



# The policy and politics of collecting and reporting academic staff metrics

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Planning & Performance Measurement Division

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# Presentation Overview

- Strategic importance
- Overview of Performance and Development Review (PDR)
- Capture of Academic Workload data
- Use of Academic Workload data
- PDR successes and challenges
- Overview of Statement of Academic Activity (SAA)
- Technical implementation of SAA
- Facilitating data modification
- SAA successes and challenges
- Overview of Academic Performance Modeller (APM)
- APM data sources and potential challenges

# Strategic Importance

“To fulfil our mandate, we must invest in, and insist on, excellence everywhere at ANU. We must be ready to adapt what we do and how we do it wherever our performance is not the best it can be.”

Excerpt from Chancellor and Vice-Chancellor’s introduction to the 2018-2021 strategic plan



# ANU Strategic Plan: Vision

## Vision

- > Contemporary ANU will sit among the great universities of the world, and be defined by a culture of excellence in everything that we do.
- > We will be renowned for the excellence of our research, which will be international in scope and quality, always measured against the best in the world. Our research investment will be strategic, taking a long-term view and focus on high-quality activities, high-impact infrastructure and areas of high national importance.
- > We will be renowned for the excellence of our undergraduate and graduate education: excellence in student cohort, excellence in teaching, excellence in student experience, and excellence in outcomes.
- > We will be renowned for the quality of the contribution our research and education make to societal transformation. We will identify emerging areas of need for the nation and provide research and education that will equip Australia to cope with challenges not yet imagined.
- > ANU research, education and contributions to public policy-making will change Australia and change the world. It will have impact.

# Performance and Development Review

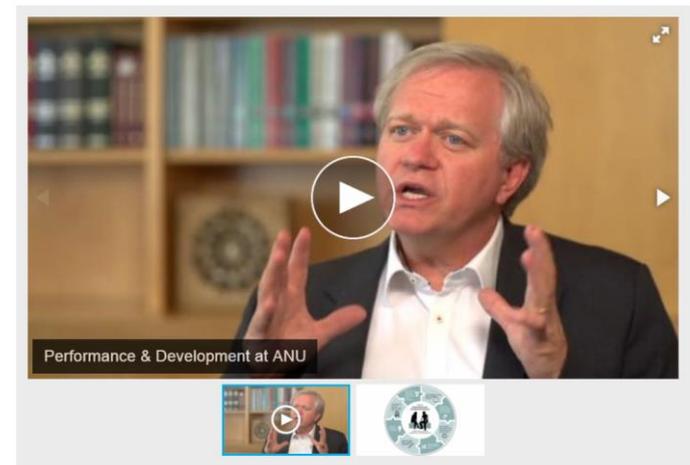
ANU seeks to enable staff to perform at their best to reach their full career potential and thus to maximise their individual contribution to the University.

The PDR ensures staff, their supervisors and managers, have clearly defined performance objectives and expectations consistent with the short and long term priorities of the University.

ANU staff will receive regular feedback on their progress and have personal career development plans, which are regularly progressed, reviewed and updated.

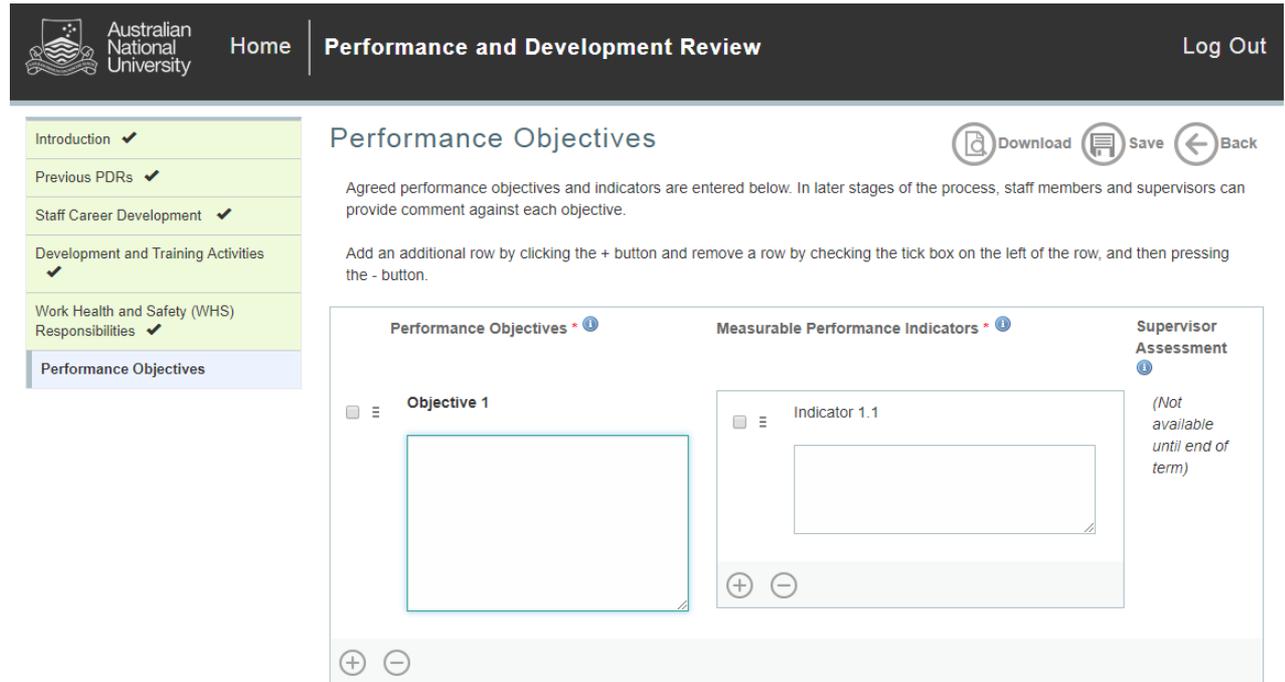
Focusing on what ANU, supervisors and staff members need to succeed.

The PDR normally takes place over a 12 month cycle.



# PDR eForms

- PDR eForms (Intellex Infiniti) support the face-to-face development and review discussions between a staff member and their supervisor.
- The Statement of Academic Activity is an important tool to underpin those discussions between academic staff and their supervisor.



The screenshot displays the Australian National University Performance and Development Review (PDR) eForm interface. The header includes the university logo, navigation links for 'Home' and 'Performance and Development Review', and a 'Log Out' button. A sidebar on the left lists navigation options: 'Introduction' ✓, 'Previous PDRs' ✓, 'Staff Career Development' ✓, 'Development and Training Activities' ✓, 'Work Health and Safety (WHS) Responsibilities' ✓, and 'Performance Objectives' (highlighted).

### Performance Objectives

Download Save Back

Agreed performance objectives and indicators are entered below. In later stages of the process, staff members and supervisors can provide comment against each objective.

Add an additional row by clicking the + button and remove a row by checking the tick box on the left of the row, and then pressing the - button.

**Performance Objectives** ⓘ

Objective 1

**Measurable Performance Indicators** ⓘ

Indicator 1.1

**Supervisor Assessment** ⓘ

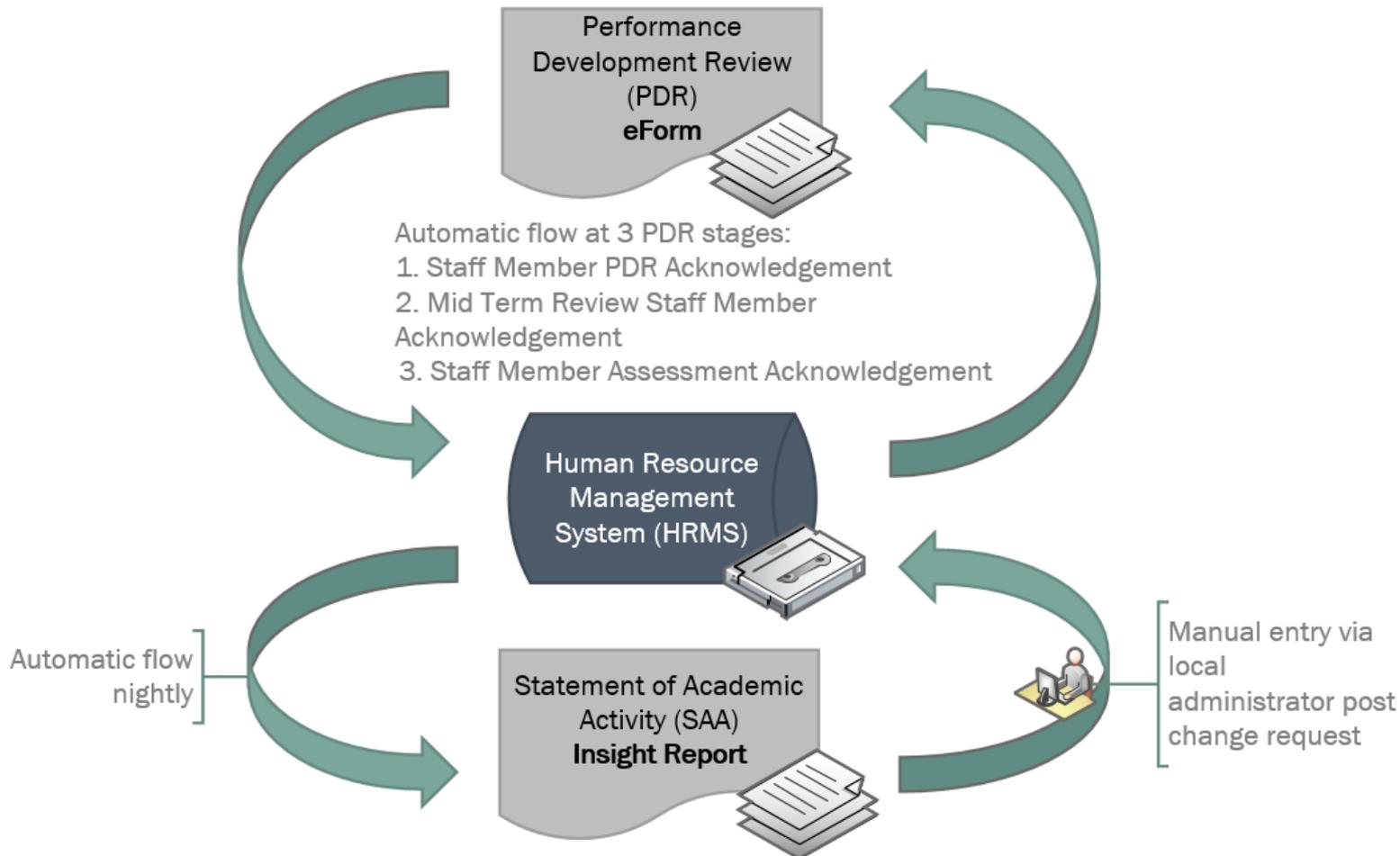
(Not available until end of term)

At the bottom of the main content area, there are '+' and '-' buttons for adding or removing rows.

# Academic Workload Policy

- Each staff member's workload will be allocated in consultation with the staff member, usually as part of the preparation for a Performance and Development review, having regard to the:
  - organisational requirements of the local area;
  - staff member's level of appointment;
  - career and work goals established in the staff member's Performance and Development Review
  - needs of early career academic staff to establish their research profile;
  - importance of maintaining an appropriate balance between work and family life; and
  - annual leave entitlement and the approved leave plans of the staff member.
- Academic workloads for teaching and research staff will ensure a well-balanced portfolio across teaching and related duties, research and scholarship and service.

# Modifying Academic Workload data



# Use of Academic Workload data

- Activity-based Costing
- Transparency in Higher Education Expenditure
- Use individual results:
  - Step 1: Identify amount of research grant income per academic (and calculate this FTE)
  - Step 2: Categorise this income (and equivalent FTE) as “externally funded research”
  - Step 3: Deduct externally funded research from research split of Academic Workload
  - Step 4: Any remaining research workload is categorised “internally funded research”
  - Step 5: “Teaching” and “Service” contributions as submitted
- Apply school averages where workload split data are missing for an individual

# PDR successes

- Removal of paper-based process
- Automated email reminders to staff members and their supervisors
- Increased participation from both professional and academic staff
- Increased visibility around status of individual forms (workflow tracking reports)
- Increased visibility of PDR participation by areas, supervisors and staff (summary and detailed reporting)
- Automation of eForm record storage on each staff file in ERMS.



# PDR challenges

- Some perceptions (and associated fear) among academics that PDR is a process solely for managing underperformance
- Initial technical challenges with eForm 'breakages' when a staff member's supervisory line changed

# Statement of Academic Activity (SAA)

- SAA is one of many tools designed to facilitate and recognise the achievements of staff.
- The statement is used to reflect on an individual's activity, to plan their professional development and to ensure that the institution's data is complete and accurate to make informed decisions.
- The SAA is a useful tool to assist with the two-way engagement that supports the professional development of the academic.
- An additional purpose of the SAA is to validate and improve data collected in University enterprise systems. A set of self-service reports are available to support the validation and clean-up of administrative records.

# SAA

- SAA content includes:
- HR data
- Publications
- Grants
- HDR supervision
- Teaching Data
- Course evaluation results
- Service and Other contributions



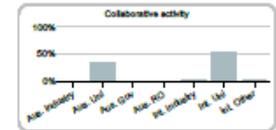
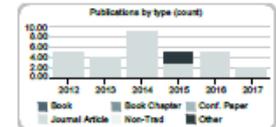
## STATEMENT OF ACADEMIC ACTIVITY

Name: Prof. Oltzow, John University ID: U1111111  
 College: College Current FTE: 1  
 School: School Academic level: Level 5  
 Date commenced: at level: Appointment type: Continuing  
 Latest start date: DDDMMYYYY DOBMMYYYY Highest qualification: Doctorate by research

Worked distribution: Research: 20% Education: 10% Service: 70%

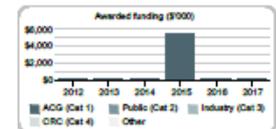
### PUBLICATIONS 2012-2017

HERDC publications	2012	2013	2014	2015	2016	2017	
HERDC Points	1.0	0.8	1.3	1.7	1.0	0.2	
Publication Count	5	4	9	5	5	2	
Book							
Book Chapter							
Conf. Paper							
Journal Article	5	4	9	3	5	2	
Non-Trad							
Other				2			
Collaborative activity	Australia			International			
	Industry	Univ	Gov	R/D	Industry	Univ	Other
% Publications	0.0%	33.3%	0.0%	0.0%	3.3%	53.3%	3.3%



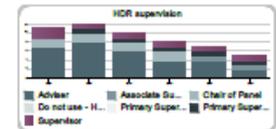
### AWARDED FUNDING 2012-2017

Amount \$'000	2012	2013	2014	2015	2016	2017
AGG (Cat 1)	\$214	\$122	\$132	\$5,399	\$276	\$331
Public (Cat 2)	-	-	-	-	-	-
Industry (Cat 3)	\$93	-	-	\$10	\$10	\$10
CRC (Cat 4)	-	-	-	-	-	-
HERDC total	\$277	\$122	\$132	\$5,409	\$286	\$341
Other	-	-	-	-	-	-
Total funding awarded	\$277	\$122	\$132	\$5,409	\$286	\$341
Grant applications	2012	2013	2014	2015	2016	2017
Successful Count	1	1	0	4	0	0
Unsuccessful Count	1	1	2	2	1	0
Success Rate	50.0%	50.0%	0.0%	66.7%	0.0%	-



### HDR 2012-2017

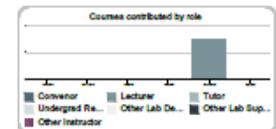
HDR supervision	2012	2013	2014	2015	2016	2017
Chair of Panel	3	2	2	2		
Supervisor	3	1	1	1	1	1
Adviser	7	5	6	4	4	2
Any Capacity	11	12	10	9	7	5



### EDUCATION 2016

Update pending 2017 Teaching Data Collection

Course	Sum 2016	Sem 1 2016	Aut 2016	Win 2016	Sem 2 2016	Spr 2016
Convener						
Lecturer					3	
Tutor						
Undergrad Research Supervisor						
Other Lab Demonstrator						
Other Lab Supervisor						
Other Instructor						



### SERVICE AND OTHER CONTRIBUTIONS

Type	Activity Description	Years
Leadership Roles	Activity described by academic and selected for display on SAA page 1	~~~~~
Leadership Roles	Activity described by academic and selected for display on SAA page 1	~~~~~
Leadership Roles	Activity described by academic and selected for display on SAA page 1	~~~~~
Lecture	Activity described by academic and selected for display on SAA page 1	~~~~~

# Technical implementation of SAA

- SAA components and sources

- Master data sources
- Survey results
- Future expansion

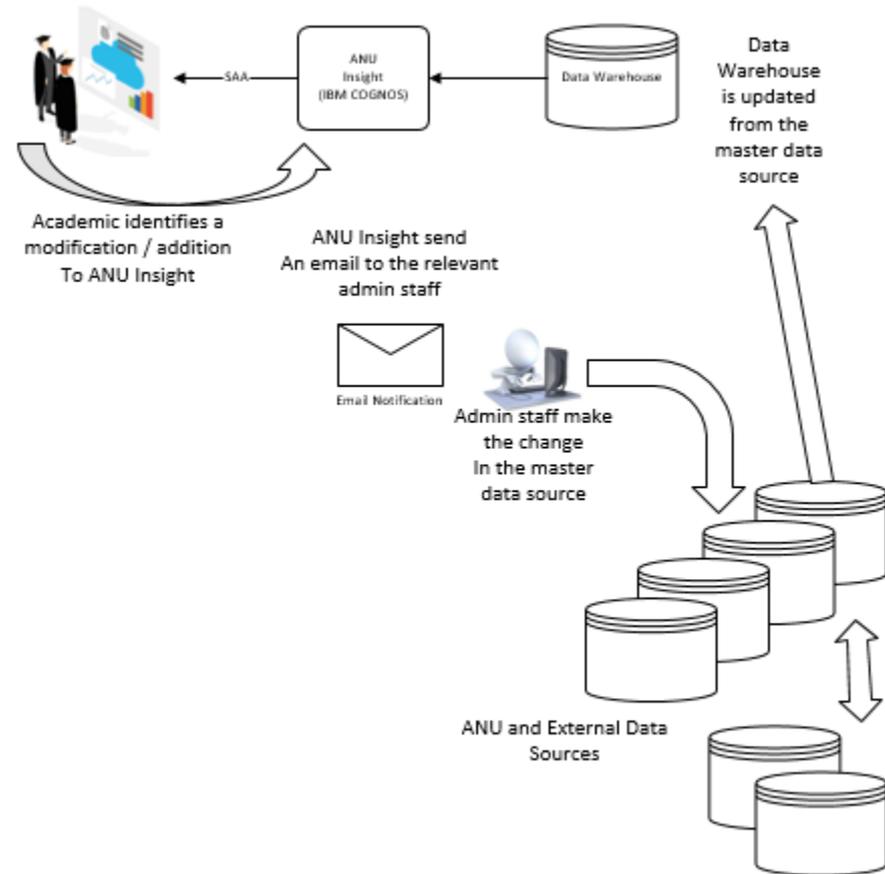
Course						Teaching role		
Year	Term	Course	Mode of delivery	Total enrolments	SELS overall satisfaction % annual time-series	Convenor	Lecturer	Tutor
2016	Second Semester, 2016	BIOL1004 - Biology 2: Mol & Cell Biol	In Person	383	82% 88% 70% 61% 66%			1
		BIOL2174 - Cell Phys Health Disease	In Person	123	84% 97% 84% 83% 80%			1
		BIOL6174 - Cell Physiology	In Person	13	100%			1
2015	Second Semester, 2015	BIOL1004 - Biology 2: Mol & Cell Biol	In Person	378	82% 88% 70% 61% 66%			1

- Supporting reports
  - Data reconciliation
  - My Modification requests
  - Academic access and status
  - Tracking summary report

Name	ID		Sub Name					
	<a href="#">U9204672XPUB564</a>	2015 not 2016		26/06/2017	Information updated in ARIES	1 - 2017	Changed to 2015	<input type="checkbox"/>
	<a href="#">U9204672XPUB566</a>	in press not yet published		26/06/2017	Pending	-		<input type="checkbox"/>
	<a href="#">U9204672XPUB567</a>	in press not yet published		26/06/2017	Information updated in ARIES	1 - 2017	Updated	<input type="checkbox"/>
	<a href="#">U4070761XPUB104</a>	wrong translation of the title (from french): The Ancestor Wood: trees, forests and Kanak precolonial spatial occupation on New Caledonia's main island: case study and anthropological approach in the Tiwaka valley		06/06/2017	Information updated in ARIES	1 - 2017	Research Services have been notified and will amend the record in due course, thanks. - Max	<input type="checkbox"/>

# Facilitating data modification requests

- Data modification requests continue to improve the quality of the enterprise source data.
- The Academic identifies a data quality issue and this is submitted to the system where the source information is corrected.



# SAA successes

- Increased visibility and improved quality of enterprise data:
  - HR academic workload splits
  - Publication data
  - Grants data
  - HDR Supervisor data
  - Teaching data
- Useful for routine data capture/cleansing activities supporting the ERA collections, validating Publications.

# SAA challenges

- Challenges in engagement with SAA:
  - Getting professional staff to actually respond and fix the issues the academics identified
  - Whether use of the SAA was compulsory and what role the academic had in determining its use
  - Fear of punitive use
  - Incomplete picture of all academia
  - Does it incentivise the wrong things?
  - Insufficient data outside of the research dimension
- Low levels of utilisation in some schools, resulting in follow up from Deputy Vice-Chancellor (Research)

# Academic Performance Modeller (APM)

- The APM is a model designed to assist senior ANU management with the management and development of ANU academic staff.
- The information is based on individual academic performance which is then displayed as a collective academic performance of organisational areas.
- The presentation of the model is user-driven and in various configurations; with reports defining the many differing aspects of academic performance ranked against other factors at ANU. This could include comparison between colleges, academic levels, gender and age groups.

# APM Data Sources

- The model is based on ANU source data, supplemented by external sources.



Web of Science



Scopus

Google Scholar

- Future expansion of the model may include additional factors that could be used as part of a recruitment model to ensure ANU are selecting the highest calibre academics.

Rank	Category Normalized Citation Impact	Web of Science Documents	Highly Cited Papers	Times Cited	Average Percentile	% Documents in Top 1%	% Documents in Top 10%	Documents Cited	Affiliation
1	13.04	124	26	8,622	15.18	21.77%	65.32%	117	Australian National Un

# APM Potential Challenges

- Matching citations to University IDs

Name	UID	Category Normalized Citation Impact	Web of Science Documents	% Documents in Top 1%	% Documents in Top 10%
Smith, K. J.	u0000000	2	12	8.33	25
Smith, Kaarin	u0000000	0.63	2	0	0
Smith, Kaarin J.	u0000000	1.32	198	1.01	17.68
Smith, Kaarin Jane	u0000000	1.15	3	0	0
Smith, Kaarin J.	u0000000	0.49	1	0	0

- Differing opinions over the generation of metrics
- Differing metrics per discipline
- Different granularity across benchmarking sources
- Release (security, level, staff perceptions, managing staff fear)
- Areas masking – at college level all looks good, break it up into schools and it will show individual school performance

# Academic Performance Modeller

Australian National University Academic performance Academic model

College

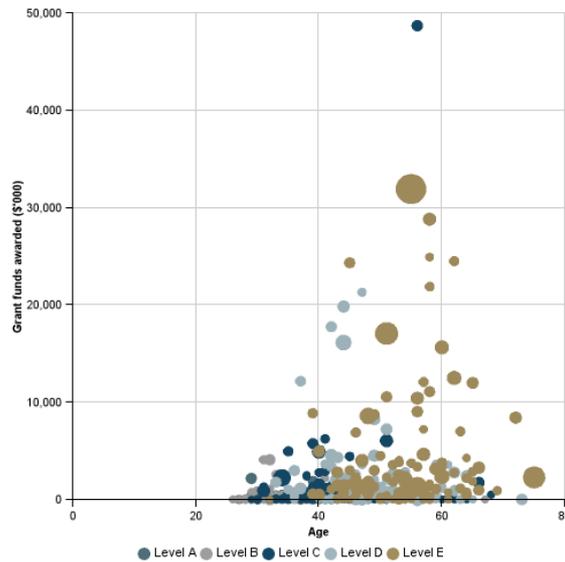
Select A College

Select all Deselect all

School

Select a School

Select all Deselect all



Academic level

Level A  
Level B  
Level C  
Level D  
Level E

Select all Deselect all

Workload

Education/Service  
Research/Service  
Education focussed  
Research focussed  
Balanced  
Service focussed

Select all Deselect all

Age group

<30 Years  
30 - 39 Years  
40 - 49 Years  
50 - 54 Years  
55 - 59 Years  
60 - 64 Years  
> 64 Years

Select all Deselect all

Employment term group

Fixed term - other  
Fixed term <2yrs  
Fixed term >4yrs  
Fixed term 2-4yrs  
Standard - Confirmed  
Standard - Probationary

Select all Deselect all

FTE

Full time  
More than half time  
Half time or less

Select all Deselect all

Service years group

<1yr  
1<3yrs  
3<5yrs  
5<10yrs  
10<20yrs  
>20yrs

Select all Deselect all

Refresh chart

X-axis

Age

Y-axis

Grant funds awarded (\$'000)

Bubble

Publications

Colour

Academic level

Refresh chart

College

Measure\_Name

No measure

Publications

Normalised citations

% Top 1% cited

% Top 10% cited

# Top 1% cited

# Top 10% cited

# WOS documents

Grant funds awarded (\$'000)

HDR supervision

% SELS satisfaction

EFTSL

# Courses

X- Age

Normalised citations

Y-axis

Publications



# Questions

