Performance framework for academics: the Adelaide experience

seek LIGHT

The context: University of Adelaide

- Research intensive Go8 university with comprehensive discipline coverage

- > 27000 students

- 3rd oldest HEI in Australia

- Consistent strong performance in ERA: 82% of our research sub-fields above or well above world standard

- Senior leadership team includes VC, DVCA, DVCR, COO, CFO and five Executive Deans

The context: University of Adelaide

- Period of substantial growth in first decade of 21st century

- Beacon of Enlightenment – enriching the student academic experience; small group discovery

- Domestic enrolments static

- Growth in international enrolments but not at same rate as other Go8s

- Challenging financial environment: 5 year financial plan and the Adelaide Health and Medical Sciences building

- Competitive research landscape

- 'Traditional' academic workforce: staff mainly on 40:40:20 contracts

UoA Sustainable Transformation Program

Developed by senior leadership team with input from consultants (Strategy&)

- **Performance optimisation**: actively defining, measuring and lifting individual academic performance

- **Portfolio action**: stop doing what is not core to business

- **Changing the workload model**: Education Specialist role concept – feasible under 2014 Enterprise Agreement
  - ES deliver and develop excellence in teaching, benefiting from new Academy (but not refuge for poor performing teachers)

- **Agile decision making**: removing the red tape from processes and layers of approval at all levels

UoA Sustainable Transformation Program

Developed by senior leadership team with input from consultants (Strategy&)

- **Performance optimisation**: actively defining, measuring and lifting individual academic performance

- **Portfolio action**: stop doing what is not core to business

- **Changing the workload model**: Education Specialist role concept – feasible under 2014 Enterprise Agreement
  - ES deliver and develop excellence in teaching, benefiting from new Academy (but not refuge for poor performing teachers)

- **Agile decision making**: removing the red tape from processes and layers of approval at all levels
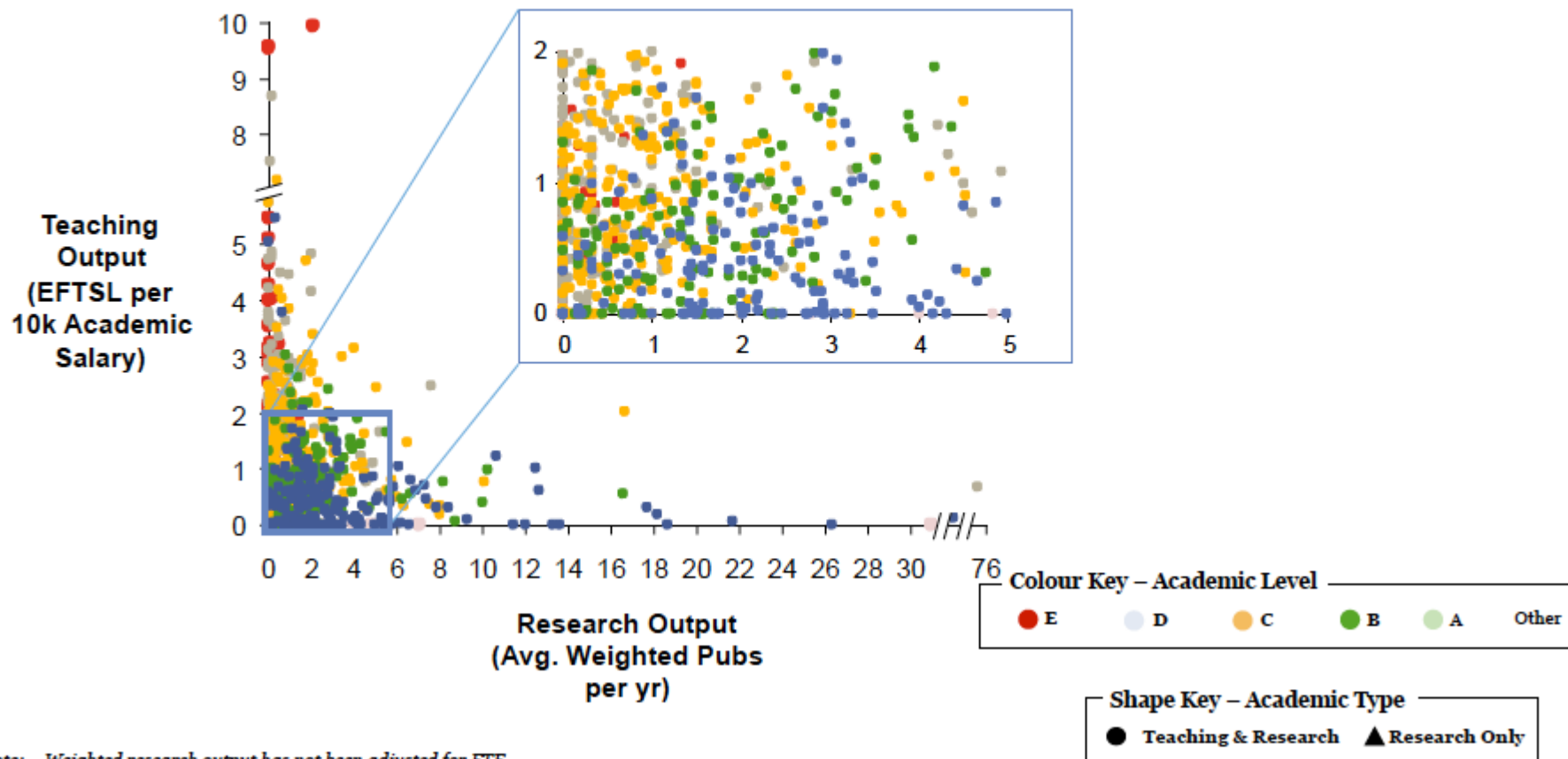
Total EFTSL by Teaching FTE and Normalised ERA Weighted Output by Research FTE by Cell
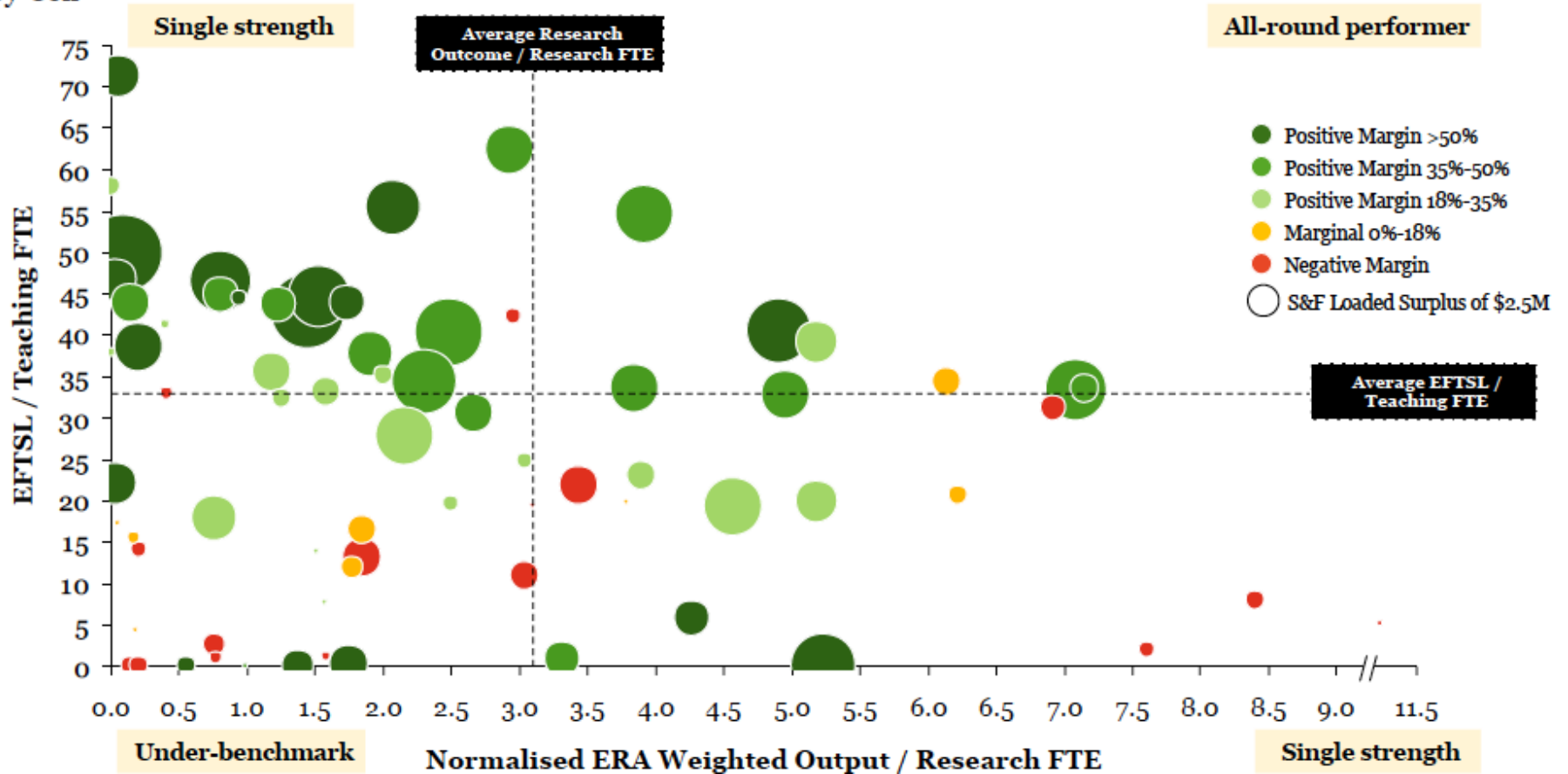
Teaching & Research - Quantity

Average weighted publications per year vs. EFTSL per 10k Academic Salary
Teaching & Research Staff only

Teaching Output (EFTSL per 10k Academic Salary) — vertical axis

Research Output (Avg. Weighted Pubs per yr) — horizontal axis

Colour Key – Academic Level: E, D, C, B, A, Other

Shape Key – Academic Type: ● Teaching & Research ▲ Research Only

Note: *Weighted research output has not been adjusted for FTE*

Articulating the case for change

- Sharing of data at annual management retreat
  - de-identified School, cell and individual performance expectations against Go8 average
- Individual School data then shared with HoS – based on initial set of performance measures
- Acknowledgement by HoS that academic performance had not been adequately managed
- Senior leadership team then put aside some of the teaching/finance/research overlay assumptions to proactively define performance with a view to measuring

Adelaide Academic Role Statements

- Developed by Senior leadership team
- Definitions of performance had to map to current EA
- Initially expected to have a single Role Statement for all UoA academics with elements of scale through levels A-E
- Adopted common University-wide performance measures in which quality is emphasised over quantity
- Required to be nuanced for each of the five Faculties

Adelaide Academic Role Statements

- Further development of role statements for General Academics, Education Specialists and Research Specialist staff

- Not all measures need to be met: "bundling" of quality and quantity measures for teaching and research

- Quantitative measures pro-rated for part-time staff and for all staff are dependent on workload allocation.

- Role Statements includes a statement of "How the performance measures work together"

- Note that this is about defining minimum performance standards and does not address aspirational standards

Adelaide Academic Role Statements

- Research
  - Normalised Citation Index
  - Number of Cat 1 grants (over 5 years)
  - Amount of Cat 2-4 income
  - Number of apportioned and unapportioned outputs
  - Active HDR supervision
- Teaching
  - HDR completion
  - e SELT
  - Peer review of teaching
  - Teaching activities
- Supporting expectations
  - Administration and service to the University
  - Professional activity including service to community
- Needs to be seen in context of Workload model

"Piled Higher and Deeper" by Jorge Cham
www.phdcomics.com

Role statement: General academic

The Adelaide Academic

THE UNIVERSITY of ADELAIDE	Performance Measures (per 1FTE)	Explanation of performance measures	Faculty of Health and Medical Sciences Teaching and Research Academic Role Statement Assumes workload is: 40% Teaching and 40% Research			
			Level B	Level C	Level D	Level E
How the performance measures work together		Staff must meet at least one research quality measure, one teaching quality measure, the only teaching output measure, one other research or teaching measure and all supporting expectations for their level.				
Research	**Quality**	Normalised Citation Indicator or Quality Factor (Peer Evaluation)	**Normalised Citation Indicator** The citation measure is calculated by dividing the actual count of citing items by the expected citation rate for documents with the same document type, year of publication and subject area. When a document is assigned to more than one subject area, an average of the ratios of the actual to expected citations is used. NOTE: This value will be extracted from InCites. **Quality Factor (Peer Evaluation)** Points awarded for quality as judged by the Faculty Research Committee or ERA FoR leader(s) using ERA standards, based on HERDC-eligible un-weighted outputs (or NTRO-equivalent publications/output points in creative field) over the last 5 calendar years multiplied the following quality measures: Excellent = 5; Very Good = 4; Good = 3; Satisfactory = 0	NCI 1.0 Peer Evaluation N/A	NCI 1.0 Peer Evaluation N/A	NCI 1.2 Peer Evaluation N/A	NCI 1.2 Peer Evaluation N/A
		Count of Cat 1 Grants	For Levels B: Count of grant submissions over the last 5 calendar years. For Levels C – E: Average number of grants held per year over the last 5 calendar years.	1 submission	1 grant held	1 grant held	1.5 grants held (at least 1 as CIA)
		Cat 2-4 Income Generated	Average $k per annum over the last 5 calendar years.	$10k	$20k	$40k	$60k
	Output	Apportioned or Unapportioned Publications / Research Output	**Apportioned:** An annual average count of weighted publications and/or other research outputs as recorded in AURORA and shared fractionally and equally between authors, over the last 5 calendar years. or **Unapportioned:** An annual average count of all outputs recorded in AURORA that have been deemed to be a research output, that are attributed to an author, over the last 5 calendar years.	0.3 Apportioned or 1.0 Unapportioned	0.4 Apportioned or 2.0 Unapportioned	0.5 Apportioned or 2.5 Unapportioned	0.6 Apportioned or 3.0 Unapportioned
		Active HDR Supervisions	An annual average number of EFSTL fractionally allocated as per supervisory responsibilities in PeopleSoft, over 5 years, where the difference between co-supervision, and principal supervision is given effect by the fractional allocation within PeopleSoft.	An average of 0.2 EFTSL	An average of 0.5 EFTSL	An average of 1 EFTSL	An average of 1.5 EFTSL

Role statement: General academic

Teaching	**Quality**	HDR Completions	A count of HDR completions over the last 5 calendar years, where PhDs must be completed within 4 EFTSL of commencement and Masters must be completed in 2 EFTSL, and where all supervisors at the time of the completion will be credited with a completion count.	1	1	2	2
		eSELT	Average of 80% broad agreement with the Question 6 score for all courses taught over the last 3 years.	eSELT 80%			
		Peer Review	Participation in the University's TRP peer review scheme, with outcomes rated on the following 3 point scale: 1. Excellent 2. Satisfactory 3. Needs Improvement	Satisfactory or Excellent			
	Output	Teaching activities	Teaching activities commensurate with the type of appointment and workload model.				
Supporting expectations	Admin and service to the University			Demonstrated performance in <u>one</u> of these two supporting expectation categories as per the University of Adelaide Enterprise Agreement 2014 – 2017 at 2.5.2.2d as amended or replaced		Demonstrated performance in <u>both</u> of the supporting expectation categories as per the University of Adelaide Enterprise Agreement 2014 – 2017 at 2.5.2.2d as amended or replaced	
	Professional activity including service to the community						

*Where a particular measure is defined as not applicable (represented by N/A), a staff member may nevertheless use that measure as evidence of their meeting minimum performance standards if they meet the minimum standard for the next academic level at which the measure is applicable.

Role statement: Education specialist

The Adelaide Academic

	Performance Measures (per 1FTE)	Explanation of performance measures	Faculty of Health and Medical Sciences Education Specialist Role Statement (including Scholarly Teaching Fellows) Assumes workload is: 80% Teaching			
			Level B	Level C	Level D	Level E
How the performance measures work together		Staff must meet at least two teaching quality measures, the only teaching output measure, one other research or teaching measure and all supporting expectations for their level.				
Research — Quality	Normalised Citation Indicator or Quality Factor (Peer Evaluation)	**Normalised Citation Indicator** The citation measure is calculated by dividing the actual count of citing items by the expected citation rate for documents with the same document type, year of publication and subject area. When a document is assigned to more than one subject area, an average of the ratios of the actual to expected citations is used. NOTE: This value will be extracted from InCites. **Quality Factor (Peer Evaluation)** Points awarded for quality as judged by the Faculty Research Committee or ERA FoR leader(s) using ERA standards, based on HERDC-eligible un-weighted outputs (or NTRO-equivalent publications/output points in creative field) over the last 5 calendar years multiplied the following quality measures: Excellent = 5; Very Good = 4; Good = 3; Satisfactory = 0	NCI 1.0 Peer Evaluation N/A	NCI 1.0 Peer Evaluation N/A	NCI 1.0 Peer Evaluation N/A	NCI 1.0 Peer Evaluation N/A
	Count of Cat 1 Grants	For Level B: Count of grant submissions over the last 5 calendar years. For Levels C – E: Average number of grants held per year over the last 5 calendar years.	N/A*	0.2 grants held	0.2 grants held	0.3 grants held
	Cat 2-4 Income Generated	Average $k per annum over the last 5 calendar years.	N/A*	$10k	$25k	$50k
Research — Output	Apportioned or Unapportioned Publications / Research Output	**Apportioned:** An annual average count of weighted publications and/or other research outputs as recorded in AURORA and shared fractionally and equally between authors, over the last 5 calendar years. or **Unapportioned:** An annual average count of all outputs recorded in AURORA that have been deemed to be a research output, that are attributed to an author, over the last 5 calendar years.	N/A* 0.5 Unapportioned	0.3 Apportioned or 1.0 Unapportioned	0.3 Apportioned or 1.0 Unapportioned	0.4 Apportioned or 1.5 Unapportioned
	Active HDR Supervisions	An annual average number of EFSTL fractionally allocated as per supervisory responsibilities in PeopleSoft, over 5 years, where the difference between co-supervision, and principal supervision is given effect by the fractional allocation within PeopleSoft.	An average of 0.2 EFTSL	An average of 0.2 EFTSL	An average of 0.4 EFTSL	An average of 0.4 EFTSL

Next steps

- Widespread consultation: staff and unions under EA
- Substantial feedback on generic and specific issues
- Broad range of comments
  - "This is impossible"
  - "Not nearly challenging enough for a Go8"
- Modifications incorporated (particularly around "bundling")
- Introduced in 2016: seen as trial
- Triggered some individual discussions re under-performance and pre-retirement packages
- Stimulated ++ interest in new Education Specialist role: now have 64 ESs
- Individual Academic Profile tool developed in parallel

Individual academic profile

Your Research Publications as at: 31/01/2017 (Current and Previous 5 Complete Years)

Authored Publications & Citations	2012			2013			2014			2015			2016			Average			Weighted
	Unapportioned Count	Apportioned Count	Average NCI	Unapportioned Count	Apportioned Count	Average NCI	Unapportioned Count	Apportioned Count	Average NCI	Unapportioned Count	Apportioned Count	Average NCI	Unapportioned Count	Apportioned Count	Average NCI	Unapportioned Count	Apportioned Count	NCI	wNCI
University of Adelaide	23	7.8	1.9	11	2.3	2.1	7	1.8	6.2	4	0.7	8.6	7	0.8	0.0	10.4	2.7	3.5	120.0
User-entered	0	0.0		0	0.0		0	0.0		0	0.0		0	0.0		0.0	0.0		

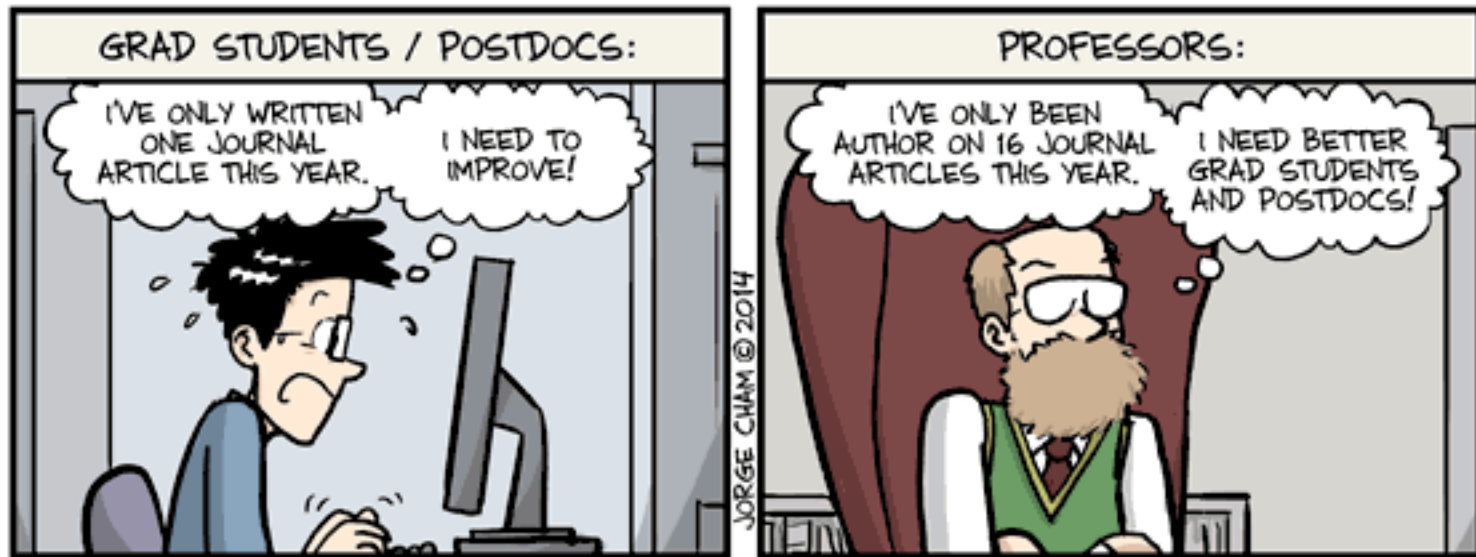| Year	Publication	Your Relationship	Type	Subtype	Authors	WoS Citations	TR InCites Citations	NCI	Percentile
University of Adelaide									
2016	0030057210: Age as a Confounding Factor for the Accurate Non-Invasive Diagnosis of Advanced NAFLD Fibrosis Authored by: McPherson S; Hardy T; Dufour JF; Petta S; Romero-Gomez M; Allison M; Oliveira CP; Francque S; van Geel L; Schattenberg JM AMERICAN JOURNAL OF GASTROENTEROLOGY Published: OCT 2016	Authored by	Journal article	Article in Press	10 or greater				
2016	0030056385: Diagnostic performance of FibroTest, SteatoTest and ActiTest in patients with NAFLD using the SAF score as histological reference Authored by: Munteanu M; Tiniakos D; Anstee Q; Charlotte F; Marchesini G; Buglianesi E; Trauner M; Romero Gomez M; Oliveira C; Day C ALIMENTARY PHARMACOLOGY AND THERAPEUTICS Published: OCT 2016	Authored by	Journal article	Journal Article	10 or greater				
2016	0030053748: Sulfatase-2: A prognostic biomarker and candidate therapeutic target in patients with pancreatic ductal adenocarcinoma Authored by: Alhasan SF; Haugk B; Ogle LF; Beale GS; Long A; Burt AD; Tiniakos D; Televantou D; Coxon F; Newell DR BRITISH JOURNAL OF CANCER Volume: 115 Issue: 7 Pages: 797-804 Published: SEP 2016	Authored by	Journal article	Journal Article	10 or greater		0	0.0	100.00
2016	0030052009: Exercise Reduces Liver Lipids and Visceral Adiposity in Patients With Nonalcoholic Steatohepatitis in a Randomized Controlled Trial Authored by: Houghton D; Thoma C; Hallsworth K; Cassidy S; Hardy T; Burt AD; Tiniakos D; Hollingsworth KG; Taylor R; Day CP CLINICAL GASTROENTEROLOGY AND HEPATOLOGY Published: JAN 2016	Authored by	Journal article	Article in Press	10 or greater				
2016	0030050822: A prospective observational study of the effect of critical illness on ultrastructural and microscopic morphology of duodenal mucosa Authored by: Liew VY; Chapman MJ; Nguyen NQ; Cousins CE; Plummer MP; Chapple LAS; Ali Abdelhamid Y; Manton ND; Swalling A; Sutton-Smith P CRITICAL CARE AND RESUSCITATION Published: JUN 2016	Authored by	Journal article	Journal Article	10 or greater				
2016	0030048520: A prospective observational study of the effect of critical illness on ultrastructural and microscopic morphology of duodenal mucosa Authored by: Liew VY; Chapman MJ; Nguyen NQ; Cousins CE; Plummer MP; Chapple L-AS; Abdelhamid YA; Manton ND; Swalling A; Sutton-Smith P CRITICAL CARE AND RESUSCITATION Volume: 18 Issue: 2 Pages: 102-108 Published: JAN 2016	Authored by	Journal article	Article, Journal	10 or greater		0	0.0	100.00
2016	0030017469: Columnar metaplasia in the esophageal remnant after esophagectomy: a common occurrence and a valuable insight into the development of Barrett esophagus Authored by: Dunn LJ; Burt AD; Hayes N; Griffin SM ANNALS OF SURGERY Published: JAN 2016	Authored by	Journal article	Journal Article	4				
2015	0030036475: Diagnosis and Assessment of NAFLD: Definitions and Histopathological Classification Authored by: Burt AD; Lackner C; Tiniakos DG SEMINARS IN LIVER DISEASE Volume: 35 Issue: 3 Pages: 207-220 Published: AUG 2015	Authored by	Journal article	Journal Article	3	5	4	1.1	30.47
2015	0030024282: Well-differentiated hepatocellular neoplasm of uncertain malignant potential - Reply Authored by: Bedossa P; Burt AD; Brunt E; Callea F; Clouston AD; Dienes HP; Goodman ZD; Gouw ASH; Hubscher SG; Roberts EA HUMAN PATHOLOGY Volume: 46 Issue: 4 Pages: 635-636 Published: JAN 2015	Authored by	Journal article	Letter, Journal	10 or greater	1	1	1.8	26.59
2015	0030020154: DNA-PK- A candidate driver of hepatocarcinogenesis and tissue biomarker that predicts response to treatment and survival Authored by: Cornell L; Munck JM; Alsinet C; Villanueva A; Ogle L; Willoughby CE; Televantou D; Thomas HD; Jackson J; Burt AD CLINICAL CANCER RESEARCH Volume: 21 Issue: 4 Pages: 925-933 Published: JAN 2015	Authored by	Journal article	Journal Article	10 or greater	9	5	2.2	12.86
2015	0030017475: Evidence of NAFLD progression from steatosis to fibrosing-steatohepatitis using paired biopsies: Implications for prognosis and clinical management Authored by: McPherson S; Hardy T; Henderson E; Burt AD; Day CP; Anstee QM JOURNAL OF HEPATOLOGY Volume: 62 Issue: 5 Pages: 1148-1155 Published: JAN 2015	Authored by	Journal article	Journal Article	6	71	67	29.3	0.10
2014	0030029865: Utility and appropriateness of the fatty liver inhibition of progression (FLIP) algorithm and steatosis, activity, and fibrosis (SAF) score in the evaluation of biopsies of nonalcoholic fatty liver disease Authored by: Bedossa P HEPATOLOGY Volume: 60 Issue: 2 Pages: 565-575 Published: JAN 2014	Authored by	Journal article	Article, Journal	1	42	41	8.1	0.89

Current position

- Further iterations following consultation in late 2016
- IAP data identified staff in each Faculty failing to meet expectations identified: HoS required to report on those with mitigating circumstances
- Individual performance discussions being undertaken with those without any such overlay
- For some this is triggering a formal performance improvement process
- Note that this is separate to (but informed by) PDR and Workload Model
- Workshops for HoS and other senior line managers to support their management of underperformance

Conclusions

- We consider mutual responsibility and equitable contributions to the work of the University as essential to maintaining the health of the institution and the quality of academic life

- We have developed statements regarding our minimum expectations of an Adelaide Academic

- In parallel we have developed the IAP tool for measuring performance

- The approach has been accepted by most staff and has begun to change behaviors

- Full implementation in 2017 but recognition that further finessing will be required

SUB CRUCE LUMEN

THE UNIVERSITY
of ADELAIDE