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## Workload Measurement and Allocation Scheme

### 1 Scheme objectives and general principles

- 1.1 The Workload Equalisation Model (**the Model**) is a workload allocation model for measuring and allocating academics' workloads so that for academic staff they are equitable, transparent, manageable and consistent with the Academic Workload Equalisation Principles and the College and University's strategic aims and values.
- 1.2 The Model:
- (a) creates a common approach to academic workload allocation across the College, ensuring consistency and fairness across all academics, yet enables discipline -specific flexibility;
  - (b) recognises that a successful career may comprise mainly teaching, mainly research and creative activity, or a mix of both;
  - (c) recognises that each academic's workload may comprise a different yet equally respected mix of activities of two or more of the three potential areas identified in the Academic Profiles: Teaching, Research and Creative Activity and Service and Leadership;<sup>1</sup>
  - (d) applies to continuing or fixed term academic staff only;
  - (e) applies to Teaching and Research academics for the three academic activity areas of Teaching, Research and Creative Activity and Service and Leadership;
  - (f) applies to Teaching Specialists for the two academic activity areas of Teaching and Service and Leadership;
  - (g) applies to Research Academics for the two academic activity areas of Research and Creative Activity and Service and Leadership predominantly, although some minor amounts of Teaching activities may occur;
  - (h) does **not** apply to sessional or casual academic staff;
  - (i) is operationalised through 'key indicators', not by measuring all activities in an itemised and prescriptive way but uses key indicators as representations of broader areas;
  - (j) is a units-based model for the measurement and determination of an academic's annual workload in each of the Academic Activities;
  - (k) is based on Academic Workload Equalisation Principles (Flinders University Enterprise Agreement) using objective verifiable University data from University systems;
  - (l) is flexible and may consider College and individual's specific circumstances through adjustments.

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<sup>1</sup> <https://www.flinders.edu.au/content/dam/documents/staff/policies/people-culture/academic-profiles.pdf>

## 2 Methodology

### 2.1 Total Workload Allocation (TWA) Units

- (a) A full-time academic staff member's workload is comprised of 30 Workload Allocation Units (WAU), pro-rated for part time staff.
- (b) The allocation of duties, and hence WAUs, is calculated using available university data (and some manually collected information as necessary). Wherever possible, allocation calculations will be based on objective, identifiable University systems data.

### 2.2 Prorata Workload Allocation

- (a) TWAs will be adjusted for part-time academics.
- (b) If an academic is part-time (data sourced from University systems) the TWA (FTE 30 WAU) will be pro-rated (e.g. an academic who is 0.8 FTE will have a TWA of 24 (i.e.  $30 \times 0.8$ )).
- (c) Pro rating WAUs will be to the nearest equivalent full WAU (e.g. 0.5 fraction equates to 15 WAU, 0.67 fraction equates to 20 WAU) within each workload.
- (d) For staff who are on leave, such as long service leave, personal leave or other types of leave which result in an absence from the University and work obligations generally, this leave will be considered in a category known as "Other" within the Workload model, where leave and other adjustments may be made. It will not result in a prorata of an academic's total workload and be a special category of "Other" within the 30 workload points.

### 2.3 Workload Allocation Categories

- (a) A staff member's workload may be comprised of up to four (4) categories of academic activity against which WAU may be allocated:
  - (i) Teaching
  - (ii) Research and Creative Activity;
  - (iii) Service and Leadership; and
  - (iv) Other (personal/carer's and compassionate leave; leave without pay; parental leave; long service leave)
- (b) For Teaching and Research academics and Teaching Specialist academics, if upon calculation the total WAU of the four (4) potential categories are significantly greater than the expected WAU, adjustment should be made to redistribute Teaching delivery or Service and Leadership WAU so that the actual WAU are within an acceptable range of the expected WAU (i.e. 100% or 30 WAU). A generally acceptable range within expected WAU is 10 % over or 10 % under.
- (c) Each year all academic staff will be provided with details of their individual workload as well as the opportunity to view the workload allocation details of all other academic staff within their Teaching Program or similar cohort (apart from sessionals to whom the Model does not apply including short-term sessional contracted staff).

### 2.4 WAUs and Academic Positions

- (a) The distribution and allocation of WAUs between Academic Activities will depend upon the assigned Academic Position.

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- (b) Academic Positions<sup>2</sup> include:
    - (i) Teaching and Research
    - (ii) Teaching Specialist (Academic) or Teaching Specialist (Clinical/Practitioner); and
    - (iii) Research Academic

### 3 Academic Activity Allocation Principles

The calculation of WAUs for an Academic Activity must be made in accordance with the Academic Activity Allocation Principles set out herein.

#### 3.1 Teaching Allocation Principles

- (a) For Teaching and Research academics a default allocation of 12 Teaching WAU out of a total 30 WAU workload would be expected where that academic was meeting their Research Performance Expectations, set out in **Schedule B**.
- (b) For Teaching Specialists, where Research and Creativity Activity is not required, a default allocation based on 25.5 Teaching and 3 Scholarship of Teaching WAU out of a total of 30 WAU would be expected, where the remaining 1.5 WAU would be Service and Leadership. Colleges may make individual adjustments for staff where this split of activities does not reflect the workload allocated of the relevant Teaching Specialists. Scholarship of Teaching is defined as “those activities concerned with gaining new or improved understanding, appreciation and insights into a field of knowledge, and engaging with and keeping up to date with advances in the field. This includes advances in ways of teaching and learning in the field and advances in professional practice, as well as advances in disciplinary knowledge through original research”. <https://www.teqsa.gov.au/latest-news/publications/guidance-note-scholarship>
- (c) Topic Teaching allocations are determined having regard to the following four (4) representative indicators:
  - (i) Topic Coordination responsibilities;
  - (ii) Percentage (%) of the topic taught (coordination, lecturing, tutoring, facilitation, lab work);
  - (iii) Student load (enrolments per topic); and
  - (iv) Assessment obligations (i.e., amount of marking performed by the academic).
- (d) Topic Teaching allocations are calculated in accordance with the Teaching WAU Calculator (formula) set out in **Schedule A**.
- (e) Topic Teaching allocations methodology provides:
  - (i) An adjustment for class size: there is a greater allocation for higher enrolment topics generally, especially topic coordination for very high enrolment topics (500 - 1000); as these large classes can often result in a greater proportion of administrative work, moderation of assessment, sessional staff supervision, coordination and student compliant issues; and
  - (ii) Lower allocations for topics with very small enrolments, especially 15 or fewer student enrolments.

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<sup>2</sup> No new Education Focused Positions will be appointed within the University. Academic staff who currently occupy a continuing Education Focused Position will continue with standard baseline workload subject to adjustments as per this Scheme.

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- (f) Teaching and assessment activities must be undertaken in a manner consistent with the relevant workload allocation and so as not to involve any greater time commitment than provided for in the allocation.
  - (g) Where the same topic is taught with multiple availabilities in one year, a total WAU calculation may be made for topic coordination as if it were one topic, aggregating all enrolments across all availabilities, for example, if student numbers are small (e.g., across face to face and online availabilities). However, there is not an automatic amalgamation, for example, if class sizes are large or if the same topic is taught in two semesters. The Topic Coordination allocation will be divided proportionately between topic coordinators if more than one.
  - (h) The formula for calculating supervision of Higher Degree by Research (HDR), honours and **18-unit Coursework Master's thesis** students is set out in **Schedule A**. Supervision is allocated as a teaching activity for Teaching and Research academics and a Research activity for Research Academics.<sup>3</sup>

### 3.2 Research and Creative Activity Allocation Principles

- (a) Research outputs in universities are usually measured by the Federal Government as: (i) external research grant income Categories 1 to 4; (ii) the quality of publications; and (iii) higher degree completions. Those measures contribute to the Research Performances Expectations the Colleges have developed for academic levels A to E.
- (b) The Research and Creative Activity Allocation Principles apply to Teaching and Research academics only.
- (c) Teaching Specialists will not receive Research and Creative Activity allocations.
- (d) For Research Academics, individual research performance requirements will be set by Colleges.
- (e) Workload allocations for Research and Creative Activity may have regard to:
  - (i) the diversity of academic roles;
  - (ii) priorities of the University/College; and
  - (iii) University funding and income generation.<sup>4</sup>
- (f) Research and Creative Activity workload allocations are based on the attainment of College Research Performance Expectations that recognise Research and Creative Activity outputs (i.e. to ensure achievement levels are aligned with relevant research targets).
- (g) Research and Creative Activity workload allocations may be adjusted according to an academic's individual circumstances as determined within the College by the Dean People and Resources, in consultation with the Dean (Research). Where an adjustment is made it requires approval by the College Vice President and Executive Dean and the amount of adjustment and reasoning will be transparent and recorded on the workload allocations details made available to staff.
- (h) The College Guide to Research Performance Expectations and their application are set out in **Schedule B**.

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<sup>3</sup> EA C10.2.3 ...."Research Higher Degree supervision and coordination may be considered either as research/creative activity or teaching"

<sup>4</sup> EA C10.2.3

### 3.3 Service and Leadership Allocation Principles

- (a) A baseline 5 % allocation for Research academics, Balanced academics and Teaching Specialists is the default allocation for Service and Leadership and assumes an average contribution based on an academic's position and level of appointment. It is inclusive of:
- (i) participating in College-wide strategic activities (e.g. student recruitment events including Open Days, student retention activities, attendance at celebration of achievements such as awards and graduation ceremonies);
  - (ii) engaging in academic development opportunities (e.g. peer review, professional development and performance review where designated as supervisor);
  - (iii) contribution towards professional and community partnerships (e.g. membership of working parties, editorial boards, referee for publications, conference organisation etc.), media commentary and consultancy work; professional and community performance activities, and
  - (iv) participation in course and topic reviews, participation in selection panels, technical and pedagogy training and any additional topic coordination task associated with a small topic coordination.
- (b) With respect to Teaching and Research positions, an increased allocation may be applied for the performance of additional significant approved College or University administrative roles or other significant Service and Leadership contributions, usually capped at 30%. In exceptional cases where approved by the College Vice President and Executive Dean, allocations may go to 40% or 50%. If allocations were to be greater than 50%, then tasks must be redistributed across more than one academic or dealt with in some other way to reduce (i.e., administration usually no more than 30% but in exceptional cases 40 or 50%).
- (c) The Dean (People and Resources [P&R]) may assign a greater or lesser workload allocation in accordance with **Schedule C** with the approval of the Vice-President and Executive Dean. The amount of adjustment and reasoning will be transparent and recorded on the workload allocations details made available to academic staff within their Teaching Program or similar cohort.

### 3.4 “Other” Allocation Principles (personal/carer’s and compassionate leave; leave without pay; parental leave; long service leave)

- (a) Leave allocations including personal/carer and compassionate leave, leave without pay, parental leave, and long service leave will be made under the category of “Other”.
- (b) Workload allocation for leave will be made based on objective data where leave has been booked and approved within University systems.
- (c) It does not include annual leave as this is already considered within the TWA.
- (d) Leave will be calculated using the number of hours booked and approved within University systems and translated into WAU proportionate to the percentage of the total workload allocation. For example, if an academic had approved leave of 50 days where each day was 7.5 hours, this would equate to 375 hours. From a total expected 1725 hours per year this represents 21.74% of a full workload. Translated into WAU this equals approximately 6.5 WAU (21.74% of 30 WAU). The 6.5 WAU would be recorded in the “Other” category and contribute to the total workload WAU, along with potentially Teaching; Research and Creative Activity; and Service and Leadership WAU, to make up a full workload (30 WAU).
- (e) Where an academic has approved Outside Studies Program, they are not on leave from employment but have been granted a period of paid release from normal academic

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responsibilities.<sup>5</sup> An appropriate and transparent adjustment may be made by the Dean (P&R) requiring the approval of the Vice-President and Executive Dean to an academic's workload under the "Other" category to recognise the release from normal academic responsibilities, where OSP has been approved and recorded in University systems. Any adjustment should consider the individual's circumstances and any other ongoing allocations, which may or may not continue to operate, such as HDR supervisions or other Service and Leadership allocations.

### 3.5 **Adjusting Workload Allocations to account for individual circumstances (other factors)**

- (a) Individual workload allocations may be reviewed by the Dean (P&R) as part of an Academic staff's Annual Performance Review and, if necessary, adjusted to account for individual circumstances, contribution to the University, measured outputs and performance expectations for the level of academic appointment. Those adjustments must be considered by the College Leadership team and approved by the Vice President and Executive Dean. The amount of adjustment and reasoning will be transparent and recorded on the workload allocations details made available to academic staff within their Teaching Program or similar cohort consonant with each individual staff member's academic role.

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<sup>5</sup> <https://www.flinders.edu.au/content/dam/documents/staff/policies/people-culture/outside-studies.pdf>

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## Schedule A

### Workload Allocation Unit Calculation for Teaching

Teaching WAUs are represented by WAUs calculated for the following indicators:

1. Topic Coordination
2. Topic Teaching
3. Assessment
4. HDR & Honours Supervision and 18-unit Coursework Master's Thesis Supervision
5. In exceptional cases, other time intensive supervision of student accredited placements

This Schedule A sets out the formulas and explanation for how each component of Teaching WAU is calculated.

#### 1. Topic Coordination Formula

The following formula has been developed for calculating Topic Coordination WAU. The power formula considers topic enrolments, which scales up WAU for larger classes, considering the greater number of tasks to be carried out.

**Topic Coordination Formula:**

$$\text{Topic Coordination WAU} = \text{Alpha} + \text{Theta} (\text{Topic enrolments} ^ \text{TC Exponent}) / \text{TC Coefficient}$$

Where

Alpha = 0.5

Theta = 0.125

TC Exponent = 0.7

Topic Coordination (TC) Coefficient = 3

For example, the calculation for Topic Coordination for 100 enrolments in a topic is calculated as follows.

$$\text{Topic Coordination WAU} = 0.5 + 0.125 (100^{0.7}) / 3 = 1.55 \text{ WAU}$$

#### 2. Topic Teaching Formula

The following formula has been developed for Topic Teaching WAU. The power formula considers topic enrolments to scale up WAU for larger classes, considering the greater number of tasks to be carried out.

**Topic Teaching Formula:**

$$\text{Topic Teaching WAU} = \text{Alpha} + \text{Theta} (\text{Topic enrolments} ^ \text{TT Exponent}) / \text{TT Coefficient}$$

Where

Alpha = 0.5

Theta = 0.125

TT Exponent = 0.7

Topic Teaching (TT) Coefficient = 1

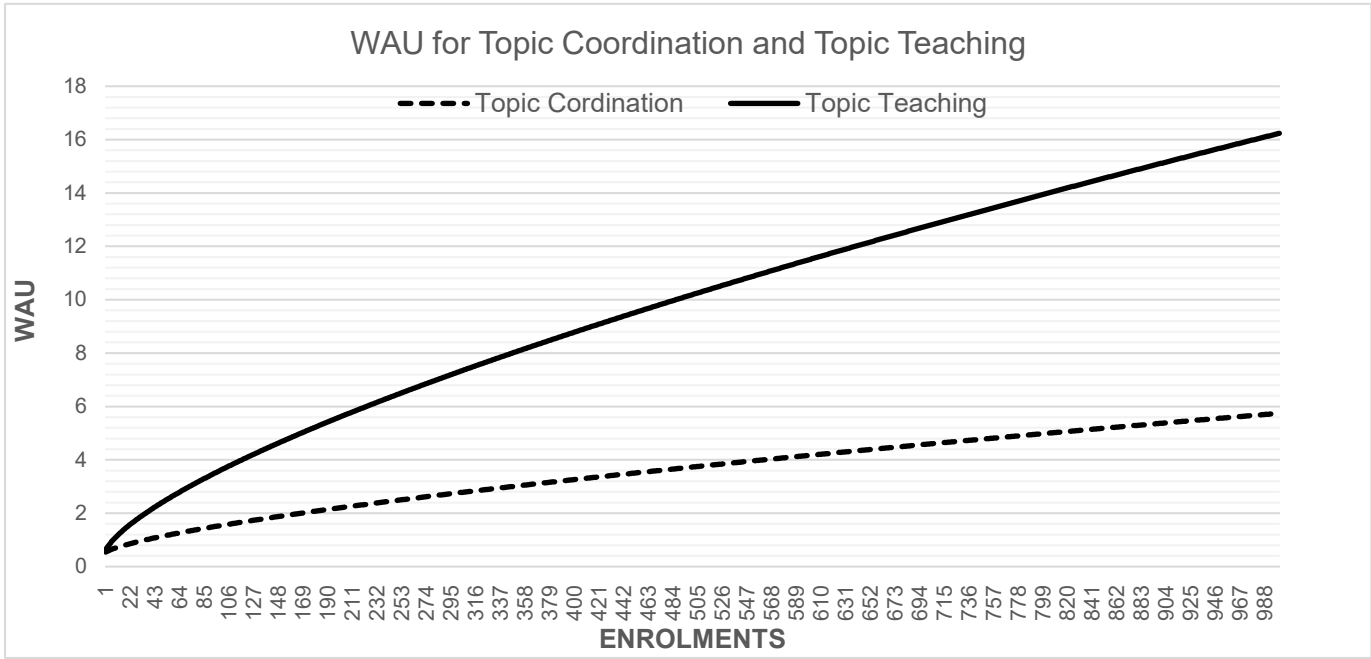
For example, the calculation for Topic Teaching for 100 enrolments in a topic is calculated as follows.

$$\text{Topic Teaching WAU} = 0.5 + 0.125 (100^{0.7}) / 1 = 3.64 \text{ WAU}$$

The following table provides example calculations for a range of topic enrolment numbers. The formula provides incrementally increased allocations for each additional student and is not limited to only adjusting for increments of 10. The table is indicative only.

Enrolments	Topic Coordination WAU	Topic Teaching WAU	Total Topic Teaching WAU (not including assessment)
1	0.54	0.63	1.17
5	0.63	0.89	1.51
10	0.71	1.13	1.84
20	0.84	1.52	2.36
30	0.95	1.85	2.80
50	1.14	2.43	3.58
80	1.40	3.19	4.58
100	1.55	3.64	5.19
200	2.20	5.60	7.80
500	3.73	10.19	13.92
1000	5.75	16.24	21.98

The following graph also gives a visual indication of WAU for topic coordination and topic teaching using the formulas detailed above.





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### 3. Assessment Formula

To calculate the WAU for marking/assessment done by an academic:

*1.5 WAU is allocated for every 50 students (pro-rated)<sup>6</sup>*

### 4. Supervision Formula: HDR and Honours and 18-unit Coursework Masters Supervision

To calculate the WAU for supervision for 18-unit Coursework Masters, Honours and HDR (e.g., PhD) supervision:

*1.5 WAU are allocated for each 1 HDR EFTSL or full time Honours or 18-unit Coursework thesis enrolment supervision*

Of the 1.5 WAU, 1 WAU is allocated to the principal supervisor and 0.5 for the associate supervisor in HDR supervision, or shared honours supervision or shared 18-unit Coursework Master's thesis Supervision.

WAU is pro-rated for HDR EFTSL (part-time, intermissions, mid-year entry etc) or part-time honours or 18-unit Coursework Master's thesis study.

WAUs are calculated on the previous year's supervision, not on current or prospective supervision.

For Research Academic staff, HDR, honours and 18-unit Coursework Master's thesis supervision will be treated as a Research activity, using the same formula.

### 5. Time-Intensive Supervision of accredited placements

In exceptional cases, allocations may occur for other time intensive supervision of student accredited placements by academics, as determined by a College Dean (P&R) and must be approved by the College Vice President and Executive Dean. The topic coordinator of these topics will be allocated standard topic coordination WAU based on the Assessment Formula

### 6. Any other teaching adjustments

Colleges through the Dean (P&R) have discretion to adjust the standard calculated teaching WAUs, where exceptional effort is required, or special circumstances are present. Those adjustments must be approved by the Vice President and Executive Dean and the amount of adjustment and reasoning will be transparent and recorded on the workload allocations details made available to academic staff within their Teaching Program or similar cohort.

While Colleges may make a range of College specific judgments to their Teaching Allocations calculations methodology the general principle of the Model is that it is high level and not granular, not measuring every activity everyone does.

Workload allocation should be simple and involve as few "judgment based" adjustments as necessary.

The following is intended to be an indication as to when Colleges may make a range of College-specific judgments to their Teaching Allocations calculations methodology. However, they are not intended to be a list of adjustments which will be applied in every situation. They are discretionary.

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<sup>6</sup> Where this formula is deemed not appropriate due to topic specific assessment requirements, adjustments can be made in the Workload Management System by a College Dean (People & Resources) after agreement by the College Vice President and Executive Dean

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Examples of when a discretionary, judgement base adjustment may be made generally for topic or teaching activities:

- a) to cap allocations in some areas of activities (e.g. HDR supervision WAU, Assessment WAU)
- b) to provide additional topic coordination allocations for first year topics, unless there is already additional support provide by the College (e.g. additional first year mentors and tutor assistance)

In addition, individualised adjustments which relate to an academic staff member or a topic may be made as follows:

- a) performing significant supervision of non HDR research projects
- b) introduction of a new topic to be developed from scratch in an area where an academic is not qualified, with a proportional allocation being made to the topic developer/s
- c) additional administrative support is provided in a topic and therefore topic coordination allocation should be reduced.
- d) A course coordination if of a large student group and involves many additional tasks to a normal course coordination such as supervision of many staff

When would an adjustment normally not be made to a staff member's teaching workload allocation?

- a) They had to supervise an HDR student who is out of time (4 EFTSL PhD, 2 EFTSL Masters (Research)). Normally no WAU are given to staff supervising HDR, Honours or 18-unit Master's theses students who are over the time allocated to those theses (e.g., 4 years fulltime for a PhD student).
- b) They had to moderate additional assessments which were not recorded in their "number of students assessed". Moderation of assessments is expected by Topic Coordinators and is already included in their topic coordination allocation.
- c) They had to revise, update or rewrite several lectures in a topic. This is a normal part of teaching preparation for academics qualified to teach in their discipline area and all academics will be constantly reviewing and updating lecture material, readings and interactive exercises to include the most relevant and up-to-date information.
- d) They are new to the University or have been asked to teach in a topic they have not taught in before but is part of their discipline for which they are qualified. Academics are hired based on their discipline expertise to be able to teach core areas of their discipline without necessitating additional workload allocations even though they will be specialists only in parts of their discipline.

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## Schedule B

### Research Performance Guide and its Application within the Model

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#### RESEARCH PERFORMANCE GUIDE 2019

*The Flinders University aspirations for research, as defined in the 2025 Agenda, will be met through demonstrable research performance.*

The Research Performance Guide has been developed to provide a guide to Flinders University academics on the levels of research performance expected. It is recognised that the expectations for external research income, research publications or Higher Degree Research (HDR) completions can be varied, on a transparent and reasoned basis, by the College (Dean People and Resources and Vice-President & Executive Dean in consultation with the Dean Research) to acknowledge the different contributions by any individual academic towards the achievement of the overall College KPIs.

#### The Principles underpinning the Research Performance Guide

##### General

The Research Performance Guide will

- be transparent with clear measurable targets.
- balance the need to recognise and value collaboration as well as leadership and individual effort.
- recognise that different disciplines/research codes have different measures for research excellence by being discipline based and/or having enough flexibility to capture different disciplinary norms across the College.
- be internally and externally benchmarked at the discipline level.
- be tailored to the Academic Position Level.
- be based on annual performance, averaged over a rolling three-year period.
- apply to balanced academic roles only, based on a 1.0 FTE.
- not apply to research academics, as performance in these cases is frequently specified by a funding body. Research expectations for research academics will be set by the College on a case-by-case basis.
- not apply to clinical academics given that performance is subject to expectations of the clinical partner. Specific research expectations for clinical academics will be set by the College on a case-by-case basis.
- initially exclude formal impact and engagement metrics due to a current lack of objective, accessible data on these measures. However, impact and engagement activities are still recognised as important and valuable and they will be assessed and recognised within each College, in accordance with that College's own strategic requirements.

##### Research income will

- treat research income in all Higher Education Research Data Collection (HERDC) categories (Category 1: Australian competitive grants, Category 2: Other public sector research income, Category 3: Industry and other research income and Category 4: CRC research income) as equivalent.
- count research income that is eligible Flinders University HERDC research income. Research income will be calculated after receipt by the university and verification through auditing. However, on occasion Category 1 to 4 income may be counted subject to verification.
- value collaborative research funding by counting individual research income as the total income coming to Flinders University divided by the square root of the number of CIs.

##### Research outputs will

- recognise traditional and non-traditional research outputs.
- Include measures of publication quality including books and book chapters.

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### HDR Completions

- HDR completion expectations will not be applied to academics in their first four years of appointment or the first four years post conferral of their own PhD degree, but if completions do occur, points will be awarded.

The choice of research performance measures presented in this document represent those that are centrally recorded. More information on the three categories is provided at the end of the guide. The Guide was developed considering benchmarking metrics such as the average research income per FTE recorded in the 2015 ERA assessment and analysis of recent research performance.

An academic staff member appointed to a position within a University Portfolio will have research expectations set by their line manager, taking into consideration the research expectations for the most relevant discipline group.

The Research Performance Guide will be reviewed annually, considering feedback from the Colleges and new benchmarking information such as 2018 ERA data.

## College of Business, Government and Law

### Guide to Research Performance Expectations – College of Business, Government and Law

Academic Position Level	External Research Income	Research Publications	Higher Degree Research
	Income \$	Publication points	HDR Completion Points
<b>BUSINESS, ECONOMICS AND INDUSTRY</b>			
A	n/a	1	n/a
B	\$3,000	1	0.17
C	\$10,000	2	0.33
D/D+	\$15,000	3	0.66
E	\$20,000	4	1
<b>POLITICS, POLICY AND GLOBAL AFFAIRS / CRIME, SECURITY AND JUSTICE</b>			
A	n/a	1	n/a
B	\$5,000	1	0.17
C	\$15,000	2	0.33
D/D+	\$25,000	3	0.66
E	\$50,000	4.5	1
<b>LAW AND SOCIO-LEGAL STUDIES</b>			
A	n/a	1	n/a
B	\$3,000	1	0.17
C	\$10,000	2	0.33
D/D+	\$15,000	3	0.66
E	\$20,000	4	1

### Points Value – College of Business, Government and Law

#### External Research Income

Income is assigned to CIs as the income recorded on the University's research data management system divided by the square root of the number of Flinders University CIs on the grant/contract.

#### Publications

##### A1 Authored Research Book

Book with SENSE A publisher - 8 points  
Book with SENSE B publisher - 5 points  
Other publisher – 3 points

##### B1 Book Chapter

Chapter with SENSE A publisher - 1 point  
Chapter with SENSE B publisher - 0.5 points  
Other publisher – 0 points

##### C1 Journal Article - SCImago Journal Rank (SJR) subject category ranking

Top 10% and/or A\* in ABDC/Law lists 3 points,  
Q1 and/or A in ABDC/Law lists 2 points;  
Q2 and/or B in ABDC/Law lists 1/ point;  
Q3 0.25 points;  
Q4 0 points

SENSE publisher rankings: <https://research.usp.ac.fj/wp-content/uploads/2013/09/2016-Ranking-of-Academic-Publishers-v1.0.pdf>

ABDC – see <http://www.abdc.edu.au/master-journal-list.php>

Current “Law list” available from College Dean (Research)

#### Higher Degree Research Completions

Principal Supervisor 1 point per PhD, 0.5 points per HDR Masters completion  
Associate Supervisor 0.5 points per PhD, 0.25 points per HDR Masters completion  
Double points for on time completions.

## NOTES

### Research income

HERDC definition of research income (2018)

The definition of research and experimental development, abbreviated as R&D as it is applied to the HERDC data collection is as follows:

Creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge.'

For an activity to be an R&D activity it must satisfy all five core criteria:

- 1 to be aimed at new findings (novel),
- 2 to be based on original, not obvious, concepts and hypotheses (creative),
- 3 to be uncertain about the final outcomes (uncertain),
- 4 to be planned and budgeted (systematic), and
- 5 to lead to results that could be possibly reproduced (transferable and/or reproducible).

Activities that meet the above definition of R&D include:

- a) professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of R&D
- b) the activities of HDR students enrolled at the HEP
- c) the development of HDR training and courses
- d) the supervision of HDR students enrolled at the HEP
- e) R&D into applications software, new programming languages and new operating systems
- f) prototype development and testing
- g) construction and operation of a pilot plant where the primary objective is to make further improvements
- h) trial production where there is full scale testing and subsequent further design and engineering
- i) phases I to III of clinical trials.

Activities that *do not* meet the definition of R&D include:

- j) scientific and technical information services,
- k) general purpose or routine data collection,
- l) standardisation and routine testing
- m) feasibility studies (except into R&D projects)
- n) specialised, routine medical care
- o) literature reviews that are predominantly a summary of the current knowledge and findings of a R&D field or topic and do not include any critical assessment or report any new findings or original experimental work
- p) commercial, legal and administrative aspects of patenting, plant breeders' rights, copyright, material transfer agreements or intellectual property licensing, option and assignment activities, and royalties
- q) routine computer programming, systems work or software maintenance
- r) stages of product development that do not meet the five R&D criteria above
- s) pre-production development
- t) market research
- u) construction of fully tested prototypes for marketing purposes
- v) after sales service and troubleshooting
- w) industrial engineering and design for production purposes
- x) artistic performance or expression
- y) R&D financing and support services.

Research income must be recorded on the research project certification request that accompanies the grant proposal or application and on the Report on Entry into Contract (ROEC) generated by the Research Development and Support. Research income will be calculated after receipt by the university and verification through auditing. However, on occasion Category 1 to 4 income may be counted subject to verification.

### Research outputs

The Scimago Journal Rank refers to the percentage rank for a journal in the subject area most appropriate for the publication and in the year of publication.

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## **Higher Degree Research Completions**

The definition of an on-time HDR completion is within 4 years, full-time, for a PhD and 2 years, full-time, for a Master's by Research.

Supervision of an HDR student is considered complete when recommendation for conferral of the degree by the Dean of Graduate Research has been made backdated to the date of thesis submission.

## CBGL Research Performance Expectations (RPEs) and Their Application

- a) Research WAU for Teaching and Research academics are allocated according to whether the relevant academic staff member has Met, Not Met or Exceeded their RPEs for each category: External grant income Categories 1 to 4; Number and quality of publications; and HDR completions for their discipline and level (A-E), as measured by comparison to their average research outputs for the past 3 measured years. 'Met' means within the range of 90-109% of the expectation providing 10% either side of a 100% meeting the expectation).

Research Performance Requirements for Research Academics are set by Colleges (noting Grant or Fellowship funded academics have Performance Requirements specified in the conditions of the Grant or Fellowship). Research allocations and performance requirements will be measured on an individual basis for Research Academics.

<b>Workload Allocation Units (WAUs) for current Academic Year based on average of research outputs for the past three (3) measured years</b>						
<b>Research Performance Expectation (RPE)</b>	<b>Expectation exceeded</b>		<b>Expectation met</b>	<b>Expectation not met</b>		<b>Expectation not met</b>
<b>Cat. 1 to 4 Income</b>	6 WAU (>200% of RPE)	5 WAU (110-199% of RPE)	4 WAU (90-109% of RPE)	3 WAU (50-89% of RPE)	2 WAU (20-49% of RPE)	0 WAU (< 20% of RPE)
<b>Publications and NTROs<sup>7</sup></b>	6 WAU	5 WAU	4 WAU	3 WAU	2 WAU	0 WAU
<b>HDR Completions</b>	6 WAU	5 WAU	4 WAU	3 WAU	2 WAU	0 WAU
<b>TOTALS</b>	<b>18 WAU</b> (60% workload)	<b>15 WAU</b> (50% workload)	<b>12 WAU</b> (40% workload)	<b>9 WAU</b> (30% workload)	<b>6 WAU</b> (20% workload)	<b>0 WAU</b> (0% workload)

NTRO is non-traditional research outputs as defined by the Australian Research Council.

- b) As shown in the above table, if a Teaching and Research academic staff member meets their Cat 1 to 4 Income expectation (i.e. being within the range of 90-109% of the expectation) they will receive 4 WAU. If they also met their Publication and HDR Completion expectations, they would receive additional 4 WAU in each of these categories. This would bring their total WAU to 12 WAU which equates to 40% of an annual workload.

If a Teaching and Research academic were to meet only two of the expectation categories (e.g. Cat 1 to 4 Income and Publications) but have not attained any outputs in HDR completions, they will receive two allocations of 4 WAU (4 each for each category of meeting expectations) for a total of 8 WAU, 27% of an annual workload.

If a Teaching and Research were to exceed each expectation (Cat. 1 to 4 Income, Publications and HDR Completions) by greater than 200% of the expectation, they would receive 6 WAU per category for a total of 18 WAU, 60% of a total workload.

<sup>7</sup> Non-traditional Research Outcomes



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- c) For Research Academics, a default allocation based on 90% Research and 10% Service and Leadership will be made within the Workload Management System. Colleges may make individual adjustments for staff where this 90/10 split of activities does not reflect the actual workload of the relevant Research Academic, for example 80% Research and 20% Service and Leadership.
  - d) If a Teaching and Research academic for Research Activity has not met at least 20% of their RPEs for the year (e.g. if overall you have not achieved at least 20% of the total combined RPEs, that is less than 20% of total Cat 1- 4 Research Income, Publication Points and HDR completions) and they have been provided with a reasonable opportunity to do so over the past 3 years, they will no longer be performing a 'balanced' role.
  - e) While automated calculations have a maximum of 18 (60%) WAU for Research Activity for the year, the College Vice President and Executive Dean (on recommendation of the Dean (P&R)) has a discretion to allocate for Research Activity up to 20 WAU (66% workload) for Teaching and Research academics.
  - f) RPEs and allocations for part-time Teaching and Research academics are pro-rated to their FTE.
  - g) In order to allow for opportunities to be available, academic staff members with fewer than 4 years' service during the 3-year research output measurement period will receive a default allocation of 4 WAU (pro-rated) for HDR completions because they have not had the opportunity to complete HDRs (where there is an expectation to have completions, noting that in some Colleges level As or Bs may have no completion guidelines).
  - h) Academic staff members with fewer than 3 years' service during the 3-year research output measurement period will have their income guidelines proportionally reduced by the percentage of time they have been in service during the 3-year research output measurement period as they will not have had the full three years to produce research outputs (e.g. income, publications).
  - i) Academic staff members will have their publications averaged over the 3-year research output measurement period, including publications created externally at other institutions, regardless of commencement date, in order to count research outputs obtained in the last 3 years even if not at Flinders.
  - j) Where level A or B staff do not have expectations across all 3 categories, their workload allocation will be scaled up proportionately to reflect their applicable RPEs. For example, level As do not have RPEs for External Income or HDR expectations, but only for publications. If a level A met their publication expectation, they would be awarded 12 WAU.
  - k) There is a fourth typed of academic position which ceased to be awarded some years ago. For legacy academic staff still in Education-Focussed positions, 25% of the relevant RPEs will apply.
    - Education-Focussed staff were/are expected to be contributing 10% of their efforts to creating research outputs. The Model provides a 40% research allocation to Teaching and Research staff who meet their RPEs. As Education-Focussed research contributions are expected to be 10% in comparison to the 40% for Teaching and Research staff (therefore one quarter or 25% of the expectation of workload division in comparison) only 25% of the relevant RPEs will apply. If all RPEs are met (after the reduction to only 25% of the original RPE) an Education-Focussed staff member would receive 3 WAU (10% of their workload) in comparison to the 12 WAU (40% of their workload) a Teaching and Research staff member would receive.
  - l) A grace period may be afforded to academic staff with little or no prior opportunity to meet the RPEs (e.g., were academic staff who were previously in an Education Focused role or had a substantial formal administrative role such as Dean of School)). Where an adjustment is made it must be approved by the College Vice President and Executive Dean and the amount of adjustment and reasoning will be transparent and recorded on the workload allocations document made available to academic staff within their Teaching Program or similar cohort

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**When might a discretionary “judgement based” adjustment be made to increase an academic staff member’s research workload allocation?**

- a) They have been awarded recent significant research funding which is not reflected in their audited research outputs data averaged for the last 3 years. The funding must be verified by the Research Development and Support division as likely to be designated as Cat 1- 4 research funding but may not yet be confirmed through auditing.
- b) They had previously been in an Education-Focused or substantially formal administrative role e.g. School Dean) and had not had an opportunity to develop research outputs consistent with their academic level-based expectations.
- c) They have had a substantial period of leave (e.g. long service leave, parental leave) during the 3-year period for which research outputs are measured (currently 2015-2017) as evidenced by a leave report.
- d) They have substantial impact and engagement outputs as measured by the Australian Research Council which are not recognised by current measures under the Research Performance Expectations (RPEs).
- e) They are a new to University early career staff member for the previous year who has not had time to gain research income at Flinders. Mid- and late- career new staff will be able to have counted their research outputs from their previous position.

**When would an adjustment normally not be made to a staff member’s research workload allocation?**

- a) They have made several failed grant applications where the applications were not of a strategic and encouraged nature.
- b) They have had consistently low to non-existent research outputs despite having the opportunity to develop outputs (i.e. through workload allocations in previous years and nonteaching/out of semester time available).

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**Schedule C  
Service & Leadership Allocation**

<b>Service and Leadership Activity Levels</b>	<b>WAU (for 1.0 FTE)</b>
No or Low Activity (3%) - Not contributing to what would be a normal expectation.	1
Standard Activity (5%) - Contributing to what would be a normal expectation.	1.5
Above Standard Activity (15%) - Contributing approved additional activities as approved by the College Vice President and Executive Dean upon the recommendation of the Dean (P&R).	4.5

**[NB:** The bands outlined in this table depart from granular counting of individual activities and allow for the exercise of a discretion based upon an overall judgement of contribution].

Note that maximum Service and Leadership allocation for a Research Academic is 20%.

In exceptional circumstances an academic may have more than a 30% Service and Leadership allocation.

This may occur when staff are assigned approved specific, formal administrative roles by the College Leadership team such as Teaching Program Director for large Teaching Programs but will be no more than 40-50%, as approved by the College Vice President and Executive Dean upon the recommendation of the Dean (P&R)

**When might the standard allocation of 10% be increased to a 20% allocation?**

Where a staff member is contributing all of what is expected under a baseload allocation and performing additional formally delegated and approved roles (e.g. significant course coordination, year level coordination, significant staff supervision etc. and/or providing formally approved outreach courses not recognised in teaching allocations.

Any increase in allocation above 10% must be approved by the College Vice President and Executive Dean upon the recommendation of the Dean (P&R).

**When might the standard allocation of 10% be increased to a 30% allocation?**

Where a staff member is contributing all of what is expected under a baseload allocation and one or more of the following:

- a) they have been formally delegated leadership of a College or University-wide strategic or operational activity (e.g. significant course coordination of a large course, year level coordination where many students and academic staff are involved, significant staff supervision as line manager, College Higher Degrees coordinator)
- b) are providing significant outreach courses or executive education as authorized by the Dean People and Resources and agreed by the Vice President and Executive Dean and not recognised in teaching allocations or consulting funds
- c) been formally delegated multiple College or University-wide strategic or operational activities
- d) they have been appointed as the Chief Editor of a top Research journal (e.g. 10%, Q1, A\*/A).

## Formally delegated and approved roles in BGL

Role	Area	Possible Term	Fraction	WAUs
Higher Degrees by Research Co-ordinator	BGL	2 years	0.2	6
Honours and HDR Co-ordinator	Business	2 years	0.15 (0.05 + 0.1)	4.5 (1.5 +3)
Honours and HDR Co-ordinator	Government	2 years	0.15 (0.05 + 0.1)	4.5 (1.5 +3)
HDR Co-ordinator	Law	2 years	0.1	3
Honours and HDR Co-ordinator	Criminology	2 years	0.15 (0.05 + 0.1)	4.5 (1.5 +3)
Course Co-ordinator	Various	2 years	0.1	3.0
Teaching Program Director	Business	2 years	0.5	15
Teaching Program Director	Government	2 years	0.3	9
Teaching Program Director	Law	2 years	0.5	15
Teaching Program Director	Criminology	2 years	0.25	7.5
Research Centre Director	AITI	2 years	0.6	18
Research Centre Director	CCPR	2 years	0.1	3
Research Centre Director	JBC	2 years	0.3	9
Research Section Head*	Business	2 years	0.12	3.6
Research Section Head*	Government	2 years	0.17	5.1
Research Section Head*	Law	2 years	0.15	4.5
Research Section Head*	Criminology	2 years	0.18	5.4
WIL Convenor	CBGL	2 years	0.1	3
Academic Integrity Co-ordinator	CBGL	2 years	0.1	3
Total:			4.22	126.6

\*Calculated as 0.015 WAU per research active member of discipline.

- (a) In exceptional circumstances an academic may have more than a 30% Service and Leadership allocation. This may occur when staff are assigned approved specific, formal administrative roles such as Teaching Program Director but no more than 50% in the largest cases (exceptions to this case are Deans Education and Research roles). If allocations were to be greater than 50%, then tasks must be redistributed across more than one academic or dealt with in some other way for the academic to focus on teaching and/or research rather than administration (i.e., usually no more than 30% but in exceptional cases 40 or 50%).
- (b) Moreover, there may be greater than a standard Service and Leadership allocation where staff are asked to conduct formally approved university short courses where the fees go to the university college or portfolio. This assessment is made on a case by case basis by the Dean (People and Resources) whose recommendation of WAU for short courses to a maximum of 30% additional WAU is made to the Vice President and Executive Dean.

