

IN THE FAIR WORK COMMISSION

Fair Work Act 2009

s.156 - Four Yearly Review of Modern Awards - Education Group

HIGHER EDUCATION INDUSTRY - ACADEMIC STAFF - AWARD 2010 (AM 2014/229) and HIGHER EDUCATION INDUSTRY - GENERAL STAFF - AWARD 2010 (AM 2014/230)

WITNESS STATEMENT OF PROFESSOR MARNIE HUGHES-WARRINGTON

I **PROFESSOR MARNIE HUGHES-WARRINGTON** of The Australian National University, Acton, Australian Capital Territory, Deputy Vice-Chancellor (Academic), STATE as follows:

1. I am the Deputy Vice-Chancellor (Academic) (**DVCA**) at The Australian National University (**ANU**).
2. I make this statement in respect of claims made by the National Tertiary Education Union (**NTEU**) on 11 March 2016 for proposed variations to the Higher Education Industry - General Staff - Award 2010 (**General Staff Award**) and the Higher Education Industry - Academic Staff - Award 2010 (**Academic Award**).
3. I have been provided with a copy of extracts of the NTEU submissions. The matters set out in this statement respond specifically to the following parts of the NTEU submissions:
 - (a) Part A and the proposed variation to include a new clause 22 - Hours of Work in the Academic Work which seeks lengthy and detailed regulation of hours and overtime payments for Academic work for academic staff (**Academic Hours of Work Claim**);
 - (b) Part B and the proposed variation to provide casual academic staff with:
 - (i) a payment for "Policy familiarisation" (**Reading Policies Claim**); and
 - (ii) a payment to "maintain currency in the employee's discipline and relevant pedagogy" (**Discipline Currency Claim**);
 - (c) Part C and the proposed variation to amend clause 18 - Classification of Academic Staff in the Academic Award, to varying the existing provisions that states the "*MSAL will not be used as a basis for claims of re-classification*" by providing that in the absence of a bona fide promotion system, academic employees "will be classified at the classification for which the MSAL best describes the work of the employee" (**MSAL Claim**); and

(d) Part E and the proposed variation to amend clause 23 - Overtime in the General Staff Award to impose an obligation on employers to "*take reasonable steps to ensure that employees are not performing work in excess of ordinary hours of work or outside the spread of hours..., except where the work has been authorised and compensated...*" through the payment of overtime or time off instead of overtime **(GS Overtime Claim)**.

4. I make this statement in support of the position of the Group of Eight Universities (**Go8**), which comprises the University of Western Australia, University of Adelaide, University of Melbourne, Monash University, Australian National University, University of New South Wales, University of Sydney and University of Queensland. The Go8 are recognised as research intensive Universities.

Employment and knowledge of the University and the sector

5. I have held my current position as DVCA since 8 February 2012 when I commenced employment with the ANU. In my current role I have responsibility for the development, delivery and review of all educational matters, including the curriculum and co-curriculum, e-learning, and staff development in teaching.
6. Prior to my employment at the ANU, I was Pro Vice-Chancellor (Learning and Teaching) at Monash University from 2009 until 2012. In this role I had oversight for curriculum, e-learning and the creation and implementation of education focused roles across ten campuses in four countries (Australia, South Africa, Malaysia and China). From 2006 until 2011 I was Associate Dean (Education) and Chair of the University Education Committee at Macquarie University. In this role I had responsibility for the renewal of all educational policies and procedures, including those relating to academic promotion.
7. Prior to that time I have held a number of academic positions and have been an academic for 21 years.
8. A copy of my Curriculum Vitae is attached to this statement and marked "**MHW-1**".
9. In my capacity as DVCA at ANU I have served as chair of the University's promotion committee in 2014 and again now in 2016, in rotation with the Deputy Vice-Chancellor (Research). In 2014, I led an extensive review, consultation process and rewrite of the University's academic promotion policy and procedures, including the provision of examples of indicators of contribution to education, research and service and academic standing at all levels. That activity included benchmarking comparison against the promotion procedures at other Go8 universities. In 2016 I have sought further feedback on the promotions policy and procedures and made more minor adjustments. I have served on the local promotions committees at the College of Arts and Social Sciences (2013 and 2014) and the College of Asia and the Pacific (2015), to ensure that my institutional level insights are backed up with a

detailed appreciation of achievements across a range of disciplines. I was also the lead for the development of the schools review policy for ANU, and am responsible for its implementation across 52 academic units, including the provision of reports that capture research and education activity and output measures.

10. I currently serve on the Academic Promotions Committee for the University of South Australia and have done so since 2014. I also previously served on the Academic Promotions Committees for The University of Adelaide (2014, 2015) and the University of Tasmania (2015). I am also currently working with Trinity College Dublin to improve research contributions and impact. Further, I am on the ANU's advisory board of edX, a global consortium of 46 universities, with a further 43 universities and not for profit institutions, that deliver e-learning courses to over 5 million students per year.
11. My extensive experience in these leadership roles, including across various universities both nationally and internationally, as well as an academic means that I am very familiar with, and have a great understanding of, the requirements, structure and regulation of academic work.

Issues and problems with the NTEU Claims

12. There are significant difficulties and problems with the NTEU claims.
13. At a general level they seek to impose greater restrictions and introduce new entitlements and regulation that would increase costs and reduce flexibility in an environment where universities are facing either flat or declining government funding and increased international and domestic competitive threats from providers that are not presently subject to the same industrial restrictions and will not be subject to the additional restrictions and entitlements now sought to be imposed by the NTEU in the higher education awards. Universities more than ever need to increase flexibility in relation to its staffing, increase research outputs and contain costs.
14. The Academic Hours of Work Claim is:
 - (a) inconsistent with the nature of academic employment;
 - (b) is inconsistent with the nature of academic work, particularly research, which is not and cannot be meaningfully allocated or determined in hours;
 - (c) is inconsistent with academic work and activities being largely self-directed;
 - (d) is inconsistent with academic culture and the vocation of being an academic;
 - (e) is complex and unworkable;
 - (f) would likely be divisive and undermine relationships of trust within the academy;

- (g) will undermine innovation and lead to reduction in international attractiveness for academics;
- (h) would impose a need for legal compliance with provisions where compliance could not readily be determined or assessed and the practical impact would be to require recording of time and attendance; and
- (i) would impose a very significant regulatory burden and lead to increased costs in respect of systems, staffing and other costs.

15. I expand on some of these matters below.

Increasing international and domestic competition

- 16. ANU and other universities in Australia compete in an increasingly competitive international and domestic higher education environment.
- 17. We compete for leading academic talent and researchers globally and compete for international students and compete for Commonwealth funding for research.
- 18. Australia's higher education industry is commonly reported as Australia's second largest export industry. To a significant extent this relies upon the standing and reputation of the relevant Australian universities, particularly based upon their research output and global rankings and there is a constant focus on the need to have international standards of research and to support and encourage innovative research and academic effort.
- 19. All of the public Universities in Australia are not-for profit organisations re-directing any "profit" into facilities, research and education activities of the University.
- 20. The Universities are predominantly funded from:
 - (a) Commonwealth Government Funding, (CGS and HECS) based upon numbers of domestic students;
 - (b) International Student Fees;
 - (c) Research Grant funding in the form of:
 - (i) competitive grants from funding from Commonwealth research bodies, including the two main bodies, being the Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC); and
 - (ii) Fellowships from those funding bodies, which fund a particular fellow for a certain period of time (usually 3 years).

- (d) Specific Government grants tied to particular capital or other projects; and
 - (e) Other sources of funding including investment revenue, contract research fees, donations/bequests and similar funding.
21. In recent years there has been a degree of deregulation in relation to funding, together with a rise in on-line education providers both domestically and globally. As part of the deregulation, a variety of institutions and other providers of education in Australia (who have little or no research costs) have had greater capacity to access the same level of commonwealth funding per domestic student and to offer commonwealth supported places (**CSP**).
22. I am informed by Dr Nadine White (Executive Director, HR at ANU) that many of those institutions and providers are not subject to the Higher Education Awards, have much less restrictive terms and conditions and that the awards applicable to their employees, including in respect of academic teachers, are not the subject of applications to regulate their academic work activities and hours, nor do they include claims for discipline currency or policy familiarisation. This will only make competition with such institutions and providers (including for CSP) more challenging for Universities, particularly the research intensive Go8 Universities.
23. In addition to increased competition, the policy landscape for University funding is also currently unclear, with it being a live issue for Universities to respond to proposals to reduce Commonwealth funding further. If funding is further reduced, this will likely increase the costs for students, without increasing the funding available to Universities, and is likely to result in increased challenges to attract and retain students and less overall funding.
24. The above matters contribute to a need for Universities to be able to attract, support and retain the best researchers in Australia, to be increasingly flexible in academic staffing and to avoid increases in costs of delivery of courses to students. This will be necessary if the Universities in Australia are to remain competitive, sustainable and to produce innovative research.

Academic Staff at ANU

25. At the ANU, academic staff are engaged on a continuing and fixed-term basis as well as on a casual sessional basis and can be engaged in teaching and research roles, teaching only or research only roles.
26. I am informed by Nadine White that based on the data that the ANU reports to the Australian Government Department of Education and Training (**DET**), the total number of academic staff at the ANU for 2015 was 1,606.9 FTE for continuing and fixed-term staff and the provisional data for 2015 for casual sessional staff is 282.2 FTE. I am informed by Nadine White that DET do not publish actual casual data until August the following year (i.e. 2015 data will be

published in August 2016). These figures are spread across the different work functions as follows:

Employment Type	Work Function	FTE
Continuing and Fixed-Term	Other	50.7
	Research Only	684.9
	Teaching and Research	862.6
	Teaching Only	8.6
		Total: 1,606.9
Casual Sessional	Other	79.9
	Research Only	1.2
	Teaching and Research	1.8
	Teaching Only	199.3
		Total: 282.2

The Nature of Academic Work

27. Academic work for a teaching and research academic is generally made up of 3 components:
- (a) research / creative activity;
 - (b) education / teaching; and
 - (c) service and outreach (and leadership at the senior levels - Level D and E).
28. Research only staff may not undertake any education/teaching or very limited education/teaching. Similarly, teaching only academic staff (who are more commonly casual sessional academics) do not undertake the research/creative activity component and are generally focused on delivery of teaching rather than creation of course architecture.
29. The classification levels for academics are based upon their academic standing and achievements and are also differentiated by a number of factors including the level of complexity of the work, degree of autonomy, the leadership requirements of the position and the level of achievement of the academic. Similarly, the responsibilities of academic staff may also vary according to a number of factors such as:
- (a) the specific requirements of the institution to meet its objectives or mission;
 - (b) the different discipline requirements;

- (c) the different institutional student cohort;
 - (d) the different institutional research partnership profiles; and/or
 - (e) individual staff development goals and career expectations.
30. As noted in the Minimum Standards for Academic Levels (**MSALs**) set out in Schedule 4 of the Australian National University Enterprise Agreement 2013-2016 (**ANU EA**) the MSALs provide guidelines for the nature of duties to be undertaken by an academic staff member. The Levels range from Level A to E (inclusive) for teaching and academic staff as well as for research academic staff (which includes creative disciplines). A copy of Schedule 4 of the ANU EA is attached to this statement and marked "**MHW-2**".
31. An academic appointed to a particular level may be assigned and may be expected to undertake responsibilities and functions of any level up to and including the level to which the academic is appointed or promoted. For example, a Level E may be engaged in tutorials but is probably less likely to do so. A Level B or C may teach honours student seminars but is generally less likely to do so than at Levels D and E. Institutional practice will also vary.
32. Most academic activities other than teaching and assessment related duties are not "assigned" as such. For instance, an academic at any level may be appointed as editor of an academic journal and such an appointment would normally enhance promotion prospects. But usually the employing Universities will have no influence in the appointment as editor (which is a matter determined by the Journal, editorial board or publisher).
33. Academic work is largely self-directed and autonomous. This is reflective of the highly skilled nature of the profession and the work being performed. Consistent with this, academic staff (excluding casual academics) are paid an annual salary and hours and location are not required to be recorded or monitored. Academic staff are not required, nor would be willing to complete timesheets for hours worked or attendance. They largely self-manage their work other than specific hours that they are required to:
- (a) teach;
 - (b) attend student consultation meetings and/or be available for student consultation;
and
 - (c) attend "mandatory" University meetings, such as staff meetings.
34. Teaching contact hours are specified because of funding requirements (fees for equivalent full-time student load (**EFTSL**), with EFTSL suggesting hours) but those hours vary to reflect disciplinary differences. In the case of duties like student consultation hours, the rule of thumb is that staff make themselves available for 1 hour per week. However, staff are able to engage in other work during this time if no students present for advice. In relation to attendance at

"mandatory" University meetings, such meetings typically occur monthly. However, such meetings are not strictly mandatory but rather staff are expected to attend unless it coincides with other commitments such as teaching.

35. In relation to allocated teaching hours, there are many factors that contribute to the variation in teaching contact hours undertaken by academic staff. These include things such as the area of discipline, student enrolments, the academic staff member's stage of career, experience and performance development goals.
36. The specific hours that academic staff are required to do, as described above, particularly the allocated teaching hours, are generally performed during the teaching periods of the University. At the ANU, the teaching period primarily involves two 13 week semesters each year.
37. Outside those activities, the nature and extent of the research performed, how that is undertaken, locations at which work is performed, attendance at the University, hours of work undertaken and activities are determined by the academic staff member themselves.
38. During non-teaching periods, apart from duties relating to assessment and marking at the end of each semester, academic staff are able to undertake research and service and outreach activities and can do so in their own time and at their own pace and can do so at home or any other location rather than on campus if they wish. The hours of academic staff are therefore very flexible. This flexibility, independence and ability to self-manage their work and time is both reflective of the nature of academic work and valued highly by academic staff. It is an integral part of academic employment and the trust in the academic cohort.
39. Academics also commonly attend conferences—domestically and overseas—and liaise with other academics within the University and at other Universities whether as part of formal research collaborations or more generally as scholars, sharing ideas, information and supporting each other. Academic staff also have the capacity to undertake paid outside studies programs (OSP) typically for periods of 6 months and generally travel overseas as part of their employment with the University which is paid for by the University (including their salary) including to visit other Universities and colleagues, potentially collaborating on projects or more generally sharing information. During such periods they do not typically undertake teaching or other duties for the University.
40. In relation to research, it is largely meaningless to talk in terms of hours or typical hours or even average hours that a competent academic would take. The nature of academic research is that academic staff are engaged in research questions and activities that evolve and develop. The particular question being answered and how the researcher will go about answering it or pursuing a new area of knowledge is determined by the researchers and will vary significantly, not only across disciplines, but within disciplines and across competent researchers.

41. In relation to ARC and NHMRC fellowships and particular grant funded research undertaken by academic staff, the research activities to be performed are guided by the proposal in the grant application and the academics are required to undertake that program of research within the timeframe specified in the grant. The University is required to administer the funding provided by the granting body (NHMRC or ARC) in accordance with the relevant funding agreement signed between the Commonwealth and the administering University.
42. Research activities and the product of those research activities can, and often do, span more than a year and develop over several years.
43. The concept of recording or limiting hours of work that an academic can perform including their research and self-directed work or to pay overtime for teaching and research academics is not part of any academic employment worldwide that I am aware of and certainly forms no part of the concept of academic employment in the UK, US or Australia.

Academic Workloads

44. Academic workloads for academic staff at the ANU (as well as at most other Go8 Universities) are regulated through various allocation mechanisms and workload models. The clauses are principles based and are centred around a discussion between the staff member and relevant supervisor or head of department and mechanisms to allocate teaching and teaching related activities in a fair and equitable manner. It is a determination based upon the particular circumstances of the individual. The focus of allocation of academic activities by the University is around the allocation of teaching and teaching related activities.
45. At the ANU, clause 52 of the ANU EA deals with workloads. An extract of clause 52 of the ANU EA is attached to this statement and marked "**MHW-3**". In summary, clause 52 provides that:
 - (a) workloads are to be allocated in an equitable, transparent and sustainable manner in consultation between the staff member and their supervisor (usually as part of the preparation for a Performance and Development Agreement) taking into account a number of factors including the health and safety of the staff member, the organisational requirements of the local area, the staff member's level of appointment and stage of career, as well as work-life balance;
 - (b) in relation to academic workloads specifically:
 - (i) academic workloads for teaching and research staff will ensure a well-balanced portfolio across teaching and related duties, research/creative activity and scholarship and service. It is expected that all non-casual academic staff undertake self-directed research/creative activity and/or scholarship activity. It is expected that the balancing of this commitment

between these portfolios of work is considered during annual performance and development agreement discussions;

- (ii) the required duties of academic staff will be agreed so they can be reasonably expected to be completed in a professional and competent manner within an average of 37.5 hours per week. Hence academic staff will not be directly instructed to work more than 1725 hours per year. These required duties are agreed on an individual basis with academic staff during their performance development discussions each year and are tailored specifically to the individual academic;
- (iii) each College is required to develop a workplace allocation policy in consultation with academic staff, which details the rights and responsibilities of academic staff, academic supervisors, and College Heads in relation to the allocation of workload; and
- (iv) in determining the allocation of academic workloads and their qualifications a range of factors will be taken into account, including but not limited to the modes of delivery of teaching, the level and complexity of courses taught, supervision and mentoring of staff and students, the number of students taught, research, scholarship and creative production undertaken, service and community outreach, international commitments and carer's responsibilities.

46. As required by the ANU EA, Colleges within the ANU have their own workload allocation models/policies.

47. In addition, the ANU also has a Workloads Policy and a Workloads Procedure, both of which are attached to this statement and marked "**MHW-4**". I am advised by Human Resources that the Policy and Procedure require updating to align with the ANU EA (which is being undertaken) but still currently apply. Both the Policy and the Procedure identify, amongst other things, the mechanisms and processes that are in place for staff to seek a review of their academic workload. In particular, the Policy and Procedure provides that:

- (a) workloads are to be addressed regularly by staff members and their supervisor during performance and development discussions;
- (b) staff are encouraged to raise workload issues with their supervisor whenever there is a genuine concern or problem about such issues;
- (c) supervisors who become aware of unacceptably high workloads across their area of responsibility are required to notify their supervisor (or area Delegate) of this situation in writing and any steps taken to address the issue;

- (d) the delegate must then initiate measures to address the issues, which may include initiating an area workflow analysis;
- (e) if a staff member remains concerned about their workload following the actions of the Delegate, they may initiate a formal grievance in accordance with the formal grievance resolution provisions of the ANU EA (clause 77).

48. I am informed by Nadine White that:

- (a) she was directly involved in the negotiations for the ANU EA;
- (b) clause 52 of the ANU EA was included through negotiations in the last enterprise agreement based upon bargaining claims by the NTEU;
- (c) at no stage was there any suggestion by the NTEU that they could not bargain effectively for the clause;
- (d) at no time has there been any claim or log of claims seeking overtime payments for academic staff. It would not be sensible to suggest that such a concept be applied to or is appropriate for academic staff; and
- (e) the Workloads Policy and Workloads Procedure have been in place since at least 2005 and that since that time there have been 2 requests for a review of workloads both of which were notified as part of the formal disputes process but were resolved locally through discussions between the academic staff member and their supervisor.

No Significant Changes In Workloads In Last 5 Years

49. The nature and extent of academic workloads has not significantly changed since the Academic Staff Award was made in 2009/2010.

50. There have been some developments with shift to greater on-line offerings. There have also been a number of technological developments that increase accessibility of information to undertake research and speed of steps in research, contributing to a reduction in hours required to undertake research and deliver research outputs and publications. To use a couple of simple examples, DNA mapping can now be done in a matter of hours or days rather than weeks or months, accessing historical texts on Minoan art are available online and can be collated within hours rather than physical searching archives, etc.

51. Universities are articulating for staff some guidance on the research outputs typically expected of staff. This has occurred in circumstances where a significant proportion of the academic cohort were producing very limited or no research outputs. For example, I understand that under the HERDC data for 2014 and 2015, which is data reported by all Australian

Universities, the mean average points for research publications is in the order of 1.3-1.5. It is also commonly accepted that the mean modal research publications for academic staff remains zero, demonstrating that average research publication across a significant proportion of academics is limited.

Academic Promotion

52. ANU has an Academic Promotions Policy and an Academic Promotions Procedure, both of which are attached to this statement and marked "**MHW-5**". This Policy and Procedure apply to all academic staff who hold a full or part-time position at the ANU, whether continuing or fixed term, who will normally have been employed for at least 1 year. It does not apply to staff engaged on an honorary conjoint appointment as such persons are not paid employees of the ANU.
53. The promotion process in ANU allows staff to indicate to within a percentage point the balance of their case for promotion across research, education and service and outreach, with the minimum expected as 15%, 15% and 5% respectively. Those percentages are not tied to workload or performance development percentages: staff put forward the case that best reflects their individual strengths for promotion. The pro-forma for promotion consists predominantly of blank pages for staff to write about their achievements using examples and evidence that reflect appropriate standards for their discipline and their stage of career. For example, a staff member may include research metrics, a link to a work portfolio site, quantitative and qualitative student comments, teaching fellowships and recognition, service on editorial boards or commitment to charitable work, and so on. Every application is dealt with on a case by case basis by committees of peers.
54. ANU encourages all staff to perform at their best and seeks to support their career aspirations. However ANU does not mandate staff apply for promotion to higher levels, or promotion within certain timeframes, nor is it the case that to perform satisfactorily at their current classification that they apply for or achieve promotion to higher classifications. That is not a requirement of their current position. Significant numbers of academic staff may serve successfully (as say) a senior lecturer (level C) for many years and satisfactorily meet their role without performing activities (such as leadership) or achieving outputs and academic standing required to be promoted to Associate Professor (Level D).

The Academic Hours of Work Claim

55. Having regard to the nature of academic work as described above, the Academic Hours of Work Claim is unworkable for a number of reasons, including those referred to above.
56. The proposed variation uses terminology and definitions that are unworkable, impractical and/or undesirable. In particular:

- (a) "Required work" is defined as the "specific duties" and "work allocated" to an academic staff member, and "any work necessary" "to meet performance standards" and "to achieve promotion expectations".
- (b) Such a standard expression of work effort will not be practical or desirable to staff including because appointment, performance development and promotion policies and practices at the ANU (and other Universities) reflect disciplinary differences in approaches to research and teaching and involve judgments based upon the individual staff member. Further, while promotion is encouraged and supported it is not required.
- (c) Staff expression of effort can vary from one annual performance development cycle to the next, and I am unaware of any university that mandates that a staff member must present exactly the same effort profile for promotion applications across their career. Promotion processes allow staff to vary the emphasis of their cases over the course of their career, and no promotion process in Australia reflects a standard list of achievements. This rightly reflects the varying missions, research intensity and student types at each institution, as well as the different capacities and interests of academic staff members.
- (d) The clause refers to "ordinary hours workload" as meaning the amount of work required such that employees at the relevant academic level and discipline could with confidence be expected to perform that work in a "competent and professional manner" within an average of hours per week. Even with the qualifications of "relevant academic level" and "discipline" at best this could only be an indicative guide, given the diversity of academic work within disciplines, that two competent, professional employees may take different times to address the same research question or issue and may address it in a different way. If one of the expectations is to achieve say 2 A* publications over a three-year period, what hours are allocated to that in the particular 12 months to the notional homogenous academic that the clause envisages?
- (e) The definition of "required work" and the exception relating to "productive self-directed work" creates confusion and uncertainty as there is likely to be significant overlap between the two given the nature of academic work and academic culture. For example, work that would be considered "productive self-directed work" such as editorship of a journal or involvement of a law academic in a community legal centre will also likely be work that is "necessary to achieve any promotion expectations" of the University. Generally, the more and diverse work an academic staff member performs and is able to achieve, the more likely that staff member is to be promoted.

- (f) Self-direction is seen as a work reward or benefit. It is also a reflection of high level skill, as is the case with politicians—who self-direct much of their effort—and medical specialists, who practise and engage in research and skill development again under self-direction. Reward for achievement is academic standing and promotion in academia, irrespective of and not based on monitored hours.
57. The proposed variation has at its centrepiece closely regulated hours of work, but for staff who are academic professionals, performing large proportions of their activities in a self-directed and self-determined way.
58. The practical effect of the proposed variation is that academic staff will be required to complete time and attendance records if a University was to have any meaningful confidence to avoid allegations of breach. This would be seen as an act of bureaucratic managerialism which curtails academic autonomy, and would make our employment context at odds with sectors in the United Kingdom, United States of America, Canada and Ireland, which operate without mandated work hours and effort reporting. It would antagonise staff who would then likely discourage their peers from applying for jobs in Australian Universities.
59. The liberal use of self-direction and self-management in the ANU EA (and other University enterprise agreements) reflects academic culture and a higher-level workforce that ought not be in need of close supervision (and never has been) like low skilled workers. Academic staff determine how they will competently achieve expectations. The suggestion that a record of activities will need to be kept will be seen as an impost on time and an erosion of rights to self-direction and self-management. It is also likely to be seen as a sign of distrust. Presently, if any academic staff member has issues in work-life balance or otherwise managing their workload, they are able to (and are encouraged to) discuss these issues with their supervisor in accordance with the ANU's various workloads policies, procedures and models. They are also encouraged to discuss these issues as part of the performance and career development discussions with their supervisor.
60. To implement and administer a "fair and rigorous system for ascertaining the 'ascertained hours'" of academic staff, as required by the proposed variation, even if it were meaningfully possible, would not only be time consuming for the ANU and the academic staff involved but would also be costly. The cost is impossible to determine but would be significant. This is particularly so given that no such infrastructure presently exists for the recording of academic hours of work (except for casual sessional staff) and that academic workloads are generally managed at the local level between individual staff members and their supervisors. Further, it would inevitably direct funds away from the ANU's core activities of teaching and research.
61. Further, self-directed work often involves community work or service, which again may be relevant to the academic staff member meeting performance standards and may also be

relevant to achieving promotion expectations. There is also a real risk that such community work or service may be curtailed through surveillance and regulation of hours of work.

The Discipline Currency and Reading Policies Claims

62. The Discipline Currency and Policy Reading Policies Claims are also not appropriate to be included in the Academic Staff Award.
63. In relation to the Discipline Currency Claim:
- (a) Casual sessional staff are recruited because they have the relevant expertise and experience in the relevant discipline.
 - (b) The types of persons engaged as sessional staff are diverse. A very significant number of sessional staff are existing or recent PhD students or persons with a PhD, industry experts, high end professionals or persons who teach in multiple places. It is expected that any appointed academic would be current in their field or discipline. As a matter of practice, I do not believe that the ANU would appoint an academic staff member who could not demonstrate appropriate and current knowledge and skills. These expectations are consistent with the nature of academic work and academic culture. Sessional employment provides flexibility for many staff and provides a pathway for staff to commence an academic career should they wish. Sessional employment also provides significant development opportunities and experience for post-graduate students.
 - (c) Rates of pay for sessional staff incorporate within the rates payment for a period of preparation time (whether it is used or not) such that if a sessional staff member undertakes a one hour tutorial or lecture, they are paid for:
 - (i) 1 hour delivery and 2 hours preparation in the case of a standard lecture;
 - (ii) 1 hour delivery and 3 hours preparation in the case of specialised or complex lectures;
 - (iii) 1 hour delivery and 1 hour of preparation for a repeat lecture;
 - (iv) 1 hour delivery and 2 hours preparation in the case of a standard tutorial; and
 - (v) 1 hour delivery and 1 hour preparation in the case of a repeat tutorial.
 - (d) Sessional academics are generally not involved in the development and structuring of the curriculum, setting the course reading list and other similar activities. If they are, they are paid separately for it. The role of the sessional tutor or lecturer is therefore typically narrower than the teaching and research academic who

undertakes those tasks. The sessional lecturer is focussed on presenting course or tutorial materials and undertaking assessment.

- (e) Further the sessional staff are engaged to teach into a particular subject or subjects. The breadth of their disciplinary knowledge is in respect of that particular part of the discipline, in comparison with a teaching and research academic with a broader focus across the entire discipline.

64. In relation to the Reading Policies Claim, whilst it is the case that the University has available to sessional academic staff policies and procedures that can impact upon their employment:

- (a) The vast majority of these policies and procedures do not require staff to have read all such policies and procedures.
- (b) Some are required to be read and understood, including policies regarding sexual harassment, discrimination, plagiarism, OHS etc. This is also true for students. However, the vast majority are an available reference that would only need to be consulted if a particular circumstance arose.
- (c) Further, there are significant resources and supports provided in the University, including guidance from the supervisor, HR advisors, wellbeing advisors and a range of other people that staff can simply call and seek guidance from as and when required.
- (d) The requirement in the Reading Policies Claim that a sessional academic staff member who is delivering 6 tutorials or lectures should sit down and spend 10 hours reading policies is significantly overstated and would impose a significant additional cost burden on the University.

65. If the University was to apply the Discipline Currency and the Reading Policies Claims it would involve a significant increase in costs to the ANU.

The GS Overtime Claim

66. In relation to the claim to include an additional obligation on employers to "*take reasonable steps to ensure that employees are not performing work in excess of ordinary hours of work or outside the spread of hours..., except where the work has been authorised and compensated...*" through the payment of overtime or time off instead of overtime (ie the GS Overtime Claim), I am informed by Nadine White that a claim in identical terms was pursued in bargaining by the NTEU in 2012 and was agreed not to be included.

67. The existing provisions of the ANU EA also provide that overtime is at the direction of the supervisor and staff may refuse to work overtime on reasonable grounds.

68. I am also aware that there are processes and procedures at ANU for staff to claim overtime or flexi time and that this occurs.

Previous Bargaining

69. I am informed by Nadine White that a number of the claims now made by the NTEU for variation of both the Academic Staff Award and the General Staff Award have been made in enterprise bargaining and have been the subject of negotiation with the ANU in the past. This includes:

- (a) In 2008, the NTEU seeking a range of benefits for casual academic staff, including a clause for a "Discipline Currency Allowance" (which was not agreed to) in the following terms:
 - "1. This clause shall not apply to occasional or guest lecturers or to casual staff engaged in conduct demonstrations, or routine and simple marking.
 - 2. A staff member employed on a casual basis to undertake teaching or marking duties shall be entitled to an additional payment of five hours' pay per subject, in recognition of the time required to maintain currency in their academic discipline.
 - 3. The payment payable under 2. above shall be reduced by one hour for each hour of paid attendance at academic conferences or structured academic staff development activity within the relevant academic discipline."
- (b) In 2012, the NTEU seeking an additional clause about overtime in the same terms as the GS Overtime claim; and
- (c) In 2003, the seeking subsidised on-line home access for work purposes for all staff who would be assisted by the provision.

Professor Marnie Hughes-Warrington

Date: 6 June 2016

Marnie Hughes-Warrington

Curriculum vitae

1. Current role

Deputy Vice-Chancellor (Academic) at the Australian National University (2012–)

ARWU	ERA 5*	QS	THE	US News	Demand	Go8 Student Satisfaction	THE Employability
77	80%	19	52	80	1	1	32

* well above world class

I am the strategic leader and operational manager across academic and international activities in an institution of 23000 students, 280000+ edX global signups, 3700 staff and 3900 clinical and professional staff affiliates. My responsibilities range from large-scale education initiatives to international research initiatives and education, student recruitment, accommodation, fee setting and services provision, to program accreditation and academic standards, to elearning and education philanthropy. I am the head of ANU academic reviews, which manages whole of operations reviews and research and education performance monitoring for the University's 52 academic schools and departments.

Student fees and government support for students make up just over a third of an annual ANU budget of just over \$1 billion AUD, and represent the most rapidly expanding revenue source. In three years I have reversed domestic student recruitment losses and achieved 7% growth three years running, and moved international student recruitment up by 15% in 2016. I manage an annual operating budget of \$37m for key student services, \$7m in externally and internally funded projects and a \$33m trading/self sufficient budget for the University's 5000 student beds. I lead 350 staff through 9 direct reports. I am co-lead, with the COO, of a proposed \$600m redevelopment of the ANU campus, which has begun with the invitation for passive investors to take over the University's \$400m stake in student accommodation. This will be followed by a second phase of mixed use residential and student services development using internal and external sources of funding.

My track record of achievements has led to invitations to serve on the University Board of edX and co-chair its credit working party (2014–); the national working party for philanthropy, chaired by Professor Glyn Davis (2015–); as part of the assessment panel for all disciplinary research outputs and outcomes at Trinity College Dublin (2015–); as chair of the Office for Learning and Teaching's National Competitive Grants Panel (2014–); and as member of the national steering group for the creation of sector-wide digital student records (2016–). My blogs on the business of higher education are regularly run by the media, and I have given over 30 international keynotes, most recently on diversity and admissions to all Malaysian universities and private colleges.

2. Current roles outside of ANU

National Secretary for the Rhodes Scholarships Australia (2014–)

I am the fifth National Secretary in 113 years of selection. I have revitalized selection governance, national communications and marketing activities since my appointment as Deputy in June 2013. This entails oversight of 7 state secretariats with over 60 volunteers, strategic and operational coordination with Rhodes House in Oxford and relationship management and philanthropic activities with a national alumni base of around 400 individuals with an age range spanning six decades, many of whom are high net wealth and occupy prominent corporate and government positions in Australia, the US and UK.

3. Education and Academic Qualifications

- BEd(Hons) (Tasmania) (1992)
- DPhil (Oxford, Merton College) (History, Philosophy and Education) (1995)

4. Selected Fellowships, Prizes, Awards and Honours

- 1992: Rhodes Scholarship (Tasmania and Merton College)
- 2006: Macquarie University Outstanding Teaching Award

- 2008: ALTC Award for Teaching Excellence (Humanities and Creative Arts)
 Prime Minister's Award for Australian University Teacher of the Year
- 2010: Friend of the Academy of Teaching Excellence, Ako Aotearoa (New Zealand Academy for Teaching Excellence)
- 2013: University of Tasmania Foundation Graduate Award
- 2014: Visiting Fellowship, School of Historical Studies, Institute of Advanced Studies, Princeton University (September)
- 2015: Finalist, Telstra Womens Business Awards

5. Principal Gifts Track Record, \$124m since 2014

6. Appointments Prior to ANU

1995–6: Tutor and lecturer in philosophy, Oxford University Department of Educational Studies

1997–8: Lecturer in philosophy, University of Washington (Seattle), Department of Educational Leadership and Policy Studies

1999–2002: Tutor and Lecturer (Historiography and World History), Department of Modern History, Macquarie University

2003–7: Senior Lecturer (Historiography and World History), Department of Modern History, Macquarie University

2007–9: Associate Professor (Historiography and World History), Department of Modern History, Politics and International Relations, Macquarie University and Concentration of Research Excellence (CORE) researcher, Social, Political and Cultural Change, Macquarie University

2007–9: Associate Dean (Learning and Teaching) Faculty of Arts, and Chair, University Learning and Teaching Committee, Macquarie University.

ARWU	ERA 5*	QS	THE	US News	Demand	Go8 Student Satisfaction	THE Employability
201+	35%	229	301+	322	9	NA	NR

2009–11: Pro Vice-Chancellor (Learning and Teaching), Monash University.

ARWU	ERA 5*	QS	THE	US News	Demand	Go8 Student Satisfaction	THE Employability
101+	68%	67	73	84	2	2	56

2011–12: Pro Vice-Chancellor with special responsibility for Monash-Warwick research and education relationship (in addition to L&T portfolio).

7. Individual Grants 2005–

Years	Scheme	Role	Collaborators	Lead Institution	Title	Awarded (\$000)
2005–9	Erasmus Mundus (EU) (Actions 1, 3)	Lead, Partner Institution	Leipzig University, Vienna University, London School of Economics, Wroclaw University, Stellenbosch University, Dalhousie University, University of California, Santa Barbara, Duke University	Leipzig University	'MA in Global Studies: A European Perspective'	€3680 (AUD \$6.8 million)
2007–15	ARC Discovery (0772276) Cat.1	Chief Investigator 1	Prof D. Boucher (Cardiff), Dr I Tregenza (Macquarie), Dr Stein Helgeby (Victorian Treasury)	ANU	The Empire of New Idealism	\$312

2008–9	ALTC Discipline-Based Initiative Cat.2	Chief Investigator 1	Em. Prof J Roe (Macquarie), Dr D Deacon (ANU and Australian Historical Association), A/Prof P Russell (Sydney), Prof M Peel (Monash), Dr A Laugeson (Flinders) and Mr P Kiem (History Teachers' Association of Australia)	Macquarie	Historical Thinking in Higher Education	\$100
2009–14	Erasmus Mundus (EU) (Actions 1, 3)	Lead, Partner Institution	Leipzig University, Vienna University, London School of Economics, Wroclaw University, Stellenbosch University, Dalhousie University, University of California, Santa Barbara, Duke University	Leipzig University	'MA in Global Studies: A European Perspective' (renewal of 2005–9 consortium)	€3910 (AUD \$7.2 million)
2011–12	ALTC Strategic Priority Project Cat.2	Chief Investigator 1	Professor R. James (University of Melbourne), Professor K.- L. Krause (Griffith University), A/Prof Angela Carbone (Monash), Dr Calvin Smith (Griffith), Dr Margaret Bearman (Monash)	Monash	Measuring and Reporting Teaching Quality	\$220
2011–13	Bgc3 (the Office of Bill Gates)	Research lead, Partner Institution	Professor D. Christian (Macquarie University), Professor B. Bain (Michigan University) and 6 schools (2 in Australia, 4 in the US)	Gates Office	Big History Online	2011–13 spend AUD \$1 million per annum
2011-12	Office for Learning and Teaching Cat.1	Chief Investigator 1	Professor R. James (Melbourne), Professor K. L-Krause (UWS), A/Prof. A. Carbone (Monash), Dr. C. Smith, Griffith, Dr. C. Baik (Melbourne), Dr. M. Bearman (Monash)	ANU	Measuring Teaching Quality in Higher Education	\$220
2012-14	Office for Learning and Teaching Cat.1	Chief Investigator 2	Professor R. James (Melbourne), Professor K. L-Krause (UWS), Prof. D. Sadler (UTas)	Melbourne	Professionalism in Higher Education Teaching	\$300

Total awarded: AUD \$18.15 M

8. Chief Publications

I am a researcher in historiography (philosophy of history), a field that is dominated by book publications. I have a WorldCat university library profile of 4163 global holdings and have sold over 25000 volumes. My works have been translated into Arabic, Brazilian Portuguese, Chinese and Bahasa. My H index is 9, compared to an LSE suggested average of 2 for history professors.

I was the panel chair for Field of Research 13 (Education) for the ANU submission to ERA 2014-15.

Book Series

- *Redesigning History*, with Jerome De Groot, University of Manchester, under contract with Routledge. I proposed this series 5+ book series on historiography for early career writers, and secured the participation of De Groot and Routledge.

Books

- *History as Wonder*, under contract with Routledge, manuscript due April 2017.
- *Revisionist Histories* (Abingdon: Routledge, 2013). ISBN 9780415560795, 193 WorldCat holdings.
- *The History on Film Reader* (Abingdon: Routledge, 2009). ISBN 9780415462198, just over 3000 copies sold, 343 WorldCat holdings.
- *History Goes to the Movies: Studying History on Film* (Abingdon: Routledge, 2007). ISBN 0415328284. Over 6000 copies sold, 707 WorldCat holdings, contract signed for Arabic translation 2014, 117 cites.
- *'How Good an Historian Shall I Be?': R. G. Collingwood, the Historical Imagination and Education* (Exeter: Imprint Academic, 2003). ISBN 0907895614, 930 WorldCat holdings and featured twice in Radio National's *The Philosopher's Zone*.
- *Fifty Key Thinkers on History* (London: Routledge, 2000, second edition 2008, third edition 2014). ISBN 041532076. Available in Brazilian Portuguese as *50 Grandes Pensadores da História* trans. B. Honorato, Contexto, 2002. Over 22,000 copies sold, 1238 WorldCat holdings, 77 cites.
- *Palgrave Advances in World Histories* (Basingstoke: Palgrave Macmillan, 2004). ISBN 1403912785, 249 WorldCat holdings.

Refereed Journal Articles

- 'Writing on the Margins of the World: Hester Thrale Piozzi's *Retrospection* (1801) as Middle-Brow Art', *Journal of World History*, 2012, vol. 23(4), 883–906. ERA2010 A
- 'The Ethics of Internationalisation in Higher Education: Hospitality, Self-Presence and "Being Late"', *Educational Philosophy and Theory*, 2012, vol. 44(3), pp. 312–22. ERA2010 A*
- 'Systematic Review Methodology in Higher Education' (with Margaret Bearman, Calvin D. Smith, Angela Carbone, Susan Slade, Chi Baik, David L. Neumann), *Higher Education Research and Development*, 2012, vol. 31(5), pp. 625–40. ERA2010 A*
- 'Exploring Historical Thinking and Agency with Undergraduate History Students' (with Adele Nye, Jill Roe, Penny Russell, Desley Deacon, Amanda Laugeson and Paul Kiem), *Studies in Higher Education*, 2011, vol. 36(7), pp. 763–80. ERA2010 A*
- 'Historical Thinking in Higher Education' (with Adele Nye, Jill Roe, Penny Russell, Mark Peel, Desley Deacon, Amanda Laugeson and Paul Kiem), *History Australia*, 6(3), 2009, pp. 73. ERA 2010 B
- 'Coloring Universal History: Robert Benjamin Lewis's *Light and Truth* (1843) and William Wells Brown's *The Black Man* (1863)', *Journal of World History*, 2009, vol. 20(1), pp. 99–130. ERA2010 A
- 'Recontextualising R.G. Collingwood's "General Massacre of Schoolteachers: New Idealist Philosophy, The State and Education"', *Collingwood and British Idealism Studies (Incorporating Bradley Studies)*, 2008, vol. 14(1), pp. 27–39. ERA 2010 not listed
- 'State and Civilisation in Australian New Idealism' (with Ian Tregenza), *History of Political Thought*, 2008, vol. 29(1), pp. 89–108. ERA2010 A*
- 'The "Ins" and "Outs" of History: Revision as Non-Place', *History and Theory*, 2007, vol. 46(4), pp. 61–76. ERA2010 A*
- 'World History, and World Histories', *World History Connected*, 2006, vol. 4(2), online at <http://worldhistoryconnected.press.uiuc.edu/>. ERA2010 not listed, unique journal hits 2M
- 'World Histor(iography) Education from an Australian Angle', *Comparativ: Leipziger Beiträge zur Universalgeschichte und vergleichenden Gesellschaftsforschung*, 2006, vol. 5(1), pp. 1–22. ERA2010 Not Rated
- 'Big History', *Social Evolution and History [Russia]*, 2005, vol. 4(1), 2005: pp. 7–21. ERA2010 Not Rated
- 'Collingwood and the Early Hirst on the Forms of Experience/Knowledge and Education', *British Journal of Educational Studies*, 45(2), 1997: pp. 156–73. ERA2010 A*
- 'History Education and the Conversation of Mankind', *Collingwood Studies*, 3, 1996: pp. 96–116. ERA2010 Not Rated
- 'How Good an Historian Shall I Be?: R. G. Collingwood on Education', *Oxford Review of Education*, 22(2), 1996: pp. 217–34. ERA 2010 A*

- 'Rethinking Collingwood: A Reply to Keith Jenkins's Rethinking History ', in *Teaching History* [UK], 80, 1995: pp. 5-9. ERA 2010 Not rated

9. Other Selected Evidence of Impact

- Invited international talks on history at Al Akhawan University, Morocco (2005), the University of Leipzig (2006), Weatherhead Center for International Affairs, Harvard University (2008), Freiburg University (2010); Humboldt University (2011);
- Keynotes on history: 16th Annual World History Association Conference, Milwaukee (2007), Australian Historical Association Conference (2009), History Teachers' Association of Australia (2006 and 2007);
- 'Voice in the Wilderness: R G Collingwood', *The Philosopher's Zone*, ABC Radio National 28/3, www.abc.net.au/rn/philosopherszone/stories/2009/2525393.htm
- Keynotes and Invited Presentations on education: Universities Australia (Canberra); UTS; James Cook University; Deakin, Swinburne; University of South Australia; University of Melbourne; University of Ballarat; WA Learning and Teaching Forum (ECU), Victoria University, Wellington; First Year in Higher Education Conference (Adelaide University); University of Tasmania (x2); Griffith University; Wollongong University; Ako Academy of Teaching Excellence; University of the Sunshine Coast; Kyoto Consortium of Universities.
- OpEds in the Fairfax, Murdoch press and the Times Higher Education Supplement
 - <http://www.canberratimes.com.au/act-news/save-us-from-death-by-powerpoint-20140729-zxzy7.html>;
 - <http://www.theaustralian.com.au/higher-education/opinion/unplugging-information-overload/story-e6frgcko-1226647828045>
 - <http://www.timeshighereducation.co.uk/comment/opinion/blog-turning-teaching-track-promotions-upside-down/2018015.article>
 - <http://www.smh.com.au/comment/dreams-of-giving-driving-students-20130425-2ihm4.html>;
 - <http://www.theaustralian.com.au/higher-education/opinion/black-dog-the-sum-of-our-anxieties/story-e6frgcko-1226780008263>;
 - <http://www.theaustralian.com.au/higher-education/opinion/wake-up-new-approach-needed-as-red-tape-strangles-the-system/story-e6frgcko-1226768911488>;
 - <http://www.smh.com.au/it-pro/liberating-design-for-disabilities-benefits-us-all-20140808-101t9y.html>
 - <http://www.theaustralian.com.au/higher-education/opinion/university-admissions-can-easily-be-simplified-for-students/news-story/bebd01801495ffdc55263804c0904f93>

SCHEDULE 4**MINIMUM STANDARDS FOR ACADEMIC LEVELS**

S4.1 Introduction

Minimum standards for levels of academic staff, other than a casual, are set out in this schedule. The levels are differentiated by level of complexity, degree of autonomy, leadership requirements of the position and level of achievement of the academic. The responsibilities of academic staff may vary according to the specific requirements of the institution to meet its objectives, to different discipline requirements and/or to individual staff development.

An academic appointed to a particular level may be assigned and may be expected to undertake responsibilities and functions of any level up to and including the level to which the academic is appointed or promoted. In addition, an academic may undertake elements of the work of a higher level in order to gain experience and expertise consistent with the requirements of an institution's promotion processes.

MSAL will not be used as a basis for claims for reclassification.

S4.2 Teaching and research academic staff**Level A**

A Level A academic will work with the support and guidance from more senior academic staff and is expected to develop their expertise in teaching and research with an increasing degree of autonomy. A Level A academic will normally have completed four years of tertiary study or equivalent qualifications and experience and may be required to hold a relevant higher degree.

A Level A academic will normally contribute to teaching at the institution, at a level appropriate to the skills and experience of the staff member, engage in scholarly, research and/or professional activities appropriate to their profession or discipline, and undertake administration primarily relating to their activities at the institution. The contribution to teaching of Level A academics will be primarily at undergraduate and graduate diploma level.

Level B

A Level B academic will undertake independent teaching and research in their discipline or related area. In research and/or scholarship and/or teaching a Level B academic will make an independent contribution through professional practice and expertise and coordinate and/or lead the activities of other staff, as appropriate to the discipline.

A Level B academic will normally contribute to teaching at undergraduate, honours and postgraduate level, engage in independent scholarship and/or research and/or professional activities appropriate to their profession or discipline. The academic will normally undertake administration primarily relating to their activities at the institution and may be required to perform the full academic responsibilities of and related administration for the coordination of an award program of the institution.

Level C

A Level C academic will make a significant contribution to the discipline at the national level. In research and/or scholarship and/or teaching they will make original contributions, which expand knowledge or practice in their discipline.

A Level C academic will normally make a significant contribution to research and/or scholarship and/or teaching and administration activities of an organisational unit or an interdisciplinary area at undergraduate, honours and postgraduate level. The academic will normally play a major role or provide a significant degree of leadership in scholarly, research and/or professional activities relevant to the profession, discipline and/or community and may be required to perform the full academic responsibilities of and related administration for the coordination of a large award program or a number of smaller award programs of the institution.

Level D

A Level D academic will normally make an outstanding contribution to the research and/or scholarship and/or teaching and administration activities of an organisational unit, including a large organisational unit, or interdisciplinary area.

A Level D academic will make an outstanding contribution to the governance and collegial life inside and outside of the institution and will have attained recognition at a national or international level in their discipline. The academic will make original and innovative contributions to the advancement of scholarship, research and teaching in their discipline.

Level E

A Level E academic will provide leadership and foster excellence in research, teaching and policy development in the academic discipline within the institution and within the community, professional, commercial or industrial sectors.

A Level E academic will have attained recognition as an eminent authority in their discipline, will have achieved distinction at the national level and may be required to have achieved distinction at the international level. A Level E academic will make original, innovative and distinguished contributions to scholarship, research and teaching in their discipline. They will make a commensurate contribution to the work of the institution.

S4.3 Research academic staff (inclusive of creative disciplines)

Level A

A Level A research academic will typically conduct research/scholarly activities under limited supervision either independently or as a member of a team and will normally hold a relevant higher degree.

A Level A research academic will normally work under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the research academic gains skills and experience. A Level A research academic may undertake limited teaching, may supervise at undergraduate levels and may publish the results of the research conducted as sole author or in collaboration. They will undertake administration primarily relating to their activities at the institution.

Level B

A Level B research academic will normally have experience in research or scholarly activities, which have resulted in publications in refereed journals or other demonstrated scholarly activities.

A Level B research academic will carry out independent and/or team research. A Level B research academic may supervise postgraduate research students or projects and be involved in research training.

Level C

A Level C research academic will make independent and original contributions to research, which have a significant impact on their field of expertise.

The work of the research academic will be acknowledged at a national level as being influential in expanding the knowledge of their discipline. This standing will normally be demonstrated by a strong record of published work or other demonstrated scholarly activities.

A Level C research academic will provide leadership in research, including research training and supervision.

Level D

A Level D research academic will make major original and innovative contributions to their field of study or research, which are recognised as outstanding nationally or internationally.

A Level D research academic will play an outstanding role within their institution, discipline and/or profession in fostering the research activities of others and in research training.

Level E

A Level E research academic will typically have achieved international recognition through original, innovative and distinguished contributions to their field of research, which is demonstrated by sustained and distinguished performance.

A Level E research academic will provide leadership in their field of research, within their institution, discipline and/or profession and within the scholarly and/or general community. They will foster excellence in research, research policy and research training.

AUSTRALIAN NATIONAL UNIVERSITY ENTERPRISE AGREEMENT 2013 - 2016

52. WORKLOADS

52.1. The University will ensure that supervisors are aware of their responsibilities in managing workloads and staff are aware of the principles and procedures of the policy including:

- that workloads are equitable, transparent, sustainable and without risks to health and safety of staff;
- the importance of a balance between working life and family/social responsibilities ;
- that there are transparent mechanisms through which workloads can be monitored and through which staff members can address issues and pursue grievances; and
- that a staff member's inability to meet unreasonable workloads does not constitute unsatisfactory performance.

52.2. 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 agreement, 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 agreement
- needs of early career academic staff to establish their research profile;
- importance of maintaining an appropriate balance between work and family life;
- annual leave entitlement and the approved leave plans of the staff member.

Academic Workloads

52.3. Academic workloads for teaching and research staff will ensure a well-balanced portfolio across teaching and related duties, research and scholarship and service. All continuing academic staff will be expected to undertake self-directed research and/or scholarship activity. It is expected that the balance of this portfolio will be considered during performance and development agreement discussions.

52.4. The required duties of academic staff will be agreed so they can be reasonably expected to be completed in a professional and competent manner within an average of 37.5 hours per week. Hence academic staff will not be directly instructed to work more than 1725 hours per year.

52.5. During the life of the Agreement, each College will develop a workload allocation policy in consultation with academic staff. This policy will detail the rights and responsibilities of academic staff; academic supervisors; and College Heads in relation to the allocation of workload.

Academic workload factors

52.6. The parties recognise that the ratio of students (EFTSL) to non-casual staff (Non-casual FTE) with teaching duties is a measure of the demand on staff time. If allowed to increase unreasonably it can compromise the quality of the University's teaching and research training programs. It is recognised, however, that many factors can affect student-staff ratio, including the staffing profile of an academic organisational unit, and changes in enrolment patterns. Nevertheless, except in those circumstances where the University has an established target for growth, the University will use its best endeavours to act in accordance with the principles of the Staff Workloads policy and procedures to ameliorate increased demands on staff time.

52.7. In determining the allocation of academic workloads and their qualifications, a range of factors will be taken into account, including but not limited to the following:

- Modes of delivery, including face –to-face teaching, on-line teaching and blended learning;
- The level and complexity of courses taught;
- Preparation for teaching, curriculum development and the development of courses materials;
- Class size for lectures, tutorials, seminars and laboratory groups.
- Supervision and mentoring of staff and students;
- The number of students taught;
- Research, scholarship and creative production undertaken;
- Requirements for professional development;
- Field work supervision;
- Internal and external professional and consulting work;
- Service and community outreach, including participation on committees;
- International commitments; and
- Any carer's responsibilities.

Professional Staff Workloads

52.8. Professional staff will be allocated a workload that is manageable within their ordinary hours of work as defined by clause 19 (hours of work). Formal arrangements will have been approved, including payment for overtime or time in lieu, when staff work outside or in excess of the ordinary hours.

52.9. No professional staff will be required to work unreasonable overtime.



Policy: Workloads

Purpose

To establish a framework for the management of staff workload.

Overview

This policy provides the guiding principles associated with workload regulations for employees of the University.

Scope

This Policy applies to all staff at the University.

Policy statement

All Staff

1. The University will use its best endeavours to allocate workloads in a fair and equitable manner.
2. Supervisors will be responsible for allocating workloads, and are directly responsible to the Delegate for compliance with these principles.
3. The University has a duty to care for, and to protect, the health and welfare of staff in relation to the performance of their duties.
4. The University and its staff recognise the importance of a balance between working life and family/social responsibilities. The University will not make workload demands of staff that are inconsistent with this principle.
5. No staff member should be pressured, either directly or indirectly, whether by supervisors, management or other staff, to undertake excessive workloads.
6. Those responsible for originating and implementing new initiatives are required to give fair and proper consideration of the workload implications.

7. Recreation leave and Long Service Leave are benefits to both the University and staff. Staff members and supervisors should ensure that these types of leave are taken in a timely manner to ensure that staff members have adequate breaks from work.

8. Workloads will be addressed regularly between the staff member and their supervisor in accordance with [clause 45 \(Career and Performance Development\)](#). Staff members are encouraged to raise workload issues with their supervisor whenever there is a genuine concern or problem about such issues.

9. A staff member's inability to meet unreasonable workloads does not constitute unsatisfactory performance.

10. The University will ensure that there are transparent mechanisms through which workloads can be monitored.

11. The University will ensure that there is a transparent mechanism through which staff members can address workload issues and pursue grievances.

12. A supervisor who becomes aware of unacceptably high workloads across his/her area of responsibility should notify his/her supervisor (or area Delegate) of this situation in writing. This notice should include any action taken to date to address the issue, e.g. seeking additional resources and/or determining work priorities.

13. Upon being informed by a supervisor that an area's workloads are unacceptably high, the Delegate must initiate measures to address the issues.

Such measures may include the initiation of an area workflow analysis.

14. If a staff member remains concerned about their workload following the actions of the Delegate in point 13, they may initiate a formal grievance [under clause 73 \(Grievance Resolution\)](#).

Academic Staff

15. The University recognises that academic work involves a reasonable balance between self-directed and assigned activities. These may include:

Teaching

Supervision of research students

Research and scholarly activity or professional practice in the visual or performing arts

Leadership, mentoring and pastoral care of students

Administration

Associated professional work and service to the community, and

Securing and managing externally funded projects

16. The level of assigned activities should not be so great as to preclude a reasonable balance between self-directed and assigned activities.

17. When monitoring academic workloads, the supervisor will inform staff of the locally accepted contact hour load and take into account the whole range of academic work duties.

Professional Staff

18. Professional staff employees should be allocated a workload that is manageable within ordinary hours of duty of the employee.

19. The ordinary hours of duty (exclusive of meal times) for all categories of full time professional staff, will be 35 per week, except that the ordinary hours of work for staff members employed in the Hospitality Stream at University House shall be 38 per week.

20. No employee shall be required to work excessive overtime.



Procedure: Workloads

Purpose

To inform staff of the procedures involved in resolving staff workload grievances.

Procedure

1. The framework for the management of workloads at the ANU is provided for in Schedule 8 of the ANU Enterprise Agreement and in the ANU Workloads Policy.
2. The University will use its best endeavours to allocate workloads in a fair and equitable manner and workloads will be addressed regularly between the staff member and their supervisor in accordance with the Supporting Our Staff Policy. Staff members are encouraged to raise workload issues with their supervisor whenever there is a genuine concern or problem about such issues.
3. Where a staff member has brought a workloads issue to the attention of his/her supervisor, and the issue has not been resolved through the ordinary course of the supervisor/staff member relationship, the procedures below may commence:
 - a. The staff member should submit his/her concerns, in writing, to their supervisor, with a copy to the Delegate. If the staff member has practical suggestions as to how his or her concerns may be alleviated, then he or she is encouraged to set these out also.
 - b. The supervisor must provide a written response to the staff member within 10 working days, which is copied to the Delegate. Ideally, the supervisor will have met with the staff member in an attempt to resolve the concerns before preparing a written response, and any resolution agreed between them will be reflected in such written response.

- c. Within 10 working days of receipt of the staff member's written concerns, the Delegate will follow up with both the staff member and the supervisor to ensure that the matter has been resolved to their mutual satisfaction. If this is not the case, then the Delegate will attempt to facilitate an equitable outcome. In doing so, the Delegate may discuss relevant matters more widely within the work area, may seek outside expertise to advise on, for example, work flow improvements, or may issue written directions to either the supervisor or the staff member, or both. In attempting to facilitate an outcome that is conducive to a productive and harmonious relationship, the Delegate will be guided by the University's Policy on Workloads.
 - d. Staff can seek the advice of their staff representative, and may ask a staff representative or another person to accompany them to any discussions with the supervisor or the Delegate.
4. A staff member who believes that the problem has not been adequately resolved can seek redress through Formal Grievance and Mediation.

Policy: Academic promotion

Purpose

To outline the standards which underpin academic promotions at ANU.

Overview

This policy sets out principles designed to support the holistic recognition of academic staff achievements in research/creative activity, education, service and leadership.

Scope

Staff-Academic; excludes honorary conjoint appointment staff

Policy Statement

1. Academic promotion at ANU is:

Based upon merit, as demonstrated through a transparent and rigorous process;

Consistent with the recognition of equal opportunity, providing applicants with the chance to outline achievements relative to their particular circumstances;

Focused on the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education, service and leadership, as demonstrated through various forms of evidence; and

Not subject to quota.



Procedure: Academic promotions

Purpose

To outline the procedures underpinning the University's holistic recognition of academic staff achievements in research/creative activity, education, service and leadership.

Definitions

Achievements relative to opportunity: Assessing achievements relative to opportunity involves giving consideration to the particular circumstances and experiences of the staff member. This supports appropriate evaluation of achievements in relation to productivity; the ability to participate in certain types of activities, and the consistency of activities or output over the period of consideration. The circumstances and experiences may include:

family responsibilities (eg. child rearing, elder care, illness of a partner/dependent); a temporary or permanent disability; periods of part time work; relevant cultural expectations or circumstances; and absences due to ill-health or injury.

Procedural irregularity: refers to where the University has not followed a process that is articulated in this procedure.

Research-intensive applicant: is a candidate for promotion who is employed on a research-intensive contract of employment and who is appointed to undertake predominately research and research-related activities.

Procedure

Eligibility

1. Application for academic promotion is available to academic staff who:

hold a full or part-time position, whether continuing or fixed term, who will normally have been employed at the University for at least one calendar year; have evidence to demonstrate that they have consistently exceeded College and University minimum standards at the present level of employment and at least meet minimum College and University standards at the level to which promotion is sought; and in exceptional cases, academic staff with employment at the University of less than one calendar year may submit a case for exemption of this requirement to the relevant promotion committee Chair. This exemption should be obtained in advance of the promotion round opening. It is expected that both supervisor and Research School Director endorsement and College Dean acknowledgement will be obtained prior to submitting a case to the promotion committee Chair.

Preparation for Academic Promotion

2. Applicants, supervisors, College Deans and promotion committee members will be familiar with University policy, procedures and approved proformas for academic promotion and attend information sessions as appropriate.

Submission of Academic Promotion Application

3. Applications for promotion will be submitted by the published deadlines to the relevant promotions committee.
4. Applications for promotion for academic staff not employed in a College will be submitted to the promotions committee affiliated with their cognate discipline. It is expected that this affiliation will be at the School level.
5. Applicants will discuss their proposed application with their supervisor, and inform their Head of School or equivalent.
6. Applicants will discuss their proposed application for promotion to level E1 with their College Dean.
7. Applications for promotion will be submitted on the current, approved University proforma, comprising:
 8. Part 1: Staff member details, weightings, statement relative to opportunity (where appropriate) and declaration;
 9. Part 2: Supervisor and Research School Director endorsement and College Dean acknowledgement (for levels B to E1);
 10. Part 3: Applicant s case for promotion;
 11. Part 4: Details of referees nominated by the supervisor, comprising:

Level B the need for referees is at the discretion of the College Dean.

Level C a minimum of 2 referees, with a maximum of one referee internal to ANU, and at least one referee who has an international reputation;

Level D a minimum of 3 referees, with a maximum of one referee internal to ANU, and at least 2 referees who have an international reputation; or

Level E a minimum of 4 referees external to ANU, with at least 2 referees who have an international reputation.

The applicant may identify up to two referees that they do not wish to be contacted.

Referees will be forwarded the full promotion application, including Supervisor and Research School Director endorsement and College Dean acknowledgement, but excluding the statement relative to opportunity; and the committee reserves the right to appoint additional or alternative referees to ensure international diversity and manage declared conflicts of interest and to ensure the holistic appraisal of the applicant's achievements. The applicant and their supervisor will be notified if additional or alternative referees are requested.

12. Part 5: Curriculum vitae that includes as a minimum:

formal qualifications and any prizes, awards, honours and other esteem indicators; a list of the six best or most significant research publications/creative works and two of the best or most significant education achievements (research and education staff); appointments, including consultancies; research/creative activity outputs, including bibliographic details, year of publication, individual contribution by percentage; and evidence of impact; research/creative activity funding, including title of grant, funding body, grant category, individual contribution and role in the grant, year, total grant value, any patents and evidence of impact;

Higher Degree Research Student Supervision, including name of student, role, years of enrolment, completions and student achievements postgraduation (where appropriate); and education activities (where appropriate), including course or program development and review; courses taught, nature of teaching contribution and enrolments and evidence of impact; and

service to the School/Department, College and University, the academic discipline, and the community, including names of committees and/or boards, year(s) of service and role.

13. Applicants may also attach a maximum of five pages of supporting evidence that demonstrate the quality, productivity and impact their contributions to research/creative activity, education, service or leadership.
14. Applicants are provided the [education, research and service indicators](#) in order to assist putting forward their case for promotion, including evidence of the outcomes and impact of the academic work.
15. Applicants will ensure that the application is complete and accurate.

Applicant Activity Weightings

16. Applicants will allocate weightings to each of the categories of research, education and service, reflecting the average contribution over the period since last promotion or appointment to ANU, to a total of 100%, and meet the maximum and minimum requirements for each category below consistent with their current contract with the University and, if applicable, relevant research funding rules, governing their contract.

Contract Type	Research	Education	Service
Research and education	15% minimum	15% minimum	5% minimum
Research intensive	95% maximum	Not required to assign a weighting but may do so if relevant, with a maximum of 15%	5% minimum

17. By default, Higher Degree Supervision will be considered research, and contributions to Higher Degree Research coursework teaching will be considered education.
18. Applicants will ensure that the allocation of weightings reflects their case for promotion, based on their average contribution since last

promotion or appointment to ANU. In cases where the weighting in the case for promotion is not the same as the weighting set in the Performance and Development Review or Statement of Academic Activity, the applicant and Research School Director, School Director or equivalent may wish to comment.

Determination of Promotion Level B to E1

19. Outcomes for promotion are determined on the basis of the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education and service, with reference to the education, research and service indicators, as demonstrated through various forms of evidence.
20. Outcomes for promotion to level E1 will also be determined on the basis of the quality, productivity and impact of the applicant's demonstrated and sustained leadership within the areas of research/creative activity, education (optional in research intensive applications) and service to the ANU and the wider community. For promotion to level E, demonstrated leadership is a mandatory requirement.
21. Promotion committees will place primary emphasis on demonstrated achievements, performance and activities since the applicant's last promotion, or appointment to the University.
22. Interviews may be required for applicants for promotion to levels B to D, and are compulsory for level E. Where an interview is undertaken, it forms part of the holistic assessment of the promotion case. Applicants may request that their supervisor or alternate support person attend their interview to observe proceedings and to provide comment if so requested by the College Dean or committee.
23. Deans will meet with the University Promotion Committee to provide comment on E1 applications from their College.
24. Promotion committees must receive the minimum number of references as below, in accordance with requirements in clause 11;
Level B at the discretion of the College Dean;
Level C no fewer than 2;
Level D no fewer than 3; or
Level E no fewer than 4.

25. Additional information may be required before a decision can be made. The additional information required will be obtained from the applicant, supervisor, College Dean, nominated or additional referees. The applicant and their supervisor will be notified if additional or alternate references are required.
26. The College Dean approves, or, the local promotion committee endorses and the relevant College Dean approves promotion to level B.
27. The local promotion committee endorses, and the relevant College Dean approves promotion to levels C and D.
28. The University promotion committee endorses, and the ViceChancellor approves promotion to level E1.

Determination of Promotion Level B to E1, Out of Round

29. An application for promotion to levels B through to E1 may be considered outside of the usual promotion round upon request of the relevant College Dean for a staff member who has been offered an appointment at another institution.
30. Out of round applications for promotion to level B may be approved by the relevant College Dean on the basis of the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education and service.
31. Out of round applications will be constituted by:
a brief evidence-based case (two A4 pages maximum) recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievements in research/creative activity, education and service, with reference to the [education, research and service indicators](#), as demonstrated through various forms of evidence, prepared by the staff member s supervisor and supported by the College Dean; curriculum vitae; and documentary evidence of the offer of employment.
32. The promotion committee may require further information, including, but not limited to data that is available on the Statement of Academic Activity; research and teaching data from the University enterprise systems SELTS and ARIES; and written documents from discipline peers. The promotion committee might also require an applicant interview.
33. The Vice-Chancellor, on the recommendation of the relevant College Dean, may consider and approve an accelerated out of round

application, including cases that may not meet the standard eligibility criteria for promotion. In such cases the Vice-Chancellor may call on input from the promotion committee.

Determination of Promotion Level E2

34. Eligibility and outcomes for promotion to level E2 are determined on the basis of an evidence-based, holistic recognition of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E1, as well as demonstrated pre-eminence in one or more of the areas highlighted below:

demonstrated pre-eminence in education, as evidenced for example, in distinguished national or international awards or fellowships or outstanding national or international leadership in education innovation or quality assurance as acknowledged by peers in the field (noting that the receipt of an award or Fellowship is not a guarantee of promotion); or demonstrated pre-eminence in research or creative activity, as evidenced for example, in election to a distinguished learned academy or some equivalent form of recognition; distinguished national or international awards or fellowships or outstanding national or international leadership in research innovation, as acknowledged by peers in the field (noting that the receipt of an award or Fellowship or election to an Academy is not a guarantee of promotion); or demonstrated pre-eminence in service to the university and wider community as evidenced for example, in distinguished national or international awards or outstanding national or international leadership in governance, management, contribution to the discipline or to public commentary or policy, as acknowledged by peers in the field (noting that the receipt of an award or appointment to a leadership role is not a guarantee of promotion).

35. The College Dean will consult with the chair of the promotion committee in anticipation of a case being made for promotion to E2.

36. The College Dean will submit a nomination to the promotion committee which will include:

an evidence-based case recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider

community, which is commensurate with level E1, as well as demonstrated pre-eminence in the nominated area(s);

supervisor endorsement; current curriculum vitae, four references external to ANU from persons of eminent international standing, commenting specifically on the eligibility criteria; any case for reduction in the number of referees should be discussed with the chair of the promotion committee; and maximum of five pages of supporting evidence that demonstrates the quality, productivity and impact of contribution to research/creative activity, education, service and leadership.

37. The promotion committee will invite the relevant College Dean to attend an interview (if required) to apprise the committee of any additional information relating to the application.
38. The promotion committee will make a recommendation to the ViceChancellor, who will make a determination for promotion to Level E2.
39. Professor E2 positions are remunerated in accordance with the [Academic Staff Salary Scales](#) in the Enterprise Agreement.

Determination of Promotion Distinguished Professor Level E3

40. Eligibility and outcomes for promotion to level E3 are determined in exceptional cases on the basis of the evidence-based, holistic recognition of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E2, as well as demonstrated international distinction in an area highlighted below:

demonstrated international distinction in education, on the basis of evidence such as prestigious international awards or equivalent peak awards; or demonstrated international distinction in research or creative activity, on the basis of evidence such as prestigious international awards, multiple fellowships or equivalent peak awards in the cognate discipline. Examples include but are not limited to; election to the Fellowship of the Royal Society of London, Fellowship of the British Academy, Fellowship of the US National Academy of Sciences or US Academy of Engineering Fellowship (noting that the receipt of an award or election to a Fellowship or Academy is not a guarantee of promotion).

41. The College Dean will consult with the Vice-Chancellor and the chair of the promotion committee in anticipation of a case being made for promotion to level E3.
42. The College Dean will submit a nomination for promotion to Distinguished Professor level E3 to the promotion committee, which will include:

an evidence-based case recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E2, as well as demonstrated pre-eminence in the nominated area; supervisor endorsement; current curriculum vitae, four references external to ANU from persons of eminent international standing, commenting specifically on the eligibility criteria; any case for reduction in the number of referees should be discussed with the chair of the promotion committee, and maximum of five pages of supporting evidence that demonstrate the quality, productivity and impact their contributions to research/creative activity, education, service and leadership.
43. The promotion committee will invite the relevant College Dean to attend an interview (if required) to apprise the committee of any additional information relating to the application.
44. The promotion committee will make a recommendation to the Vice-Chancellor, who will make a determination for promotion to Distinguished Professor level E3.
45. Distinguished Professor level E3 carries a remuneration of level E2 plus a superannuable loading of \$25,000 per annum.

Constitution and Activities of promotion committees

46. Promotion committees will: have a balanced gender composition; respect the confidentiality of promotion documentation and deliberation activities and communication of outcomes; respect the request of applicants that particular referees not be contacted; declare any conflict of interest, as soon as they become aware of it, and refer to the chair to implement any mitigation actions; endorse for the College Dean or Vice-Chancellor a written description of the factors used to

determine the outcomes of cases; and have a quorum such that if the chair and the external member participate, and a gender balance is present, one member may be absent from any particular assessment.

47. The membership of local and University promotion committees is published for the benefit of applicants.

Local Promotions Committees

48. The local promotion committee endorses promotion applications to level B at the request of the College Dean, and all promotion applications to levels C and D, is constituted by:

College Dean (chair); Associate or Deputy Dean; four to seven academic staff members at level D or above from with the College or Colleges with expertise broadly representative of the disciplines in the College; and at least two members external to the College.

At least one member of the committee will have the appropriate skills in equity consideration or an additional member with these skills may be coopted by the chair.

49. The constitution of local promotions committees is approved by the relevant College Dean(s).
50. Colleges may have more than one local promotion committee, with appropriate cross-representation.

University Promotion Committee

51. The University promotion committee that endorses promotion applications to level E1 is constituted by:

a Deputy Vice-Chancellor (chair); a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair; chair of the Academic Board;

four Professors, broadly representative of the discipline groupings across the University; and a Professor, Deputy or Pro Vice-Chancellor that is external to the University.

At least one member of the committee will have the appropriate skills in equity consideration or an additional member with these skills may be coopted by the chair.

52. The constitution of the University promotion committee is approved by the Vice- Chancellor.

Level B to E1 Out of Round Promotion Committee

53. The promotion committee that endorses out of round promotion applications to levels B to E1 is constituted by:
a Deputy Vice-Chancellor (chair); a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair; a Pro Vice-Chancellor; and two College Deans.
54. The constitution of the level B to E1 out of round promotion committee is approved by the Vice-Chancellor.

Level E2 and E3 Promotion Committee

55. The promotion committee that endorses promotion applications to levels E2 and E3 is constituted by: a Deputy Vice-Chancellor (chair); a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair; a Pro Vice-Chancellor; and
Director, Human Resources.
56. The constitution of the level E2 and E3 promotion committee is approved by the Vice-Chancellor.

Communication of outcomes

57. Applicants will receive written notification of outcome from the chair of the relevant committee.
58. Copies of the notification will be provided to the applicant s supervisor and College Dean.
59. Verbal feedback will be offered to unsuccessful candidates by the chair of the relevant promotion committee. That feedback will focus on factors determined by the committee as being key to the outcome and advice on future activities that might be undertaken to strengthen the case.
60. Unsuccessful applicants will not apply for promotion in the following calendar year unless given written permission by the chair of the relevant promotion committee to do so.

Appeals

61. Applicants who are unsuccessful may lodge an appeal on the basis that there has been a procedural irregularity resulting in material disadvantage.

62. Appeals are made in writing to the Vice-Chancellor within twenty working days of written notification of outcome via the Director, Human Resources.
63. The Vice-Chancellor will seek advice as to whether or not there has been a breach of procedure including, but not limited to; reference to the chair and/or the original decision-making committee, and on the basis of that advice:

confirm the original committee's determination to deny promotion, or uphold the appeal and approve promotion, or refer the matter to an appeal committee, or refer the matter to the local promotions committee.
64. The appeal committee will comprise at least three chairs from local promotion committees or the University promotion committee, with at least one male and one female, all drawn from past or present committees.
65. The appeal committee will recommend to the Vice-Chancellor either that the original determination should be upheld, or that the appeal is upheld and that promotion should be granted.
66. Appellants will receive written notification of the outcome of their appeal.
67. Copies of the notification will be provided to the applicant's Supervisor and College Dean.
68. The effective date of promotion arising from an upheld appeal will be consistent with the timetable for the annual round in which the application was originally received.