

**HONG KONG BAPTIST UNIVERSITY
SCHOOL OF COMMUNICATION**

Guidelines for Annual Performance Review (APR)

1. Background

The University has launched a new performance appraisal system for academic and teaching staff, effective from the academic year 2023/24, with the aim to accurately measure academic performance at different levels, identify top performers, encourage more world-leading research outputs, and strengthen the link between performance and reward.

The evidence-based approach which emphasizes a stronger focus on quality, results and impact, introduces a set of assessment parameters, evaluation criteria, and key performance indicators. This document will be regularly reviewed subject to approval by the University.

2. Performance Assessment Weightings

The School follows the performance assessment parameters set by the University. For academic staff, performance is assessed based on three major parameters: research, teaching, and service, with the proposed percentages of 50%, 30% and 20% respectively. For teaching staff, performance is assessed based on the two major parameters: teaching and service, with the proposed percentages of 75% and 25% respectively (Table 1 below).

Table 1

	Academic Staff		Teaching Staff	
	%	APR Points	%	APR Points
Research	50%	50	--	--
Teaching	30%	30	75%	75
Service	20%	20	25%	25
Total	100%	100	100%	100

3. Scoring

The School adopts a 100-point scale for APR for total performance as illustrated below. Calculations for the research category are detailed in Section 6.

A faculty member's total earned APR points are to be converted to the University 20-point scale via this formula: (University) Score = 20 x (Total Earned APR Points / 100). A corresponding qualitative performance rating is assigned based on the Score. An estimated 10% of the faculty members will receive an OS (Table 2 below).

Table 2

Outstanding (OS)	Very Satisfactory (VS)		Satisfactory (ST)		Below Satisfactory (LS)
OS	VS+	VS	ST+	ST	LS
$20 \geq \text{Score} \geq 15$	$15 > \text{Score} \geq 12.5$	$12.5 > \text{Score} \geq 10$	$10 > \text{Score} \geq 7.5$	$7.5 > \text{Score} \geq 5$	$5 > \text{Score} \geq 0$

4. Assessment Criteria for Teaching Performance

Teaching performance is evaluated based on the criteria adopted by the UGC for its Teaching Awards:

- i. Adoption of learner-centered approaches, ability to engage/inspire/create an impact on students, and demonstration of superior acumen in teaching;
- ii. Course/program/curriculum design that can reflect a command of the field; and
- iii. Past/present achievement(s) and leadership in teaching and potential scholarly contribution to and impact on the development of effective teaching practice within the appraisee's university and/or in other institutions.

The following indicators may be considered when scoring faculty members' teaching performance. They are based on the School's established norms and are consistent with criteria required for UGC Teaching Awards. These include, but are not limited to, any combination of:

- Evidence of teaching excellence from students' responses to Course Feedback Questionnaire;
- Changes made on teaching (contents, assessment, delivery mode, use of new technologies, etc.) in response to student feedback; as well as students' performance in assessment and external feedback from community partners;
- Participation in staff development activities in teaching and learning (e.g., sharing pedagogy at the University's Centre for Holistic Teaching and Learning or teaching conferences, Higher Education Academy fellowships);
- Participation in curriculum, programme/course planning or revisions;
- Industry collaboration and/or engagement with practitioners in teaching and learning (e.g., inviting guest speakers from the industry);
- Internal and external recognition in teaching and learning (e.g., awards, grants in teaching and learning);
- Teaching or pedagogy initiatives and/or scholarly work on teaching and learning (e.g., Teaching Development Grants, Communities of Practice, publications, talks);

- Impact of teaching and learning on students or community.

Faculty members are not expected to excel in all three UGC criteria or provide evidence for all indicators of good teaching to receive a “Satisfactory” or above rating in teaching performance. In deciding the indicators and their relative importance in the evaluation of teaching performance for colleagues, the School considers the faculty member’s (a) rank, with senior staff expected to make more contributions in the second and third criteria of the UGC, (b) assigned administrative duties, (c) teaching load, and (d) stage of career.

5. Assessment Criteria for Service Performance

For the evaluation of performance in service, both categories of internal and external service are recognised. Reference is drawn from the criteria for the President’s Award for Outstanding Performance in Service of the University.

- Internal service* is rendered to the Department, School, and University through taking up academic and administrative leadership positions conducive to the growth, development, and prosperity of the Department, School, and University.

When evaluating performance in internal service, the School especially recognises faculty members’ willingness to serve and organisational citizenship behaviours, which refer to their voluntary commitment and constructive contributions to the Department, School, and University.

- External service* is rendered to other academic institutions, public or professional organizations or the community at large which has resulted in creating (a) impact through knowledge transfer, collaboration and exchange between the university and other academic institutions or the wider community; and (b) a rise in the esteem and academic standing of the university through activities such as editorships in reputable journals, fellowships or honours from professional bodies or prizes in prestigious competitions.

When evaluating performance in external service, the School’s expectations vary according to rank and seniority, with more senior staff expected to contribute at higher levels.

6. Assessment Criteria for Research Performance

Research performance accounts for 50% of the total APR points. Table 3 below shows the breakdown of the three categories stipulated by the University.

Table 3

Research Performance (RP)			
	% under RP	% of total APR	APR Points
Research Outputs	60%	30%	30*
External Income	30%	15%	15
PhD Supervision[†]	10%	5%	5
Total	100%	50%	50

* A surplus of up to 10% of the points for research performance (i.e., 5 APR points) is awarded to encourage quality research outputs. That is, up to 35 APR points for research outputs are possible. Articles in journals categorised as A+, A, and B, and/or books by publishers categorised as A+ and A are eligible for surplus points. Surplus points may not be carried over for next review year(s).

[†] PhD supervision is not applicable for newly appointed academic staff in their first year. The first-year assessment criteria for newly appointed academic staff are research outputs (67%) and external income (33%) only.

6.1 Calculating APR Points for Research Outputs (RO)

A maximum of four outputs within two years is considered, subject to a minimum of one output per year. Faculty members are allowed to carry over one output from the previous year and have it counted again in the present year, provided that: (a) the output is either still in press or published within two years from 30 June of the present year, and (b) the faculty member did not carry over any output in the past two years.

The School calculates the APR points for RO based on the following formula:

Total APR (RO) = Pub1APR + Pub2APR + Pub3APR + Pub4APR (up to 35 points)
 where PubAPR = journal/publisher APR Points of the Pub x authorship percentage

Rules for calculation:

- APR points for journal articles and books/chapters are calculated based on the classification of scholarly journals and book publishers using a tiered system (Table 4 below). To avoid confusion, the School refrains from using the RAE system of quality ratings (i.e., 4*, 3*, 2*, and 1*) as journal outlets and book publishers are not direct research quality measures used in the RAE system.
- Scholarly journals are classified in four tiers: A+, A, B, and C (see Appendix 1).
- Book publishers are classified in three tiers: A+, A, and B (see Appendix 2).

- iv. Articles in C-category journals and chapters in books by B-category publishers may contribute up to 5 APR points per year.
- v. As a book is counted as two outputs, faculty members may claim a maximum of two chapters of the same book toward their research outputs for APR.
- vi. For authorship, sole authorship automatically earns 100%. Faculty members can claim a reasonable percentage of a co-authored research output as the first, equal, corresponding, or supporting author, based on their contributions to the ideas, work, writing, and stewardship of the output in relation to the number of co-authors involved. Co-authorships of a publication claimed among colleagues must not exceed 100%.
- vii. Sole authorship of an A+ journal article or book is automatically awarded 5 surplus points, and lead authorship of an A+ journal article or book may claim up to 3 surplus points, if the annual 5 surplus points are not used or used up.

Table 4

Rankings	Journal APR Points (Appendix 1)	Book APR Points (Appendix 2)	Book Chapter Points (Appendix 2)
A+	15	30	15
A	13	26	8
B	8	16	4
C	4	--	--
Others	0	0	0

6.2 Calculating APR Points for External Research Income

Research income takes up 30% of research performance or 15% of the total performance, which is the equivalent of 15 APR points (Table 5 below).

Table 5

External Funding Amounts*	University Score	APR Points
HK\$300,000 or above	5	15
HK\$150,000 to HK\$299,999	2	6
HK\$50,000 to HK\$149,999	1	3
below HK\$50,000	0	0

Funding from various external sources, such as the RGC (including the Hong Kong PhD Fellowship Scheme), other government agencies, non-profit organisations, and corporations, may be counted. External consultancy income, contract research, and

donations are counted if the outcomes of the funded project are non-proprietary (i.e., publicly accessible). Mainland grants under the control of the Principal Investigator or those transferred through the Institute for Research and Continuing Education are counted.

The University stipulates that only the actual amount allocated to HKBU is counted regardless of the roles of Principal Investigator, Co-Principal Investigator or Co-Investigator. A principal investigator can claim 100% of the actual funds that the University is allocated. If the Principal Investigator and any Co-Investigator are from the University, they should agree on the amount to be claimed by each individual. Double counting is not allowed in any circumstances.

Faculty members may report the awarded funding amount in a lump sum for one year or split the amount across multiple years over the duration of the funding period. RGC funding under the General Research Fund, Early Career Scheme, or Humanities and Social Sciences Prestigious Fellowship Scheme reported in the entire sum for one year is awarded the full 15 APR points regardless of the amount awarded.

6.3 Calculating APR Points for PhD Student Supervision

The University allocates 10% of research performance to PhD student supervision, which translates to 5% of total performance or 5 APR points. PhD student supervision consists of the number of students who are currently under the supervision of the faculty member as the principal supervisor and the number of students who graduated in a given year. Since the full-scale inception of the current annual performance review scheme was not in place until AY2023/24, the School resolves to use annual supervision and graduation as the performance parameter rather than graduation rates for the past three years as suggested by the University (Table 6 below).

Table 6

Total number of PhD students supervised / graduated	APR Points
$n_S + n_G \geq 2$	5
$2 > n_S + n_G \geq 1$	2
$n_S + n_G = 0$ with contribution to PhD supervision	0-1

Notations and rules for calculation:

- i. n_S = Number of PhD students under supervision in the appraisal year

- ii. PhD students within the normal study period or a maximum of 5 years are eligible for inclusion for PhD supervision APR points. n_G = Number of PhD students who graduated in the appraisal year
- iii. For the past three years, the Means of total PhD students within the normative period divided by total eligible faculty members ranged from .79 to 1.35. Thus, supervising two PhD students, or the sum of 2 from PhD students supervised plus those having graduated, receives full APR supervision points.
- iv. When eligible faculty members have no PhD students under their supervision or who have graduated in a given year, they may receive 1 APR supervision point when they contribute to the supervision of PhD students in other ways, such as co-supervising PhD students, writing qualifying examination papers, and chairing or serving as a member of doctoral oral examination committees or prospectus panels.
- v. Supervision of MPhil students as a principal supervisor that commences within the first three-year contract for Assistant Professors is counted as being equivalent to supervision of PhD students for a maximum of three years.
- vi. Supervision of PhD students affiliated with the HKBU-UIC Joint Institute of Research Studies is eligible for PhD supervision APR points.

7 Calculation of Total APR Scores and Receiving Qualitative Assessments

Refer to Section 3 for calculating the total APR scores and converting the scores into the University's performance ratings.

8 Review

If a faculty member has reason to believe that the points attached to a specific output based on the prevailing journal/publisher tiers (see Appendices 1 and 2) understate the output's quality, they may approach the Research and Development Committee (RDC) for recalibration.

The RDC's Publication Panel will consider whether the journal or book publisher merits inclusion (if it is currently unlisted) or up-ranking (if it is present but not highly tiered). If the Panel sees no need to add/up-rank the journal/publisher, or has insufficient evidence to decide in time for that year's APR, it may recommend the output in question to be scored by external assessor(s) invited by the Dean at the Dean's discretion. The external assessment may be higher than, the same as, or lower than the APR points for the tier of the journal/publisher. Regardless of outcome, this result will be final.

Appendix 1

Hong Baptist University School of Communication

List of Peer-Reviewed Journals for Research Performance Appraisal

A+	<p>Criteria: Distinguished journals that are widely recognized to publish the best scholarly works in the discipline. These are the distinguished journals in the communication discipline recognized by the School[†]:</p> <p>Journal of Communication Communication Research Human Communication Research Communication Theory Communication Methods and Measures</p>
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[†] Each of the distinguished journal listed welcomes qualitative and quantitative scholarship across a broad range of subfields within the communication discipline. The above list accounts for empirical, theoretical, and methodological works.

A	<p>Criteria: A highly selective[‡] journal with an impact factor (either 2-year or 5-year) ranked at Q1 of any SSCI, SCIE, or AHCI category, or the following leading journals that publish the best works in a field of expertise or research area as A journals*:</p> <p>Journalism (Journalism) Journalism Studies (Journalism) Health Communication (Health communication) Journal of Health Communication (Health communication) Management Communication Quarterly (Organizational communication) Journal of Applied Communication Research (Applied communication) Public Understanding of Science (Science communication) Environmental Communication (Environmental communication) Journalism & Mass Communication Quarterly (Mass communication) Journal of Broadcasting & Electronic Media (Mass communication) Mobile Media & Communication (Mobile communication) Media, Culture, and Society (Media studies) Television & New Media (Media studies) Feminist Media Studies (Critical/cultural studies) Journal of Personal and Social Relationships (Interpersonal communication) Chinese Journal of Communication (Chinese media and communication studies)</p>
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[‡] Open-access journals (titles published by the likes of MDPI, BMC, Frontiers, and Hindawi) that rely on article processing charges as their primary source of income and do not include the originality and significance of the research in their acceptance criteria are not deemed to be highly selective journals irrespective of their impact factor.

* Additions or removals from the list of A journals in a field of expertise or research area represented within the School regardless of impact factor rankings will be endorsed by a publication panel of the Research and Development Committee (RDC).

B	<p>All other journals that are indexed in SSCI, SCIE, or AHCI, or with a CiteScore at the 90% percentile of Scopus subject area such as:</p> <p>International Journal of Communication International Journal of Strategic Communication Journal of Interactive Advertising Journalism & Mass Communication Educator</p>
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C	<p>Journals that are indexed by ESCI or have a CiteScore below 90% percentile. Examples: <i>Journal of Family Communication</i>, <i>Global Media and China</i>, <i>Young Consumers</i>.</p> <p>Refereed journals that are affiliated with a reputable academic association but are not indexed by Web of Science or Scopus. Examples: <i>Qualitative Psychology</i>, <i>Technology, Mind, and Behavior</i> (APA journals)</p> <p>Other refereed journals as supported by evidence that the publication was accepted based on substantive peer review. For example: <i>Online Media and Global Communication</i>.</p>
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General exclusions:

- Publications in preprints and repositories, including but are not limited to, those with public peer-reviews.
- Publications in predatory journals (i.e., entities that prioritize self-interest at the expense of scholarship and are characterized by false or misleading information, deviation from best editorial and publication practices, a lack of transparency, and/or the use of aggressive and indiscriminate solicitation practices). A list of suggested predatory journals can be found at <https://beallslist.net/> Note: this list provides a good indication of whether a journal is predatory, but it is neither exhaustive nor endorsed by the School.
- Publications that do not entail research or theory explication such as editorial introductions, book reviews, and software reviews.

Appendix 2

Hong Kong Baptist University School of Communication

Criteria and list of Book Publishers for Research Performance Appraisal

Additions or removals of publishers in any category will be endorsed by a publication panel of the Research and Development Committee (RDC).

A+	Cambridge University Press Columbia University Press Harvard University Press MIT Press Oxford University Press (incl. Clarendon) Princeton University Press Stanford University Press University of California Press University of Chicago Press
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A	Bloomsbury* (incl. Duckworth; Hart; T&T Clark; Zed Books) Brown University Press Brill Cornell University Press Duke University Press Elsevier* (incl. Butterworth Heinemann) Harper Collins / Harper & Row* (incl. Allen & Unwin) John Hopkins University Press Kluwer* New York University Press Palgrave Macmillan (incl. St Martins' Press) Penguin / Random House* (incl. Alfred A Knopf) Polity Press Routledge / Taylor & Francis* (incl. CRC/Dekker; Frank Cass; Psychology Press) Rowman and Littlefield (incl. Lexington Books) Sage* Springer* University of Michigan Press University of Pennsylvania Press University of Toronto Press Wiley-Blackwell* Yale University Press
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* These publishing houses operate by different trading names and brands, which are treated as equivalent unless otherwise specified.

B	Aalborg University Press Amsterdam University Press Arhus University Press Arizona University Press Ateneo de Manila, University Press
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	<p> Australian National University Press Basic Books / Seal Press Bath University Press Beacon Press Berg Publishers Berghahn Books Black Inc Press Bonn University Press Bruylant Charles Scribner China Social Sciences Press Chinese University of Hong Kong Press Chuliu Publisher City University of Hong Kong Press CNRS Editions Commercial Press (Hong Kong) Communication University of China Press Curzon Press De Gruyter Earthscan Edinburgh University Press Edward Elgar Federation Press Fudan University Press Gadjah Mada University Press Hong Kong Baptist University Press Hong Kong University Press Hurst IIED (International Institute for Environment and Development) Indiana University Press Island Press John Benjamins Jossey-Bass Karthala Editions Left Coast Press Leiden University Press Lit Verlag Liverpool University Press London Academic Publishing Lynne Rienner M E Sharpe Manchester University Press Manohar McGill–Queen's University Press Melbourne University Press Methuen National University of Singapore Press NIAS Press Nomos Verlagsgesellschaft Nordicom </p>
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	<p> Nova Science Publications Ohio State University Press Pearson Peking University Press Pennsylvania State University Press Permanent Black Peter Lang Pluto Press Rüdiger Köppe Verlag Russell Sage Foundation Rutgers University Press Seoul University Press State University of New York Press Stockholm University Press Syracuse University Press Tilburg University Press Tsinghua University Press UNESCO University of Arizona Press University of British Columbia Press University of Cape Town Press University of Hawaii Press University of Illinois Press University of Massachusetts Press University of Minnesota Press University of New Mexico Press University of New South Wales Press University of Ottawa Press University of Queensland Press University of Tennessee Press University of Texas Press University of the Philippines Press University of Washington Press Verso W.W. Norton White Rose Press Witwatersrand University Press World Bank </p>
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General exclusions:

- Reprinted publications, including, but not limited to, translation of a book, reproduction of a journal article as a book chapter, revised/new edition of a book or book chapter with no new material, hard/soft cover or electronic version of a book, and so on.
- The editorial introduction, preface, forward, or afterward chapter/section of a book may not be claimed as a book chapter for annual performance review.
- Publications that do not entail research or theory explication such as textbooks or instructional manuals.

Other points to note:

- Faculty members may not claim an edited book (i.e., with chapters written by multiple authors or most of the chapters not authored by the faculty member) as a research output for annual performance review.
- If faculty members have authored chapters (other than the types excluded above) in their edited book, they may claim up to two chapters for annual performance review.
- All faculty members may maximally claim two chapters from the same book for annual performance review.
- Books marketed or reprinted but not originally published by a given publisher may not be treated as published by the said publisher.