<table>
<thead>
<tr>
<th>Name of Guidelines</th>
<th>Research Appointments Guidelines</th>
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<tr>
<td>Description of Guidelines</td>
<td>These guidelines outline the considerations when determining whether a research position should be classified as an Academic or Professional position.</td>
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<tr>
<td>New guidelines</td>
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<tr>
<td>Description of Revision</td>
<td>Guidelines revised to include references and relevant information relating to the Academic Performance Matrices and Evidence Framework.</td>
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<tr>
<td>Original Effective Date</td>
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<tr>
<td>Revision Effective Date</td>
<td>December 2016</td>
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<td>Vice Chancellor’s Approval Date</td>
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Background

Research staff can be employed as either Academic or Professional Staff. These Research Appointments Guidelines (Guidelines) have been developed for Executive Deans, Directors of Research Institutes, and Heads of Schools to provide guidance in determining the most appropriate employment classification for a role. The classification of a role as either Academic or Professional is important to the University as it creates the workforce profile necessary to support research outcomes for the University.

There are Academic Staff in roles that are expected to undertake research and where this is the need of the organisation the roles would have an Academic Career Pathway (ACP) of Teaching and Research, Research Focussed or Research Only. Similarly, the University’s workforce profile must consist of Professional Staff who are expected to support the research activities and related work that is being undertaken by the research academics. A distinction could be that the research support person would not normally be named author or co-author of the research. The classification of a role as either Academic or Professional is critical when external agencies assess the University’s research performance. However these Guidelines do not preclude a Professional Research Staff member being recorded as a named author where this is possible based on the nature of their involvement in the research project.

Australian Catholic University (ACU) is required to provide research data to Excellence in Research for Australia (ERA) for all researchers. This can include researchers who hold teaching-focused and, for example, emeritus and adjunct positions and who publish outputs in the relevant assessment period. The ERA submission must also include in the count of staff, all of those who are classified in the ACPs of Teaching and Research, Research-Focused, or Research Only irrespective of whether they publish. Therefore, it is important that:

- academic staff in these ACPs are performing (or have the potential to perform) academic work that produces research outcomes that are counted by ERA
- staff who are undertaking duties that are inherently professional staff work (and are therefore not likely to be producing research outcomes recognised by ERA) are not included in the count of staff for the ERA submission.

Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

Correct classification of an appointment based on the nature of the work to be done in the role also ensures a range of employment policies and practices are appropriately applied to staff. To illustrate this, there are different management practices in ACU and employment conditions/provisions in the ACU Staff Enterprise Agreement 2013-2017 (the Agreement) and supporting Policies and Procedures which apply to Academic and Professional Staff including Probation, Promotion, Salary Scales for both Academic and Professional Staff, Performance Planning and Review processes and Working Arrangements. Appendix A provides a brief overview of these highlighting some of the important differences in employment provisions between the classifications.

Included in these guidelines is a checklist to assist the supervisor / hiring manager in determining the appropriate classification (Academic or Professional) for a new position. In addition, guidance is included for the hiring manager who is considering options if it is identified that a currently occupied position may have been incorrectly classified at the time of appointment.
Appendix B includes a classification structure for ACU Research Staff, which is based on the existing classification descriptors detailed within Schedule 3 of the Agreement. Also listed are typical activities by level for research staff both Academic and Professional, as guided by the Academic Performance Matrices and Evidence Framework and the DWM Descriptors, respectively.

**Process and Checklist for determining a research role as either Academic or Professional Staff**

Following is a checklist that will assist the hiring manager determine the classification, ACP and level of the required role. The appointment needs to meet certain criteria and expectations of performance.

The clarification of the work activities to be undertaken by the role or position should occur prior to a Position Description being developed, and a new job request being submitted through Manager Online. Please note, for Professional Staff appointments there is a policy requirement to complete a ‘Position Classification Request’ (PCR) to confirm the Higher Education Worker (HEW) Level of the role prior to advertising the position. Further information about the classification process is found at Appendix A.

Before developing a Position Description and/or submitting a job request, consideration should be given to the following:

1. **Does the requirement for the new position or role arise as a result of an external research grant?**

   If yes – is the nature of appointment of staff specified as part of the grant application (e.g. the Chief Investigator will be Professor X who will be supported by two new research assistants)? Has there been a specification that the research assistants will be either Academic or Professional Staff?

   If yes – the recruitment must follow the requirements of the conditions in the research grant application as once the final document is signed by ACU, the research grant forms a contract between the University and the granting body.

   If no – what research work activities will be undertaken by this position or role?

   If the activities involve the staff member actually undertaking the research, then an Academic Staff appointment may be appropriate (see question 3 below). If the activities will be supporting the research being undertaken by either Academic Staff or other researchers (e.g. conjoint appointees who are researchers in a hospital); then a Professional Staff appointment may be more appropriate. Please refer to Appendix B which shows by level, classification standards and typical responsibilities for both Academic and Professional Staff. This will provide guidance for the supervisor / hiring manager in determining the nature of the role, whether Academic or Professional Staff.

2. **Does the requirement for the new position or role arise as a result of ACU requirements, including being funded by ACU – e.g. through the ACURF?**

   If yes – is there a specification on the ACURF grant application that the work will be supported by a research assistant?

   If yes – the recruitment must be consistent with the approved ACURF application.
Has there been a specification that the research assistants will be either Academic or Professional Staff?

If no – identify what research work activities will be undertaken by this position or role?

If the activities are actually undertaking the research, then an Academic Staff appointment may be appropriate. If the activities will be supporting the research being undertaken by either Academic Staff or other researchers, then a Professional Staff appointment may be more appropriate. Again, please refer to Appendix B which shows by level, classification standards and typical responsibilities for both Academic and Professional Staff. This will provide guidance for the hiring manager in determining the nature of the role whether Academic or Professional Staff.

3. If consideration is being given to making an academic appointment in a Teaching and Research, Research-focussed or Research-only ACP, then in light of the University’s Research Intensification Strategy have the following issues been considered?

What is the anticipated level of the appointment? If the anticipated level will be Lecturer (Level B) or higher, under the University’s requirements the successful candidate can be required to demonstrate that they have the qualifications and experience to meet the following criteria:

- Meets the ACU definition of Research Active*
- Has a record of undertaking independent research activities
- Has published in Quality journals and/or achieved a level of citations which are appropriate to the Field of Research and/or the Faculty has a reasonable expectation of the successful candidate achieving a X3 research workload allocation within a year after commencement with ACU. Further details can be found in the Research Performance Review and Plan and Research Performance Review and Plan Guidelines
- Meets the performance expectations of the Academic Level and ACP with reference to the Academic Performance Matrices and Evidence Framework.

*Definition of Research Active: An Academic Staff member whose ACP is either Research-focussed or Research-Only is required to meet the University’s definition of “Research Active”. The ACU Research Active Definition has been developed in accordance with the requirements of the Higher Education Standards Panel, and is designed to support the University’s research intensification strategy. Further information is found here: Research Active Policy

4. If consideration following step 3 above is that the work provides support for research rather than conducts research then a Professional Staff appointment is appropriate.

Appendix B will assist the nominated supervisor and/or hiring manager in determining the level of Professional Staff role which will be required when developing a position description and/or classifying the role prior to advertisement.

Conditions of employment for all research staff involved with either conducting or supporting research (Academic or Professional)
ACU has one Enterprise Agreement (the Agreement) that establishes the conditions of employment for both Academic and Professional staff. Status and title are often at play as are the aspirations and likelihood of employment at other Universities. While there is significant similarity, there are a few areas where employment conditions/provisions differ between Academic and Professional Staff.

Some of the areas of difference include: Fixed Term Employment, Probation and Promotion, Performance, (specifically the Research Performance Review and Plan (RPRP)), ACPS, Academic Workload and Flexible Working Arrangements. Appendix A provides a brief overview of these highlighting some of the important differences in employment provisions between the classifications.

**Specific provisions that apply to all research staff whether Academic or Professional**

The following several specific provisions of the Agreement that apply to all research staff.

**Classification of Roles**

All Research Staff must be appointed in accordance with the requirements of the Agreement, a research position or role must be classified in accordance with either the DWM Classification Descriptors for Professional Staff, or the Minimum Standards for Academic Levels (MSALs) found in Schedule 3 of the Agreement. A selection of the key DWM Descriptors and MSALs can be found in Appendix B.

In the case of Academic Staff, the Academic Performance Matrices and Evidence Framework is consistent with the MSALs and provides clearer guidance on the requirements of Academic Levels and ACPS. The Framework therefore supports and informs the classification of academic positions.

**Fixed-term Appointments**
The Agreement\(^1\) defines fixed-term employment as follows:

1.1 **Fixed-term employment** means employment for a specified term or ascertainable period, for which the instrument of engagement will specify the starting and finishing dates of that employment (or instead of a finishing date, will specify the circumstance(s) or contingency relating to a specific task or project), upon the occurrence of which the term of the employment will expire. Fixed-term employment may be on a full-time, fractional or part-time basis.

The Agreement provides that the University may employ staff under a specific category of fixed-term employment where those staff members are directly undertaking research activities:

6.7.2.3 ...

(ii) **Research** means work activity by a person engaged on research only functions for a contract period not exceeding five (5) years. Such a contract may be on a continuing contingent basis which is contingent upon the provision of funding.

The critical factor for consideration is the “work activity” to be undertaken. A staff member who is undertaking research or directly supporting that research may be employed on a fixed-term contract of employment for up to 5 years. Where a staff member is not directly supporting or undertaking the research, (e.g. the role of an Executive Assistant to the Director of a Research Institute), this category of fixed-term employment cannot be used. Whilst the Agreement does not limit the number of times a staff member may be employed under the ‘research’ category, each fixed term contract expiry and new employment offer will be considered on a case-by-case basis in accordance with the [Employment of Fixed-Term Staff Policy](#).

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\(^1\) The definition of fixed-term employment is consistent with section 386(2) of the Fair Work Act, 2009.
A continuing contingent contract is one where the University guarantees that the contract of employment will continue as long as the funding for the role or position continues. Such funding is normally externally based as the University would not normally offer a fixed-term contract which is supported by internal funding, (i.e. the role or position is reliant on student fee income). A continuing contingent contract will need to include a review date which is linked to the external funding grant or arrangement. If the funding is to cease at any time, the University is required to invoke the notice provision of the contract, and provide the staff member with the required notice (or payment in lieu thereof) that the contract will end on a certain date due to the funding for the role no longer being available or not being guaranteed beyond a certain date.

Renewal and non-renewal of research based fixed-term contracts of employment
Prior to the expiry date of the contract or at the review point of a continuing contingent contract, a decision must be made about whether or not further employment will be offered. Where a decision is made to not offer further employment or not to continue with the continuing contingent contract; the staff member must receive notice of that decision or payment in lieu thereof. Further information about notice periods and severance payments please see section 6.7.2.4 of the Agreement.

Casual Research Staff
In addition to employing research staff on fixed-term contracts of employment, research staff members may also be engaged on a casual basis as follows:

Casual academic researcher:
The minimum salary paid to a research Academic Staff member engaged to undertake research-only related activities and employed on a casual basis will be an hourly rate derived from the full-time rates set out in Schedule 1, Part A, together with a 25% loading. This loading is in compensation for the casual nature of the appointment and all leave entitlements including personal leave, public holidays, annual leave, long service leave and annual leave loading.

2.3 Casual Professional Staff:

2.3.1 The minimum salary paid to a Professional Staff member employed on a casual basis will be the ordinary rate per hour derived from the full time rates as set out in Schedule 1, Part B, together with a loading of 25%.

2.3.2 The minimum period of engagement for casual Professional Staff is three (3) hours; other than for casual Professional Staff members who are students who are expected to attend the University on that day in their capacity as a student who have a minimum engagement period of one (1) hour.

Superannuation Arrangements
The Agreement provides the following superannuation arrangements for casual and fixed-term staff:

Employer superannuation contributions for casual staff and for staff engaged on an initial fixed-term contract of employment up to twelve (12) months shall be the minimum required superannuation guarantee rate.

Therefore a staff member who is engaged either as a casual or employed on a fixed-term contract of employment for a period of less than 12 months will receive the minimum required superannuation guarantee rate (currently 9.5%).
Next Steps where a change of ACP or classification of role is being considered

Where a staff member has been employed as an academic researcher, and due to their employment history or position responsibilities the staff member is unlikely or unable to meet for example:

- The probation criteria set out in their employment contract;
- the Research Active definition; and/or
- Quality research outcomes enabling them to receive a X3 workload allocation as a result of the RPRP process.

Then consideration should be given to either:

a) changing the staff members ACP to better reflect their research performance and contribution to other academic activities, or
b) re-classifying the role to a Professional Research Staff role (if there are no grant requirements that the role is academic)

Option a): Changing the staff members ACP is normally only achieved through the Academic Performance Review and Planning (PRP) Process. A provision to allow a variation to the staff member’s ACP is contained in the Agreement at Section 5.2.4.5 ‘Nothing in this agreement prevents a staff member from being required to change their Academic Career Pathway in accordance with the Performance Review and Planning Program for Academic Staff process’ and section 5.2.4.6 also contains this clause: ‘A variation to an Academic Career Pathway can only be approved by a member of the Executive’. (Sections 5.2.4.5 and 5.2.4.6 respectively)

The supervisor needs to consider whether the change in pathway would provide the opportunity for the staff member to meet the MSALs and performance expectations outlined in the Academic Performance Matrices and Evidence Framework for the academic level. It is the expectation of the University that the pathway and associated performance and development objectives agreed in the PRP discussion should support the staff member’s achievement of the MSALs and Academic Performance Matrices and Evidence Framework for that academic level. This also assists the staff member’s development should they wish to be considered for promotion to the next academic level. If this is not the case and the duties and responsibilities of the required position more closely reflect those of a Professional Staff Research role (See Appendix B) then consideration needs to be given to changing the staff member’s classification from Academic to Professional Staff.

Option b: Re-classifying the role to a Professional Research Staff role. Following are options based on the type of employment contract:

Options when the contract is fixed term:

(i) Depending on the length of the fixed-term contract, an option is to wait until the Academic Staff member’s fixed-term contract of employment is due to expire, and then provide the staff member with formal notice that they will be offered a new contract of employment as a Professional Staff member. This option is consistent with the requirements of the Agreement for the University to provide written notice of its intention to renew employment upon the expiry of the contract, i.e. the new offer of employment can be in a different role and involve a different classification. The new employment contract can be to a professional research position for the required term or a term of up to five (5) years. Please note, a Position Classification Request and classification of the role in line with the Position Classification for Professional Staff policy would need to occur before an offer of employment can be made for the Professional Staff position.
Further information about the classification process for Professional Staff is contained in Appendix A.

The salary to be offered will be based on the classification of the work to be undertaken as a Professional Staff position. If there is a difference between the previous salary paid (e.g. as a Level A/B academic) and the salary that will be paid under the new contract (e.g. as HEW Level 7); there is discretion for a salary loading to be paid as part of the contract of employment. This is normally up to 20%. The payment of such a salary loading must be approved in advance by the delegated officer who will be the relevant member of the Senior Executive (with advice from the Director HR or nominee). The payment of a salary loading can be restricted to a certain time period. Appendix C shows a comparison of academic and professional staff base salary rates 2016 to 2017.

(ii) In circumstances where an Academic Staff member’s fixed term contract of employment still has several years to run, the University can make a further offer of employment before the contract is due to expire. In such circumstances, the replacement employment contract can be to a Professional Research position for a term of up to 5 years. The Annual Performance Planning and Review (PRP) discussion provides the opportunity for this and other possible options to be discussed with the staff member. Further information about the PRP process can be found at Appendix A.

As per Option b (i), where there is a difference between the salary previously paid and the classification and salary of the Professional Staff role, consideration can be given to providing an additional salary loading as appropriate.

Please note, however, that the staff member is not compelled to accept the new offer of employment. Should the new offer of employment not be accepted, the staff member continues their current appointment as an Academic Staff member for the term of that appointment. The staff member however is expected to demonstrate performance that meets or exceeds the requirements of the Academic Performance Matrices and Evidence Framework (which are consistent with the MSALs) for the Academic Level and ACP. If the staff member’s performance does not meet or exceed these standards the ‘Managing Unsatisfactory Performance Policy’ may apply.

(iii) Where the Academic Staff member’s position is continuing (as the nature of the employment contract is a contractual term) a change to the type of contract could be deemed to result in a change which has a significant effect on the staff member’s employment. This type of change to the staff member’s employment contract would therefore need to be managed in accordance with clause 8.4.1 ‘Principles and Practices of Change Management’ of the Agreement. The Agreement does provide options for management of change that may be deemed as ‘minor’ to be managed at the local level through direct discussion and consultation with affected staff. Where the change may result in more significant affects and consequences, a more formal process which ensures the principles of change management should occur. Please see section 8.4.1 of the Agreement for further information on how this type of change is conducted. Human Resources will assist the supervisor/Faculty to ensure the proposed change is conducted in accordance with the Principles and Practices of Change Management outlined in the Agreement.

**Professional Staff member seeking employment in an academic role**

In circumstances where a Professional Staff member seeks to be considered for an Academic role they can apply for any vacant academic positions advertised in accordance with the ACU Recruitment and Selection Policy and Procedures.
Appendices

Appendix A  Conditions of Employment for Academic and Professional Research Staff - Comparison

Appendix B  Classification Structure - Research Positions. Role descriptors and responsibilities by level.

Appendix C  Salary Rates by Level – Academic and Professional Staff 2015-2017 - Comparison

Related documents and other reference material:

Academic Performance Matrices and Evidence Framework

Academic Workload Policy

ACU Staff Enterprise Agreement 2013-2017 (includes DWM Descriptors and MSALs)

Performance Review and Planning Program for Academic Staff Policy

Research Performance Review and Plan

Performance Review and Planning for Professional Staff

Flexible Working Arrangements

Probation for Academic Staff Policy

Position Classification for Professional Staff Policy

Research Study Program (RSP) for Academic Staff
### Appendix A

**Conditions of Employment for Academic and Professional Research Staff – Comparison**

This appendix includes excerpts from the ACU Staff Enterprise Agreement 2013-2017 (the Agreement) and ACU employment policies and procedures.

<table>
<thead>
<tr>
<th><strong>Job Design/Classification</strong></th>
<th><strong>Classification Standards for Academic Staff (Levels A to E)</strong></th>
<th><strong>Classification Standards for Professional Staff (HEW Level 1 to 9)</strong></th>
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<tr>
<td>In Schedule 3 of the Agreement, there are two position classification systems for staff - the Minimum Standards for Academic Levels (MSALs) for Academic Staff and the DWM Descriptors for Professional Staff (See Schedule 3 of the Agreement). For Academic Staff, the Academic Performance Matrices and Evidence Framework supports and informs the classification of academic positions by elaborating on the MSALs and providing clearer guidance on the requirements by Academic Levels for each ACP. These systems describe the key standards and descriptors at each level for either Academic or Professional staff. When reviewing an existing position or designing a new position the manager is guided by these standards when determining the Academic level A to E or Professional level 1-9 of the position. The Salary Rates for each Academic or Professional level set out in Schedule 1 of the Agreement.</td>
<td>The intention is to allow for equitable and transparent classification of academic staff positions. Approvals of classification and ACP in accordance with the Performance Matrices and Evidence Framework (and therefore the MSALs) will occur at the establishment of new academic positions. A point of difference between the Research-focussed and Research Only ACP is in the area of teaching. The former may be required to undertake limited teaching duties while the teaching of the latter (Research Only) will normally comprise Higher Degree Research Supervision.</td>
<td>The intention is to allow for equitable and transparent classification of professional staff positions. Approvals of classification in accordance with the DWM descriptors will occur at the establishment of new Professional Staff positions or when a position changes significantly. Classification of Professional Staff positions occurs in accordance with the Position Classification for Professional Staff Policy and Procedures. The Hiring Manager must ensure all new professional staff positions have been classified in accordance with the Position Classification for Professional Staff Policy (as applicable) found here Position Classification for Professional Staff Policy.</td>
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<tr>
<th><strong>Academic Career Pathways for Research Staff</strong></th>
<th><strong>Academic Career Pathways for Research Staff</strong></th>
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<tr>
<td>The Agreement stipulates that an academic staff member’s ACP is a decision of the University “which is based on the contribution, participation, outcomes and outputs of an individual staff member as measured by the minimum requirements and quality standards identified by the University”. However a staff member’s ACP may vary from time to time, based on either the individual’s or University’s requirements.</td>
<td>There are no specific career pathways specified in the Agreement for professional staff. The position description developed in accordance with the Position Classification for Professional Staff policy will prescribe the skills and knowledge requirements and duties and responsibilities of each position. Professional Staff can apply for vacant positions within ACU. Vacant positions are advertised in accordance with ACU’s Recruitment and Selection Policy and Procedures. All staff can apply to any ACU advertised</td>
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Section 5.2.4 of the Agreement stipulates the following five (5) ACPs:

- Teaching and Research
- Teaching-focused
- Research-focused
- Research Only
- Academic Leadership/Service

The Agreement states that “Each pathway has a continuum of academic activity to reach full participation, and allocation of an annual workload.” Staff in any of the five (5) ACPs (except Teaching-focused) can be allocated workload hours to conduct research activities. Workload hours are allocated in accordance with the Academic Workload Policy.

Probation

Probation for Academic Staff
The Probation for Fixed Term Academic Staff Policy and Probation for Continuing Academic Staff Policy are located here - Probation policies.

Section 2 of the policies states: “An Academic Staff member, other than a casual appointee, may be employed on the basis of a requirement to complete satisfactorily a specified reasonable period of probationary employment that is directly related to the nature of the work to be performed. The requirement to complete a probationary period may be attached to offers of continuing and fixed-term employment”. Probationary periods and probationary criteria are set out in the staff member’s offer of appointment.

The Probationary Review Committee is responsible for confirming a continuing Academic Staff member’s appointment. Formal reviews are normally conducted at the midpoint and prior to the end of the probation period.

Probation for Professional Staff
Prior to confirming an appointment, a Professional Staff member, other than a casual staff member, may be required to complete a specified reasonable period of probationary employment that is directly related to the nature of the work to be carried out.

A Professional Staff member cannot normally be required to serve more than one period of probation with the University; and will never be required to serve more than a maximum of six months’ probation. Probation criteria for staff required to complete a period of probation are set out in the offer of employment letter and are reviewed by the supervisor normally at the midpoint of the probationary period and again prior to the anticipated date of confirmation. Employment is confirmed/not confirmed in accordance with the Probation for Professional Staff policy located here Probation policies.

Working Arrangements

The University recognises that flexible working arrangements may assist both Academic and Professional Staff members to balance their work, personal and family needs, including meeting competing commitments. The arrangements that may be available to Academic and Professional staff include: changing hours of work, changing patterns of work, changing the location of work or changing work arrangements. Further, certain staff members have the right to request flexible working arrangements and the University is obliged to consider each request on its merit and respond formally within 21 days. Whilst flexible working arrangements are intended to accommodate staff members’ needs, staff members are also expected to organize their time on a ‘give-and-
take’ basis to ensure the proper and efficient operations of the University. Further information can be found in the Flexible Working Arrangements policy found here, [Flexible Working Arrangements](#).

<table>
<thead>
<tr>
<th>Working Arrangements for Academic Research Staff</th>
<th>Flexible Working Arrangements for Professional Staff</th>
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<tr>
<td>The working arrangements for academic research staff, including the detailed workload allocations for specific research activities are specified in the Academic Workload Policy document which is located at <a href="http://www.acu.edu.au/459615">http://www.acu.edu.au/459615</a>. The research workload allocations for Academic Career Pathways will be determined in accordance with the Academic Workload Policy, supported by the Faculty Research Workload Review Panel. The section 5.2.1 of the Agreement sets out Principles of Academic Availability and the expectations concerning absences and attendance on campus.</td>
<td>Professional Staff may be asked to work more flexibly to assist maintain work unit operations or to provide for enhanced operations in certain circumstances. These working arrangements are negotiated within particular parameters (including the provision that the normal weekly ordinary hours of work shall be thirty five (35) hours in one week) set out in section 6.3 of the Flexible Working Arrangements policy found here. <a href="#">Flexible Working Arrangements</a>.</td>
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### Performance Review and Planning (PRP)

Australian Catholic University recognises the need for performance excellence to be successful in all of its activities and operations. In the context of its Mission, strategic goals, MSALS and Academic Performance Matrices and Evidence Framework, and the DWM Descriptors and to enhance excellence in performance, the University has a Performance Review and Planning Policy.

To achieve performance excellence, the University needs to constructively nurture and enhance performance, and have mechanisms to recognise performance excellence and to manage performance improvement. The PRP process provides a framework for identifying, evaluating and developing performance that assists staff to meet individual professional and work goals as well as their collective work area and organisational goals. The PRP for Professional Staff and the PRP for Academic Staff are normally conducted at different times of the year (as set out below) and while the principles of the processes for both academic and professional staff are similar the unique pro-formas prescribe differences applicable to the nature of both professional and academic staff work.

<table>
<thead>
<tr>
<th>PRP for Academic Staff</th>
<th>PRP for Professional Staff</th>
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<tr>
<td>The PRP Policy applies to all Academic Staff (except casual staff members) who are employed on a continuing or fixed-term basis for a period greater than six (6) months. The PRP provides a mechanism where the staff and supervisor can review performance over the past year, set and discuss performance, career and development goals and progress. Staff on probation, participate in the PRP process annually using, as a minimum, the probationary criteria as the basis for their performance objectives. The Annual Planning and Review Cycle is normally twelve months in duration. All Performance Plans and Annual Reviews for Academic Staff are prepared by the Academic Line Manager.</td>
<td>The PRP Policy applies to all Professional Staff who are employed on a continuing or fixed-term basis for a period greater than six (6) months. The PRP provides a mechanism where the staff and supervisor can review performance of the past year, set and discuss performance, career and development goals and progress. The Annual Planning and Review Cycle is normally twelve months in duration. All Performance Plans and Annual Reviews for Professional Staff are normally required to be completed between January and June each year. Applicable staff are to be reviewed annually under this policy. New professional staff who are eligible to participate in the PRP should have their</td>
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2 Sub-clause 5.2.5.3 of the Agreement which states: Research workload allocation for all Academic Career Pathways will be determined in accordance with the ACU Academic Workload Policy supported by the Faculty Research Workload Review Panel (or its successor or equivalent).
normally required to be completed between July and December each year. Applicable staff are to be reviewed annually under this policy. During the performance planning year, the staff member will maintain an Academic Performance Portfolio that reflects their achievements, consistent with their career goals and annual performance objectives. Further information including the policy, PRP Conversation Guides and the PRP pro-forma for Academic Staff can be found here. PRP for Academic Staff Policy.

Research Performance Review and Planning (RPRP). In accordance with section 10.2 of the Academic Workload Policy, all academic staff who are seeking a research workload (X3) must complete and submit an RPRP to be assessed by the Faculty Research Workload Review Panel (FRWRP) who makes a recommendation to the Deputy Vice-Chancellor, Research (DVC) who either adjusts or confirms the workload recommendation for that staff member. Further information about the RPRP process can be found here RPRP.

Other research workload allocations are as follows:
- a designated Early Career Researcher (ERC) research workload enabling activity; (X2)
- undertaking your own PhD; (X1)
- supervision of HDR students; or (X4&5)
- other research project. (X6)

Rewards and Recognition

Incremental Progression for Academic and Professional Staff
Incremental Progression applies to all continuing and fixed-term Academic and Professional Staff of the University. A staff member normally progresses to the next step of their current classification level following each twelve (12) months of paid service based upon satisfactory performance. Incremental steps for each level are set out in Schedule 1 of the Agreement. In order to achieve incremental progression a staff member must be able to demonstrate that they have met the necessary performance outcomes and expected levels of achievement for incremental progression, over the preceding twelve (12) months, as assessed by their nominated supervisor, following a performance review carried out in accordance with the Academic or Professional Staff PRP process. Further information about this policy is found here. Incremental Progression for Academic Staff Policy, Incremental Progression for Professional Staff Policy.

Other Reward and Recognition Programs for Academic staff
These include: Research Awards for Female Academic Staff, Research Study Program (RSP) for Academic Staff and Academic Promotions Policy and...
**Guidelines** These links contain further information about these programs for academic staff.

*Study Support* is also available to both academic and professional staff. Different provisions apply. For further information about these policies can be found here. [Study Support policies for Professional staff](#) and [Study Support for Academic staff](#).
### Appendix B

Classification Structure – Research Positions. Role Descriptors and Responsibilities by Level

#### Professional Staff

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<thead>
<tr>
<th>Role/Title</th>
<th>HEW Level</th>
<th>Training level or qualifications (includes)</th>
<th>Other Key DWM Descriptors (extract from Schedule 3 DWM descriptors for Professional Staff – ACU Staff Enterprise Agreement Jan 2013)</th>
<th>Typical responsibilities/duties in research support can include: (as guided by the DWM Descriptors)</th>
<th>hyperlink</th>
</tr>
</thead>
</table>
| Research Assistant    | 5         | Completion of degree or associate diploma and 2 years subsequent work experience (HEW 5) or equivalent | • Provide interpretation, advise and decisions on rules and entitlements  
• Be responsible for co-ordinating a team to provide an administrative service  
• Under broad direction, set up, monitor and demonstrate standard experiments and equipment use  
• Work as part of a research team in a support role | • Record clear and accurate research data and manage research data according to ethical protocols and relevant legislation  
• Administer standardised research instruments to participants  
• Conduct routine evaluations based on standardised criteria |          |
| Research Support Officer | 6      | Degree with subsequent relevant experience or equivalent | • Develop or redefine procedure or policy within work area.  
• Innovate within own function. Responsible for outcomes.  
• Design, develop test complex equipment.  
• Analyse and report on data and experiments.  
• Manage a teaching or research laboratory  
• Set up complex experiments  
• Service a range of committees  
• Work as part of a research team | • Drafting of research proposals, funding applications, ethics applications, research project documentation  
• Collect enter and analyse data using a variety of methods including interviewing, surveys, mapping and analysis of secondary data sets  
• Report writing  
• Coordinate small research projects |          |
| Senior Research Officer | 7     | Degree with at least 4 years subsequent work experience or equivalent | • The management of teaching/research facilities for a school  
• Acknowledged expertise in specialised areas  
• Development of new ways of using a specific body of knowledge or integration of other specific bodies of knowledge  
• Adapt procedures to fit policy prescriptions or use theoretical principles in modifying and adapting techniques  
• May involve the interpretation of policy which has impact beyond immediate work area | • Prepare project documentation, research proposals, funding applications etc. for complex research projects where interpretation and adaptation to policy is required  
• Report preparation where information is being adapted in new ways or new processes are proposed.  
• Recommend external funding research opportunities  
• Complex research data gathering and analysis |          |
| Senior Research Officer | 8     | Completion or progress towards postgraduate qualifications and extensive relevant experience or equivalent | • Likely to require the development of new ways of using a specific body of knowledge.  
• Responsible for program development and implementation.  
• Provide strategic support and advice which requires integration of a range of University policies external requirements  
• Implement programs involving major change. Occupational equivalent of a researcher of national standing, manager or faculty administrator.  
• Assist in the management of a large functional unit, manage a function or development and implementation of policy requiring a high degree of knowledge and sensitivity. | • Manage complex/large research projects involving all stakeholders  
• Design and conduct data gathering and analysis protocols in line with requirements of research projects  
• Supervise research assistants/officers  
• Responsible for induction of new academic and professional staff regarding office and project |          |
| Principal Research Officer/Manager | Postgraduate qualifications and extensive relevant experience or equivalent | Demonstrated capacity to conceptualise, develop and review major professional, management or administrative policies at the corporate level. Significant high level creative, planning management functions. | Responsibility for significant resources | Responsible for program development and implementation | Provide strategic support and advice which requires integration of a range of University policies and external policies and demands | Ability to achieve objectives operating within complex organisational structures | Provide senior administrative support to more complex schools and faculties | Researcher of national or international standing, manager, senior school or faculty administrator. | Manage all administrative support requirements for large research facility | Recruit, supervise and manage support staff | Provide advice to Director on all staff issues, policies and procedures | Set up and oversee all administrative processes to ensure effective management of staff and research projects/outcomes and record keeping | Manage external stakeholders/issues to ensure potential risks/ issues are minimised. |

N.B. Typical responsibilities/duties shown are samples only and are not exhaustive or exclusive to each HEW Level. Each higher HEW Level subsumes the responsibilities/duties for lower HEW Levels.
### Academic Staff

<table>
<thead>
<tr>
<th>Role/Title</th>
<th>Academic Level</th>
<th>Training level or qualifications (includes)</th>
<th>Research Only (extract from Schedule 3MSals for Academic Staff) ACU Staff Enterprise Agreement 2013 – 2017</th>
<th>Typical Activities/Expectations Research Only (extracted from the Academic Performance Matrices and Evidence) – hyperlink</th>
</tr>
</thead>
</table>
| Research Associate  | A              | PhD not required but can be a condition of probation – Expected to have completed 4 years of tertiary study | • Works with support and guidance from more senior academic staff  
• May undertake limited teaching  
• May supervise at undergraduate levels  
• May publish results of research conducted as sole author or in collaboration  
• Conduct research/scholarly activities under limited supervision either independently or as part of a team | • Demonstrated research skills and contribution to research outcomes within the discipline and/or field.  
• With the support of mentors establish or consolidate a coherent program of quality research aligned to the National and/or ACU research priorities.  
• Outputs of research as single or co-author consistent with discipline standards.  
• Participation in research applications for internal and external funds.  
• Supervision (as assistant or co-supervisor) of and/or research masters students, where appropriate qualifications are held to do so.  
• Attendance and involvement with training to enhance research capability. |
| Research Fellow     | B              | PhD required.                               | • Will normally have experience in research or scholarly activities which have resulted in publications in refereed journals or other demonstrated scholarly activities  
• Carry out independent or team research. May supervise postgraduate research students or projects and be involved in research training. | • Emerging national recognition of research in the discipline and/or field.  
• Established coherent program of quality research including a record of high quality outputs of research aligned to the National and/or ACU research priorities.  
• Record of competitive applications for external research funding whether successful or unsuccessful.  
• Effective supervision (as assistant, co- or principle supervisor) of HDR students with other academic supervisors and research mentors and co-publication with HDR students.  
• Growing capacity to supervise theses or projects.  
• Attendance and involvement with training to enhance research capability. |
| Senior Research Fellow | C              | As above                                    | • Will make independent and original contributions to research, which have significant impact on their field of expertise.  
• Will be acknowledged at a national level as being influential in expanding the knowledge of their discipline.  
• Strong record of published work or other demonstrated scholarly activities.  
• Will provide leadership in research, including research training and supervision. | • Research leadership with a national reputation and growing international profile in the discipline and/or field.  
• Established coherent program of quality research including a sustained record of high quality outputs of research aligned to the National and/or ACU |
| Principal Research Fellow | D | As above | • Will make major original and innovative contributions to their field of study of research which are recognised as outstanding nationally or internationally.  
• Will play an outstanding role in fostering the research activities of others and in research training | • Established research leadership with national and/or international research profile in a field of expertise.  
• Established coherent program of quality research including a sustained and significant record of high quality outputs of research aligned to the National and/or ACU research priorities.  
• Demonstration of the ability to build research capacity, productive research collaborations and lead a research team.  
• An established record of attracting external research income in a manner consistent with disciplinary practice.  
• Established successful record of attraction, recruitment and completion of HDR students as a principal supervisor.  
• Leadership in the development of research and HDR supervision skills in staff and HDR students including mentoring and facilitation of professional development programs, and leadership and development of assistant supervisors in accordance with the Academic Research Code of Practice.  
• Leadership and/or contribution to collaborations, networks and partnerships recognised at a national or international level.  
• Established record of engagement with profession, government, industry and community with substantial contracts for research/consultancy. |
<p>| Professorial | E | As above | • Will typically achieved international recognition through original, innovative and | • Sustained research leadership with national and/or |</p>
<table>
<thead>
<tr>
<th>Role</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Fellow</td>
<td>• Distinguished contributions to their field of research which is demonstrated by sustained and distinguished performance.</td>
</tr>
<tr>
<td></td>
<td>• Provide leadership in their field of research, within their institution, discipline and/or profession and within the scholarly and/or general community.</td>
</tr>
<tr>
<td></td>
<td>• They will foster excellence in research, research policy and research training.</td>
</tr>
<tr>
<td></td>
<td>• Established coherent program of quality research including a sustained and significant record of high quality outputs of research aligned to the National and/or ACU research priorities.</td>
</tr>
<tr>
<td></td>
<td>• Sustained record of productive research collaborations and/or leadership of research teams.</td>
</tr>
<tr>
<td></td>
<td>• Significant record of attracting external grant funding at above average for the discipline and/or at national or international level.</td>
</tr>
<tr>
<td></td>
<td>• Significant record of leadership in the development of a supportive research training environment for staff and HDR students including mentoring and facilitation of professional development programs, and leadership and development of assistant supervisors in accordance with the Academic Research Code of Practice.</td>
</tr>
<tr>
<td></td>
<td>• Sustained profile of engagement with profession, government, industry and community including substantial contracts for research and/or consultancy.</td>
</tr>
</tbody>
</table>

N.B. Each higher Academic Level subsumes the responsibilities/duties for lower Academic Levels.
### Appendix C

Salary Rates by Level – Academic and Professional Staff 2016-2017 – Comparison

Drawn from Schedule 1 ACU Staff Enterprise Agreement 2013-2017

<table>
<thead>
<tr>
<th>SALARY RATES</th>
<th>3% Increase 02/07/2016</th>
<th>3% Increase 1/7/2017</th>
<th>SALARY RATES</th>
<th>3% Increase 02/07/2016</th>
<th>3% Increase 1/7/2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Level A, Increment 1</td>
<td>$63,196</td>
<td>$65,092</td>
<td>HEW 5 Increment 1</td>
<td>$65,753</td>
<td>$67,726</td>
</tr>
<tr>
<td>Academic Level A, Increment 2</td>
<td>$66,806</td>
<td>$68,810</td>
<td>HEW 5 Increment 2</td>
<td>$67,582</td>
<td>$69,609</td>
</tr>
<tr>
<td>Academic Level A, Increment 3</td>
<td>$70,415</td>
<td>$72,527</td>
<td>HEW 5 Increment 3</td>
<td>$69,424</td>
<td>$71,507</td>
</tr>
<tr>
<td>Academic Level A, Increment 4</td>
<td>$74,025</td>
<td>$76,246</td>
<td>HEW 5 Increment 4</td>
<td>$71,252</td>
<td>$73,390</td>
</tr>
<tr>
<td>Academic Level A, Increment 5</td>
<td>$76,962</td>
<td>$79,271</td>
<td>HEW 6 Increment 1</td>
<td>$73,521</td>
<td>$75,727</td>
</tr>
<tr>
<td>Academic Level A, Increment 6</td>
<td>$79,894</td>
<td>$82,291</td>
<td>HEW 6 Increment 2</td>
<td>$75,348</td>
<td>$77,608</td>
</tr>
<tr>
<td>Academic Level A, Increment 7</td>
<td>$82,831</td>
<td>$85,316</td>
<td>HEW 6 Increment 3</td>
<td>$77,176</td>
<td>$79,491</td>
</tr>
<tr>
<td>Academic Level A, Increment 8</td>
<td>$85,763</td>
<td>$88,336</td>
<td>HEW 6 Increment 4</td>
<td>$79,006</td>
<td>$81,376</td>
</tr>
<tr>
<td>Academic Level B, Increment 1</td>
<td>$93,667</td>
<td>$96,477</td>
<td>HEW 7 Increment 1</td>
<td>$81,325</td>
<td>$83,765</td>
</tr>
<tr>
<td>Academic Level B, Increment 2</td>
<td>$97,048</td>
<td>$99,959</td>
<td>HEW 7 Increment 2</td>
<td>$83,555</td>
<td>$86,062</td>
</tr>
<tr>
<td>Academic Level B, Increment 3</td>
<td>$100,437</td>
<td>$103,450</td>
<td>HEW 7 Increment 3</td>
<td>$85,788</td>
<td>$88,362</td>
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<tr>
<td>Academic Level B, Increment 4</td>
<td>$103,821</td>
<td>$106,936</td>
<td>HEW 7 Increment 4</td>
<td>$88,017</td>
<td>$90,658</td>
</tr>
<tr>
<td>Academic Level B, Increment 5</td>
<td>$107,208</td>
<td>$110,424</td>
<td>HEW 8 Increment 1</td>
<td>$90,696</td>
<td>$93,417</td>
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<tr>
<td>Academic Level B, Increment 6</td>
<td>$110,590</td>
<td>$113,908</td>
<td>HEW 8 Increment 2</td>
<td>$94,267</td>
<td>$97,095</td>
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<tr>
<td>Academic Level B, Increment 7</td>
<td>$117,361</td>
<td>$120,882</td>
<td>HEW 8 Increment 3</td>
<td>$97,825</td>
<td>$100,760</td>
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<tr>
<td>Academic Level C, Increment 1</td>
<td>$120,750</td>
<td>$124,373</td>
<td>HEW 8 Increment 4</td>
<td>$101,399</td>
<td>$104,441</td>
</tr>
<tr>
<td>Academic Level C, Increment 2</td>
<td>$124,129</td>
<td>$127,853</td>
<td>HEW 9 Increment 1</td>
<td>$105,193</td>
<td>$108,349</td>
</tr>
<tr>
<td>Academic Level C, Increment 3</td>
<td>$127,518</td>
<td>$131,344</td>
<td>HEW 9 Increment 2</td>
<td>$108,750</td>
<td>$112,013</td>
</tr>
<tr>
<td>Academic Level C, Increment 4</td>
<td>$131,908</td>
<td>$136,873</td>
<td>HEW 9 Increment 3</td>
<td>$112,325</td>
<td>$115,695</td>
</tr>
<tr>
<td>Academic Level D, Increment 1</td>
<td>$133,164</td>
<td>$137,159</td>
<td>HEW 9 Increment 4</td>
<td>$116,033</td>
<td>$119,748</td>
</tr>
<tr>
<td>Academic Level D, Increment 2</td>
<td>$137,673</td>
<td>$141,803</td>
<td>HEW 9 Increment 5</td>
<td>$120,450</td>
<td>$124,373</td>
</tr>
<tr>
<td>Academic Level D, Increment 3</td>
<td>$142,188</td>
<td>$146,454</td>
<td>HEW 9 Increment 6</td>
<td>$124,876</td>
<td>$129,282</td>
</tr>
<tr>
<td>Academic Level D, Increment 4</td>
<td>$146,702</td>
<td>$151,103</td>
<td>HEW 9 Increment 7</td>
<td>$129,297</td>
<td>$133,852</td>
</tr>
<tr>
<td>Academic Level E, Increment 1</td>
<td>$171,532</td>
<td>$176,678</td>
<td>HEW 9 Increment 8</td>
<td>$133,759</td>
<td>$138,551</td>
</tr>
</tbody>
</table>