However, there is also a stipulation (A58.3c, p.54) that the Head or Director will "Ensure that each School's workload allocation model includes a typical workload range (minimum and maximum thresholds) for teaching and teaching-related duties as appropriate for each type of Academic Category" (categories then named).

Examples of a set of goals for two Academic Staff

T & R, Level C, STEMM

Teaching
- Redesign the assessment profile of XXXX2000 using Inspera to improve the authenticity of the assessment tasks
- Build links during 2022 with engineering companies whose staff are willing to contribute to our first-year mentoring program

Research
- Develop the relationship with industry partner X, with the target of developing a Linkage grant application within 2 years
- Write a major review of the X discipline area, with a target journal of Y
- Work towards gaining a position on the Editorial Board of a leading journal in my discipline.

Supervision and Researcher Development
- Assist my Postdoc with a competitive DECRA application to be hosted at UQ
- In collaboration with my PhD student, progress submission of two thesis chapters as co-authored articles
- Assist my honours student to spend 3 months with Industry partner X on a placement.

Citizenship and Service
- Take over as Chair of the School's Equity and Diversity Committee for a three year term
- Mentor the new Level B T & R staff in the School

T & R, Level E, Non-STEMM

Teaching
- Oversee and contribute to the production of a suite of shorter-form credentials in the field of X for 2023 enrolments
- Lead a team to establish a partnership with Y University to co-develop an online masters program for 2024 enrolments

Research
- Progress my draft monograph by completing a further 3 chapters
- Continue my consultancy with Industry partner X, with the target of generating sufficient income to support a personal payment of $Y, for which I am seeking approval.
- Begin discussions with key colleagues at UQ and other institutions to plan for a Centre of Excellence application within the next 3 years

Supervision and Researcher Development
- Assist two of my PhD students to attend an international conference over the next 12 months

Citizenship and Service
- Begin service on the LNR Human ethics committee for the Faculty
- Join the working party that will be leading the preparation for the upcoming School review

Academic Goal Library

The Academic Goal Library will include a bank of example goals across each of the Academic domains.

The Academic Goal Library can be accessed via the [Academic Staff- Annual Performance and Development (ADP) Process website.](#)
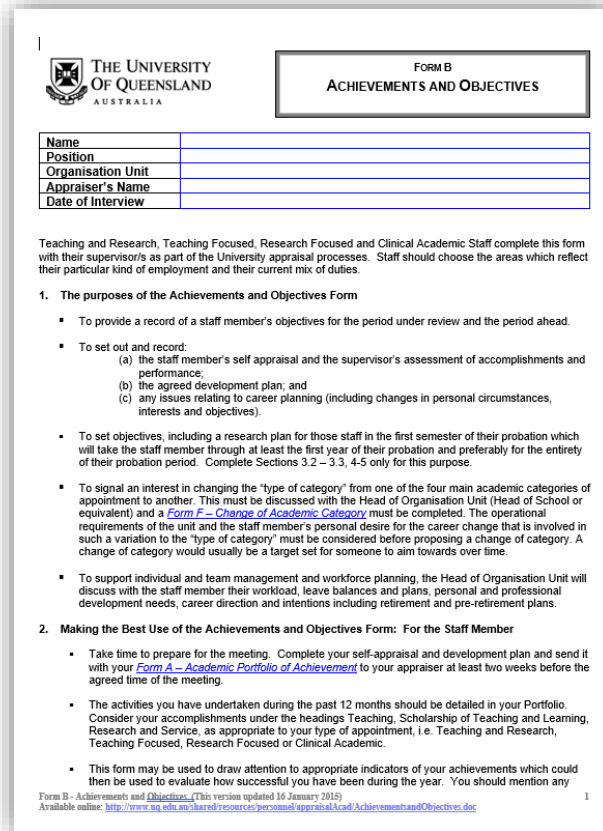
Transferring goals from Form B to Workday

If goals have been set for the coming year using Form B these will need to be migrated from Form B into Workday from October 2021.

2021 Academic Goal Setting and Approval (6:09)

UQ Academic Supervisors & Staff - Goal setting for 2022 including supervisor review steps - YouTube
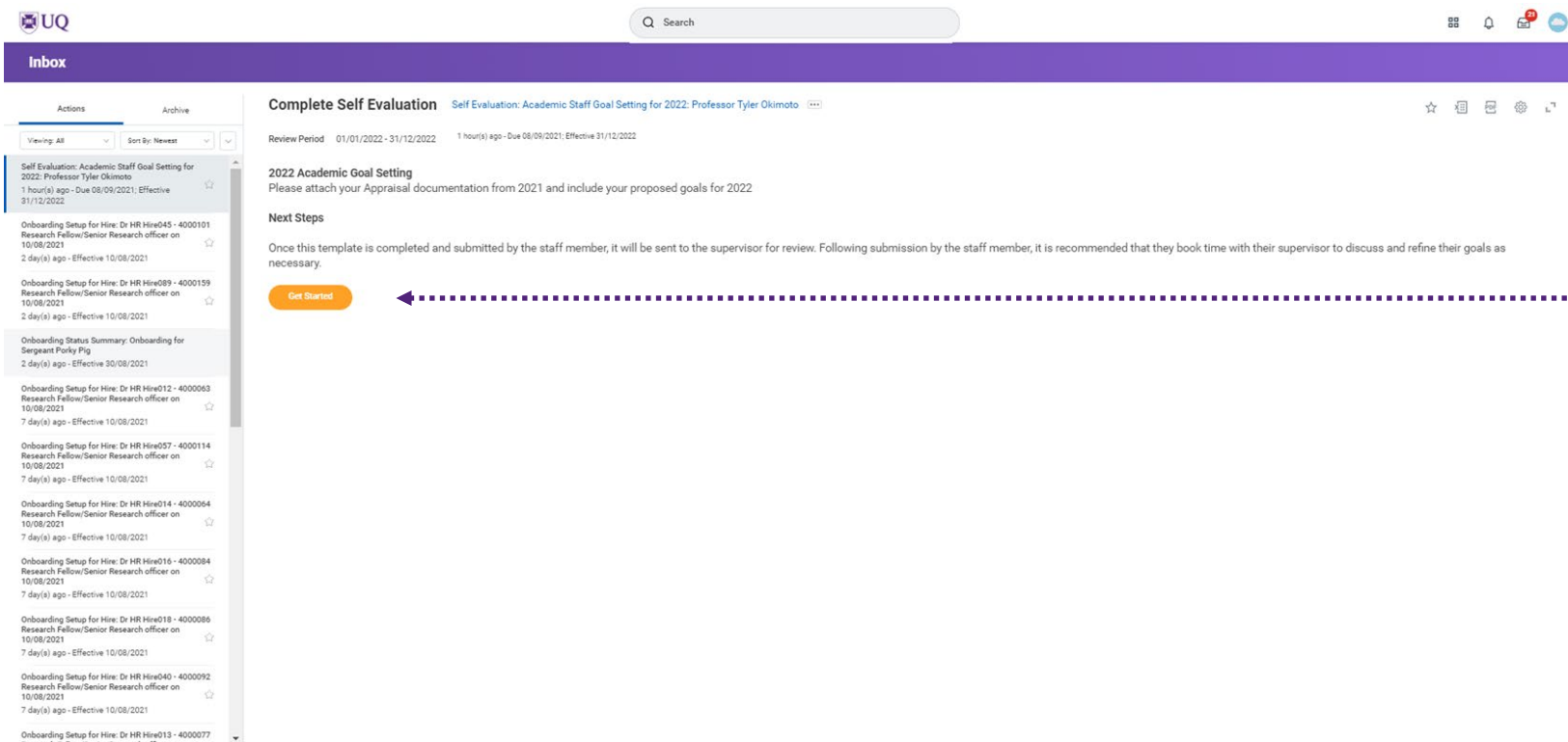
Academic Staff APD Workday Process

The following slides provide additional detail on the Annual Performance and Development process for Academic staff in Workday.

APD 2021: Commence the process in Workday

You will receive a goal setting notification to undertake the process.
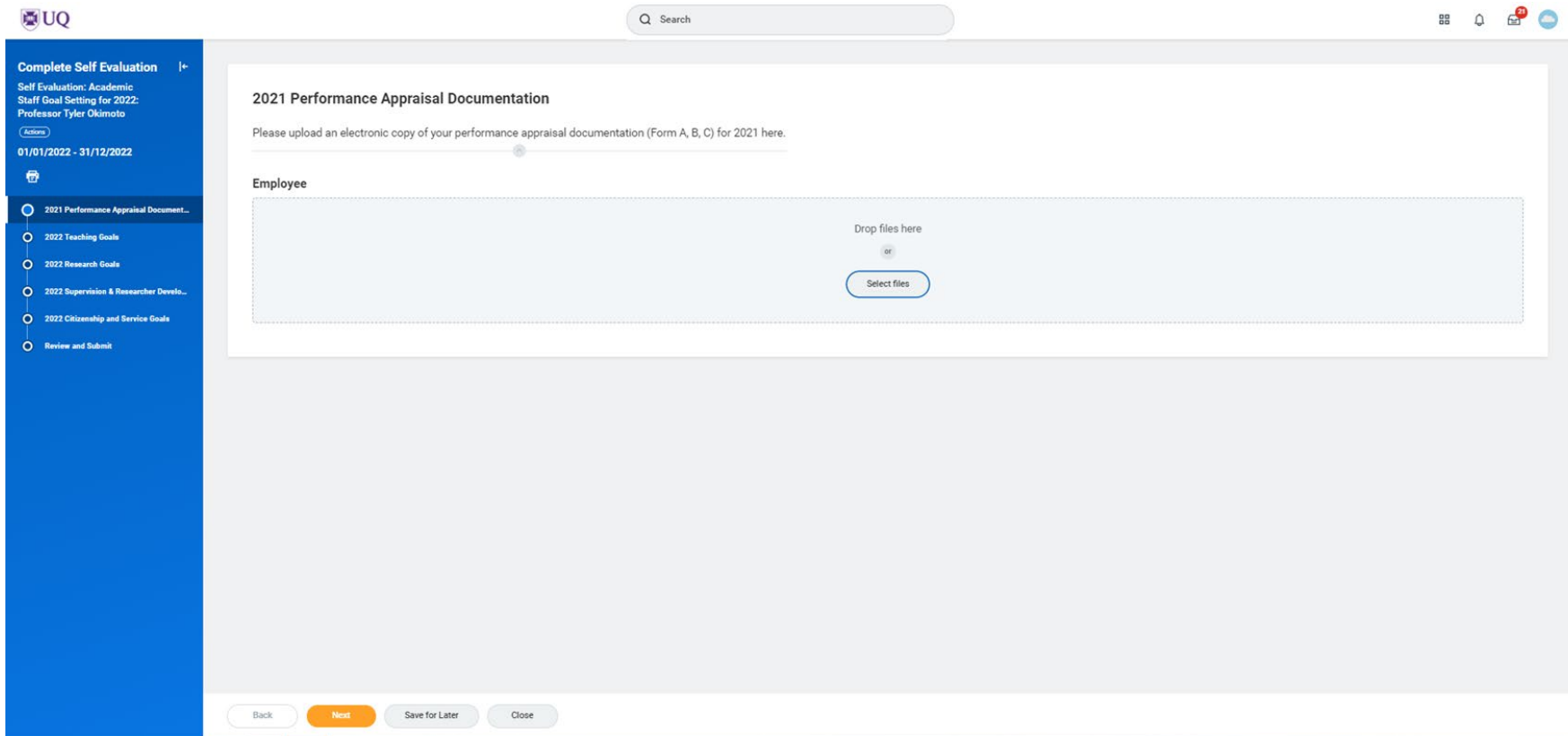
Commence the Workday goal setting process by selecting 'Get Started'.
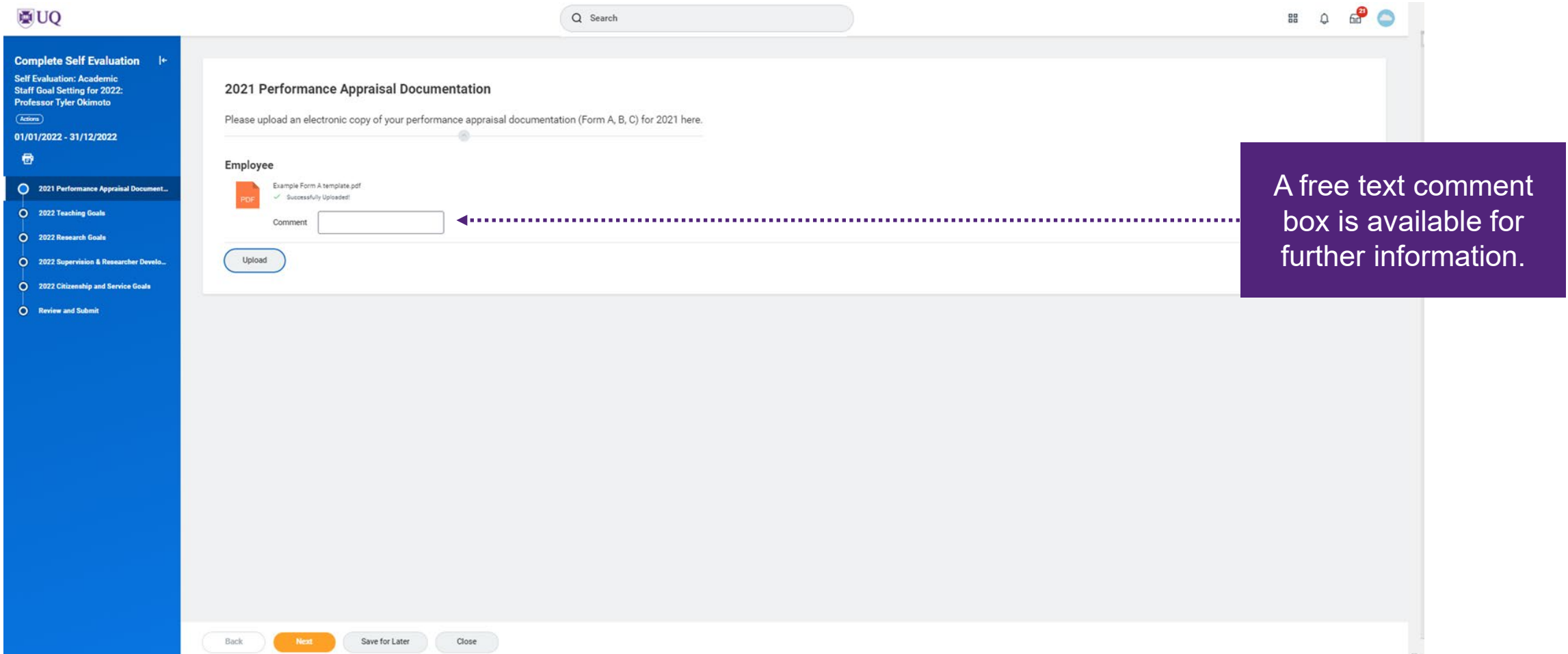
APD 2021: Upload Forms A, B & C

Upload a copy of your completed Forms A, B & C.

APD 2021: Add additional commentary
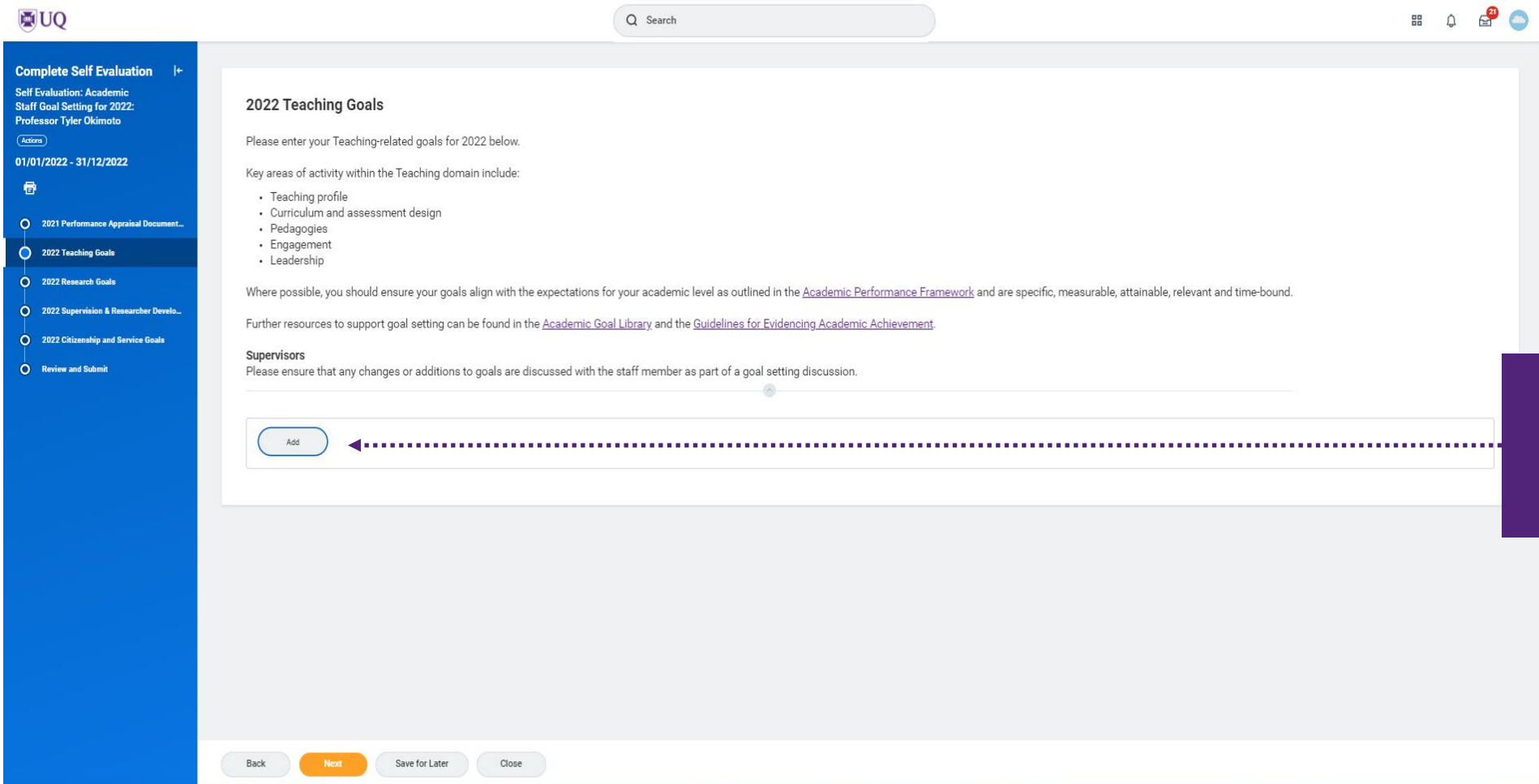
A free text comment box is available for further information.

APD 2021: Set goals to each domain

A goal can be added for each Academic domain.

APD 2021: Add goal details

Add the goal, description (optional), category and status (progress) of the goal.

APD 2021: Finalise detail

Review all documents and goals before submitting.

APD 2021: Notification to supervisor goals have been submitted
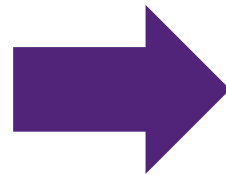
Supervisor will receive a notification in Outlook outlining goals have been submitted.

Further developments

FORM A replacement and the IAP

- Further work now needs to be done on developing the web-based interface for staff to upload information through the IAP. By the end of the first quarter in 2022, it is anticipated a number of developments will be close to completion:

  - Ensuring all staff have checked the University-supplied data in the IAP (e.g. course coordination, publications, HDR students) for correctness/completeness

  - Consultation and development of the tabular data fields available in the IAP following similar templates in the current academic portal version of FORM A

  - Consultation and development of the auto-generated output document for the tabular data required for the APD process (noting that textual information for the APD process is entered directly into HCMS)

Modifications to Confirmation and Promotion; and Workload Tool

As noted at Academic Board, the changes to the APD and CfAP are consequential for both Confirmations and Promotions and the Workload allocation tool (not the workload framework itself, which remains as stated in the Enterprise Agreement). The current status of the APD and CfAP policy suite is that they have been endorsed by Academic Board and are due for discussion at the Joint Consultative Committee prior to final approval by USET / Vice-Chancellor ahead of the start of 2022.

- **Workload tool.** Further consultation now needs to occur to align the revised academic Domains and the sample UQ workload tool recognising that:

  - the four Domains (Teaching, Research, Supervision and Researcher Development and Citizenship and Service) differ from the academic activities cluster in the current workload tool

  - consultation is required across UQ to agree on a revised tool that can inform School-based decisions and support the new APD

- **Confirmation and Promotions**. The relevant sub-committee of Academic Board (ACaPAC) is currently considering the impact of the new suite of policies and procedures on Confirmation and Promotion. Uppermost in mind will be ensuring fairness to all prospective candidates as transition plans are articulated.

Resources and support

Performance toolkit

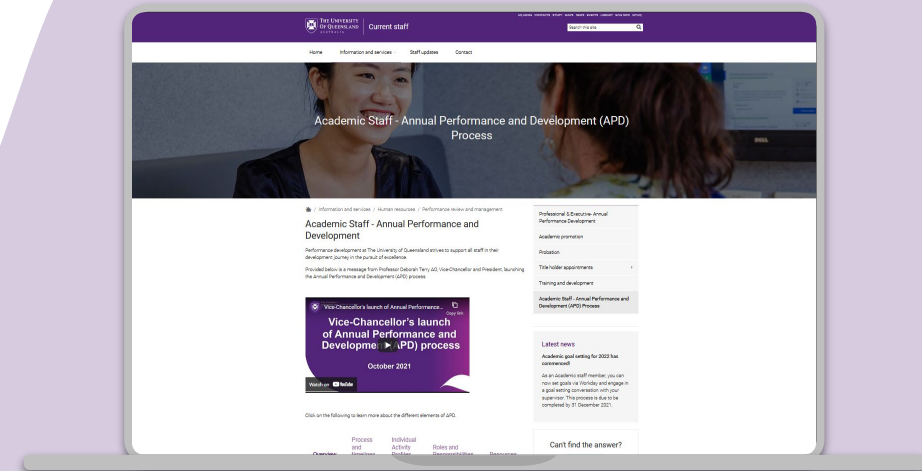Training

Academic, Professional & Executive
Goal libraries

Frequently Asked Questions

Supporting guides and videos

Roadshow materials

Academic Staff APD Website

Thank you

If you have an questions about the APD process please:

- **Contact your local HR Client Partner, or**
- **The Talent Development team – Declan Hughes, Sarah Hannah or Rebecka Vargas.**