A Professional Ethical Framework for Australian Academics

Preamble

In April 2021, the Council of the Australian Association of University Professors (AAUP) approved the formation of a working party to explore the development of a statement of professional ethics. This followed strong support for the idea of the Framework as a way to clarify and strengthen the ill-defined notion of academia as a profession. This statement is the result of the deliberations of the working party who saw this work as an opportunity to better articulate the unique aspects of academic work to our colleagues, students, universities, government and the public.

Drawing on extensive research literature, the initial step confirmed the important role of the university in society and explored the changing context of universities and the impacts on academic work. This led to the development of a *draft Professional Ethical Framework for Australian Academics* which was presented to the AAUP Council for feedback in November 2021. Further revisions followed, with a second draft being developed and released to AAUP membership for feedback in April 2022.

The second draft was strongly supported, and following further revisions, in response to the feedback, this current version of the Framework was presented to the AAUP Council and approved for release as version 1 of the *Professional Ethical Framework for Australian Academics* (*The Framework*) on July 15, 2022.

The working party proudly presents this Framework for consideration by members of the academic profession. Our aim is to seek feedback from the broader academic and higher education community in Australia and internationally. The Framework is supported by a scholarly paper which elaborates on the claims (add citation when available)

Ultimately, we will seek feedback from the broader higher education community, including government, university management, peak bodies and industry. We are seeking ethical clearance to conduct research to improve the Framework and to ascertain its impact on the sector.

EXECUTIVE SUMMARY

Introduction

This professional ethical framework has been developed by a working party of the Council of the Australian Association of University professors (AAUP) (hereinafter called the Council). The claims made are supported by published scholarly work *[insert ref when available].*

- The Council has guardianship over this Framework on behalf of members of the academic profession.
- Through its membership, the AAUP accepts the significant responsibilities that come with keeping its content relevant, while articulating and protecting the unique essence of academic work.
- This Framework is not to be imposed, co-opted or adapted by any external authority, government, institution or individual without the explicit written permission of the Council.

Purpose

The primary purpose of this Framework is to identify and articulate the uniqueness and value of the academic role and to clearly differentiate academic leadership from managerial leadership in the modern university. Such a distinction is needed to negotiate and set-up shared governance arrangements that ensure appropriate power-relations so they can jointly develop internal policies and processes that will help the university to work effectively to achieve its mission.

The Framework is also designed to communicate the essence of academic work to our academic colleagues, and other stakeholders in higher education including government, peak bodies, university management, students, the broader community and industry groups. It should assist all stakeholders to better understand the importance of universities in advancing society, and the key role that academics play in ensuring that universities fulfil their mission.

Intended Audience

In recognising the importance of universities for National Development, we acknowledge that academics are the key to the delivery of their mission through high quality research and teaching.

The primary audience for the Framework is our academic colleagues. If it resonates with a sufficient proportion of academics, and they voluntarily commit to integrating the proposed practices in their professional lives, it will become a powerful platform for the academic profession.

The secondary audience for this Framework includes other stakeholders involved in higher education, academic peak bodies, unions, university management, government, industry and students. We hope it will help them better understand the important role academics play and enable more purposefully negotiated and designed university structures that ensure the voice of the academic staff is influential and instrumental in strategic decision-making and resource allocation.

The Framework sets the stage for academics and managers to work together to make universities more effective but recognises this relies on a mutual understanding and acceptance of the important but different roles each plays and a willingness to find ways to work together.

Structure

The structure of the AAUP Framework is based on a framework proposed by Ferman (2011), whose research study on academic work and the concept of "profession" drew on Freidson's (1999) model of professionalism. It contains four interacting themes that describe the essence of academic work in a modern university (Figure 1).

1. Academics as co-leaders in the modern university
2. The professional nature of academic work.
3. The scholarly nature of academic work.
4. The workplace conditions necessary to support academic work.

Each of these themes is expanded upon below and includes a range of suggested practical implications to guide our academic colleagues in their day-to-day practice.

Theme 1 Academics as co-leaders in universities.

This theme is based on research focusing on systemic structural change in Australian higher education including corporatisation, competition, external systemic accountability and reduced funding. It considers the impact of this change on the autonomy of universities and the academics who work in them.

Key documents identify the key role of universities in society, together with the importance of academic autonomy and freedom. They recognise the need for both academic and corporate leadership in the governance of universities and that this can result in tensions when the priorities of these groups do not align.

However, research indicates that corporate leadership tends to dominate in Australian universities, but the effectiveness of universities is linked to their ability to develop governance structures and processes that balance academic and corporate leadership.

This Framework is designed to acknowledge the vital, but fundamentally different roles, academic and corporate leaders play in the governance of a university. Its design is based on rebalancing the power between these two leadership streams to increase the effectiveness of universities. It also challenges organisations such as government and the *Tertiary Education Quality Standards Agency* (TEQSA) to seriously examine the risks associated to university effectiveness due to reduced autonomy for academics.

The Framework challenges university managers and academic leaders to expect the inherent tensions to arise and design university governance structures and decision-making processes that resolve issues through discussion and inclusive democratic practices.

It assumes greater academic leadership representation on the Governing Council of the University, backed by a significant increase in the powers of Academic Boards (Senates). As the key body for academic leadership, it recommends the elected members from the academic body should hold clear majority control of Academic Board (Senate), to balance

executive decision-making power. It also assumes a more purposeful advisory role for the professoriate in the maintenance of academic standards and examination of proposals

In assuming the mantel of co-leaders, the Framework also challenges academics as a professional group, to take the responsibilities and accountabilities associated with academic leadership inn universities. It challenges managers in universities to be fully committed to the social purpose and autonomy of universities and have a thorough understanding of the nature of academic work and the professional needs of academics.

***Theme 2* The professional nature of academic work.**

This theme draws on the professional model put forward by Freidson (1999), to articulate the key features that support the conception of academia as a profession. These include:
1. Holding or working towards recognised qualifications in teaching and/or research in a specialised field.
2. Applying their specialist expertise to serve society.
3. Working with a high-level of autonomy to make professional judgements about their work, with guidance from more experience colleagues where appropriate.
4. The expectation to continually develop their expertise.
5. A voluntary commitment to upholding the values of the profession.

Professional Values
The underpinning values of the academic profession are based on the nature of the work as articulated through the following professional values:

In all their professional dealing academics voluntarily commit to practising:
1. *Altruism:* by working for the advancement of knowledge for the benefit of society.
2. *Academic freedom and intellectual integrit*y: by grounding their work in scholarship.
3. *Professional autonomy:* in making judgements about their work, with support and advice from more experienced colleagues as required.
4. *Collegiality: by* recognising their work is founded on the endeavours of many previous scholars and sharing their work with their peers; by accepting that informed critique and robust discussion are necessary to ensure rigour and to advance knowledge in a field; and mentoring less experienced colleagues.

Theme 3 The scholarly nature of academic work.

This theme identifies the expectation to be scholarly as the key factor that distinguishes academia from other professions and unites all academics as a professional group, regardless of the discipline area. It aims to clarify the uniqueness of the academic role in society, and within their institutions and explain why the professional academic role is distinct from other professional roles.

Being scholarly means professional academics believe that free and open inquiry requires autonomy and academic freedom to:

1. Develop and maintain a deep theoretical understanding of the current state of knowledge, practices and issues in their field(s) of expertise.
2. Take a collaborative and open-minded approach to learning and accept the possibility of a diversity of opinion.
3. Take a rigorous and critical approach to exploring issues related to their work, and make informed decisions based on the available research evidence.
4. Act with autonomy when making decisions and expressing judgements concerned with their area expertise.
5. May act as a public intellectual i.e., speak out on matters of public significance as a critic and conscience of society

It explores in some depth the full scope of academic work as a scholarly activity which may range across one or more areas of research, teaching and service. It examines the realities of autonomy and academic freedom in the modern university and identifies the limits where interference by government, management, industry or others becomes counter-productive.

Theme 4 Academic working conditions

Research shows intensification and performativity pressures have reduced autonomy and academic freedom. In this theme we argue institutional policies and resources need to be purposefully designed to support professional scholarly work of academics.

This theme is based on the recognition in the research that power is exercised in a university through the enacted policies, procedures and decisions on resource allocation. It outlines principles that outline how university managers and academic leaders can work together to develop policies that support protect the work of academics as professionals and contribute to the effectiveness of universities.

It considers the principles which underpin the development of policies that demonstrate thoughtful application of the principles of equity, transparency, reciprocity fairness so the diverse needs of various groups are met.

This theme recognises that the academic body in a university is not a homogeneous group: some members are less influential compared with their established and more senior colleagues. To minimise this disadvantage, all policies that are likely to impact on academic work need to be developed and implemented in full consultation with the affected staff and adequately costed and resourced. Inclusion may require a range of related policies to cater for the diverse needs of various groups such as carers returning to work, those with needs related to culture, disability, sessional staff, early career researchers and research students. In appropriate policies may create working conditions that undermine their ability to participate in scholarly activities, these groups should have formal representation within the academic leadership groups.

A Professional Ethical Framework for Australian Academics

This Framework challenges all stakeholders in the Australian Higher Education sector to adopt this conception of academic work. It presents a foundation for: our colleagues, government, university management, academic associations, and unions, to work towards shared governance structures and policy formation processes that will enable our universities to function effectively as independent academic institutions with a unique role in society. This Framework contains four inter-related themes that describe the essence of academic work in a modern university:

1. Academics as co-leaders in the modern university.
2. The professional nature of academic work.
3. The scholarly nature of academic work.
4. The workplace conditions necessary to support academic work.

Theme 1: Academics as co-leaders in the modern university

A university includes two forms of leadership: corporate and academic, and these bodies need to work together and manage tensions to ensure that universities effectively fulfil their role in society. This theme emphasises the need to enhance and rebalance the decision -making power afforded to academic leaders in universities.

The characteristics of academic leaders, their role and accountabilities are defined together with an identification of some of the key responsibilities and challenges faced in the modern university. It is recognised/acknowledged that some academic leaders assume formal roles in their university management structure which may lead to competing expectations.

While tensions are to be expected, managers and academic leaders need to find a way to work together to ensure the policies and processes in the university are designed to support the academic mission of the university and the explicit protection of academic freedom and autonomy.

Description	
The challenge for academics, as a professional group, is to accept joint responsibility for the effectiveness of their university through their academic leaders. This calls for great academic leadership representation on the Governing Council of the University and increased power of Academic Board (or Senate) as the key body for exercising academic leadership, with control by the academic leadership to provide balance to the executive power.	*To balance the decision-making power between the academic and corporate leadership, there needs to be:* • *Greater representation of academic leadership on the governing board of the University* • *Enhanced powers for Academic Board (Senate) to include active contribution to setting strategic goals, opportunity to put forward proposals, ability to critique proposals put forward by the executive, active participation in senior selection, active participation in decisions on resource allocation and policy* • *Clear majority control by the elected members, who represent the broader academic body and university community, to whom they are primarily accountable.*

Description	Implications for practice

1.1 Academic leaders
 	
The primary role of academic leaders is to apply their expertise and experience in the sector to ensure the quality of research and teaching is maintained and that academic standards of rigour, ethics and evidence underpin university strategic decisions.
 	
    The defining characteristics of academic leaders that distinguish them from corporate leaders is that they retain a significant and active involvement in teaching and/or research, even if they hold a formal leadership position in the university hierarchy.
 	
• ensure decisions made will maintain academic standards in teaching and research
• ensure decisions will serve the interests of the university and wider community.
 	
    Academic leaders should ensure discussion on academic matters occurs through collegial discussion and democratic selection practices. Strategic decisions need to serve the academic mission of the university and to maintain high academic standards.
	Academic leaders use inclusive decision-making strategies to deal with expected tensions in universities based on:
	
	• *Participatory decision-making based on transparency, wide consultation, honesty and robust discussion at work group, faculty and institutional levels.*
	• *Ensuring evidence-based decisions are made by inviting questions and fostering respectful debate on any proposals that directly affect academic work.*
	• *Expecting an active and robust role for academics to contribute to strategic decision-making on issues which may have an impact on the ability of academics to fulfil their responsibilities within and beyond their institution.*
	• *Being open to a diversity of opinions, arguments, and provides genuine opportunities for staff to shape proposals to suit their context or offer viable alternatives.*

1.2 Academic leaders holding formal positions in the hierarchy
 	
Academic leaders often also hold formal roles in university management hierarchy which may present conflicting demands for them to deal with.
 	
    Their challenge is to balance the external demands on, and viability of, the university, without compromising the underlying values of the profession.
 	
    As academic leaders, their underlying professional values remain paramount. Their leadership practice, professional interactions with colleagues, peers and other stakeholders need to be based on respect for diversity of opinion, recognition and reciprocity, which may require more iterative and consultative decision-making processes.
	Academic leaders who hold formal positions in the University management structures:
	
	• *Aim to understand and manage the multiple and often competing demands on academic staff flowing from systemic changes.*
	• *Aim to support academic colleagues so they can focus their energies on conducting high quality teaching, research and service roles as outlined in this document.*
	• *Seriously consider the potential impacts of any decision on the workloads, health, well-being and career opportunities of staff.*
	• *Accept that their obligations to society, their profession and field of discipline may transcend their personal ambitions or obligations to the organisation.*

Description	Implications for practice
1.3 Academic leaders in senior leadership or managerial roles Academic leaders holding senior roles in the university hierarchy have a particular responsibility to model ethical behaviour and protect the autonomy and integrity of the university. The performance of academic leaders should focus on their ability as leaders to set and enact policies that promote shared leadership to advance the academic mission of the university and support and protect the fundamentals of academic work.	*Academic leaders also holding senior leadership roles have a responsibility to protect the integrity of the university and the profession.* *Their performance as leaders should be judged on their ability to:* • *Work with Academic Board (Senate) to moderate external accountability and other demands to protect the academic mission of the university.* • *Ensure internal policies and processes are designed to support the scholarly nature of academic work.* • *Protect autonomy and academic freedom.*
1.4 The Professoriate as academic leaders By definition, in Australia, the Professoriate consists of academic leaders in their field. Modern universities must develop role descriptions which better articulate the diverse range of ways in which the professoriate can contribute to and/or builds the prestige of their institutions and the sector other than securing research funding. The relationship of the Professoriate the Academic Board (Senate) in the provision of academic leadership and the maintenance of academic standards needs to be clarified.	*As a professional group, the Professoriate can show academic leadership in a variety of ways including, but not limited to:* • *Acting as an advisory body to Academic Board (Senate) on a range of academic matters* • *Critically examine and advise Academic Board (Senate) on the potential of proposals internal or external to the university, or strategic decisions that impact academic autonomy and/ or academic freedom.* • *Provide informed critique and robust advice on the potential of proposals to serve or undermine academic standards or the academic mission of the institution* *The provision of professional and disciplinary leadership through:* • *Development and maintenance of national and international networks and collaborations and/or the mentoring younger colleagues.* • *Provision of a strong voice of advocacy for less powerful colleagues and students*

Theme 2: The professional nature of academic work	
Theme 2 articulates how academia meets the "ideals of professionalism" (Freidson, 1999) including the form of their expertise and qualifications, the need for a high degree of autonomy and professional judgement and the professional values to which they adhere. As professionals, academics have a responsibility to serve the public good using their specialised disciplinary knowledge and expertise in a field or fields. They are expected to maintain currency in their field and contribute to its continued development and the maintenance of high professional standards. Academics are trusted to act ethically when making autonomous professional judgements and decisions regarding their area of expertise.	
Description	**Implications for practice**
In their professional dealings Academics are expected to act with authority and autonomy in making professional judgements concerning their areas of expertise; to uphold the professional values and commit to using their specialised knowledge and skills in the service of their community, their profession, their discipline and their students. **2.1 Expertise** Academics hold recognised university qualifications and maintain disciplinary expertise in a specialised field or fields.	*Professional Academics:* • *Hold or are working towards recognised qualifications to conduct research and/or teach novices and practitioners within their specialised area or areas of knowledge.* • *Maintain currency and build their expertise in their discipline and draw on up to date knowledge to inform their teaching, research and/or service activities* • *Contribute to the advancement of their specialist discipline and/or the academic profession through their research, teaching and/or service.* • *As they gain experience and develop their expertise, provide intellectual leadership and/or mentor of less experienced colleagues in matters related to their areas of expertise.* • *Act with autonomy and independence when making decisions and judgements concerned with their professional work.*

Description	Implications for practice
2.2 *Professional ethical values* Professional academics accept that their work ultimately should serve the public good and their role is the advancement of society through the development and sharing of new knowledge. In this work, academics commit to the ethical values below and to applying them in all their professional dealings and interactions. 1. Altruism in service 2. Academic freedom and intellectual integrity grounded in scholarship 3. Autonomy 4. Collegiality Academics accept that these professional obligations transcend their allegiance to, or affiliation with, any given university, government, external organisation, political ideology or commercial imperative. On occasions, academics may choose to speak out on issues of importance to society as public intellectuals which may involve the need to question or challenge those in authority.	*Professional academics commit to these values and apply them by:* *1. Altruism in service* • *Academics work to advance knowledge in the service of society.* • *Their primary responsibility is to serve their profession and the community.* *2. Academic freedom and intellectual integrity are grounded in scholarship* *Academics speak with honesty and authority in relation to their area (or areas) of expertise. Their role is to:* • *Offer constructive critique, and question when decision making is at odds with sound evidence.* • *Recognise and acknowledge the historical foundation of scholarliness on which their individual achievements and efforts are built.* • *Accept that informed critique is important in advancing understanding and developing knowledge.* • *Accept robust discussion may involve questioning, challenging and/or affirmation of proposals.* *3. Autonomy* • *Academics act as autonomous professionals who make and independent decisions and exercise professional judgement in relation to their work.* • *They maintain currency in their areas of expertise and may seek support and advice from more experiences colleagues as required.* *4. Collegiality* *Academics humbly recognise, the scholarly foundation on which their work is built.* • *Where possible, they share knowledge and collaborate with colleagues and peers and mentor less experienced colleagues and those with whom they work.* • *Recognise the importance of fostering these values in the development of emerging and early career scholars, including post graduate research candidates and post-doctoral academics*

Theme 3: The scholarly nature of academic work

Theme 3 considers the expectation for Academics to be scholarly, regardless of discipline, and that this is a unifying characteristic of the academic profession. It is what distinguishes academics from other professionals. Being scholarly demands that academics work from a deep understanding of what is known in their field (or fields) of expertise with an openness to growth and learning and a respect for rigor and sound evidence to advance the field.

   This theme also considers the relationship between academic freedom and autonomy and the practicalities of the modern university context which can place limits on these fundamental aspects of the work. From a professional academic point of view, it identifies the limits of compromise beyond which academic freedom in research and teaching are non-negotiable.

Description	Implications for practice

3.1 Scholarship
 	
Academics are expected to be scholarly in all aspects of their professional roles: research, teaching and/or service. This obligation transcends their allegiance to, or affiliation with, any given university, government, external organisation, ideology or commercial imperative.
   Scholarly work requires a high degree of ethical behaviour and autonomy and the freedom to inquire deeply into questions. It requires the freedom to report findings honestly and without fear of sanction or retribution. This is the essence and nature of academic freedom, which is fundamental to academic work.
   In reality, academic freedom and autonomy are impacted by the political and economic context in which academics work. As a professional group, academics need to define the limits beyond which these impacts become counter-productive and undermine their work.
	As professional scholars, academics are expected to:
	
	- *Develop and maintain a deep understanding of the current state of knowledge, practices and issues in their field(s) of expertise.*
	- *Take a rigorous and critical approach to exploring issues related to their field*
	- *Make informed decisions based on the available research evidence.*
	- *Act with autonomy when making decisions and expressing judgements within their area expertise.*
	- *If they choose to participate in debate on proposals, policies or practices relevant to their area of expertise, either within their institutions or in more public fora, they shall do so with intellectual integrity and without fear of sanction.*

Description	Implications for practice

3.2 Research
 	
Research is a rigorous process to develop new knowledge for advance our understanding of existing knowledge for the benefit of society. It includes pure research to advance the frontiers of knowledge and the application of knowledge to address current issues of concern, find links across disciplines and/or find new and creative ways of applying knowledge to solve problems.
 	
     Research is a complex and systematic process based on sound methodology and the ethical collection and use of evidence. The outcomes are often contestable, so research is both reflective and forward thinking, building on what we know, yet open to a diverse range of perspectives and outcomes.
 	
     Research relies on academics having autonomy and freedom to explore questions and problems, draw on pertinent literature, and examine and/or interpret available evidence.
 	
     While it is appropriate for researchers to be funded or commissioned by external bodies to undertake their work, there can be no outside interference in the research process by powerful interests, be they government, commercial or managerial.
	As research scholars, when undertaking research activities academics:
	
	- *Aim to acknowledge and understand diverse ontological, epistemological and political perspectives but not necessarily agree with them.*
	- *May make a pragmatic decision to adjust their research agenda to suit the realities of internal priorities and external funding bodies.*
	- *Once a research proposal has been agreed upon and ethically approved, the researchers must be free to conduct it with the utmost professional integrity*
	- *Employ sound methodological approaches to minimise bias.*
	- *Develop findings based solely on the best available evidence and the body of research in the field.*
	- *Ensure their findings are reported honestly, and untainted by external economic, commercial, institutional or individual imperatives or influences.*

3.3 Teaching Academics teaching In the modern university are expected to comply with quality assurance requirements related to course structure and templates designed to communication important information to students. Typically, there may also be limitations related to accreditation, course design and delivery (e.g., online teaching platforms). Beyond these administrative constraints, as experts in their field, academics must have the academic freedom and autonomy to develop and design their teaching program. They have an obligation to be scholarly in their teaching.	*As teaching scholars, professional academics in teaching roles:* - *Within limited guidelines, have academic freedom and autonomy to make decisions on the design of a unit or course including choice of content, the pedagogical approach and assessment tasks.* - *Model ethical behaviour in all their professional dealings to guide their students as the next generation of professionals.* - *Maintain a nexus between their teaching and current research in their field (or fields)* - *Regularly engage in scholarly activities such as Professional Development and/or conferences to develop their expertise as teachers in their field as research informs teaching*

Description	Implications for practice
3.3 Service Service is a fundamental and legitimate component of professional academic work and involves the ethical application of their specialised knowledge and skills in the service of others. In addition to formal leadership roles mentioned above, there many informal ways academics fulfil their professional obligation to serve such as contributing to committees, working parties and other activities to support their institution (e.g., open days, graduation, etc.). Service can also involve both formal and informal activities outside of the university that are crucial for the maintenance of scholarly standards, including supporting the academic profession through professional or disciplinary bodies, working for the advancement of their profession, discipline and/or institution. Service may include acting as an advocate through professional organisations, on behalf of public universities, the profession, their discipline and as critical intellectuals.	*As professionals, academics are expected to engage in activities that link to their expertise and serve the needs of others, such as the academic profession, their discipline, society and/or their institution.* *Typically, service activities amount to a minimum of around 20% of an academic's workload.* *Service includes a broad range of activities, both formal and informal, that can be legitimately included within this aspect of their role. These include:* • *Formal roles within their institutions (see leadership above, e.g., Head of School)* • *Formal roles external to their institutions (e.g., editing journals, leadership roles in professional bodies, etc.).* • *A wide range of informal activities that support engagement with the community or serve their profession, discipline and/or institution. (e.g., peer review, serving on professional bodies or working parties, editing a journal; organising a conference, attending a confirmation of candidature, etc.)*

Theme 4: Working conditions in Universities

Theme 4 recognises that power is exercised in a university though the policies, processes and decisions about the allocation of resources. This theme focuses on the centrality of academics for a university to be able to fulfill its academic mission, which requires that the professional needs of their role are acknowledged and fully supported in universities.

Recent research emphasises that management and academics need to work collaboratively to establish trust and develop trustworthy policies and processes that recognise and support the essence of academic work and embody the principles of equity, fairness, transparency, autonomy and academic freedom, and to minimise possible disadvantage for any individual in relation to their gender, ethnicity or experience.

These policies must be congruent with, and recognise all aspects of the role, so academics are able to pursue the blend of Research, Teaching and/or Service activities undertaken in a professional, scholarly and ethical way. They must also ensure equity and access and address the diverse needs of different groups within the academy including those with caring responsibilities, sessional academics, early career researchers, and those with needs related to culture, religion, disability and sexuality to ensure full participation.

Description	Implications for practice
To ensure the essence of academic work is protected, the development, implementation, maintenance and evaluation of policies that may impact on academic working conditions must be conducted in full consultation with affected staff, fully costed and adequately resourced. **4.1 Equity and Fairness** Policies and procedures may need to be developed and/or revised to ensure all staff have a chance to plan their career and succeed. These policies should be designed to explicitly cater for the diverse of needs various groups including those from Indigenous or different cultural backgrounds, those with a disability, those with caring responsibilities, early career researchers and sessional academic staff.	*Policies which are likely to impact on academic work should* - *Embody the principles of equity and fairness to minimise disadvantage to any groups.* - *Be collaboratively designed with the affected staff to ensure they provide real opportunities and support their career aspirations of academic staff at different stages of their career. This includes sessional academics, early career researchers and higher degree research students.* - *Explicitly address the specific needs of staff from diverse groups including those from Indigenous or different cultural backgrounds, those with a disability those returning to work from illness, injury or family leave, carers returning to work, etc.*

Description	Implications for practice
4.2 Academic workload and performance policies Academic workload and performance policies directly impact on the ability of academics to undertake their work in accordance with this Framework. Recent research indicates academic workload and performance policies in a university should adhere to the following principles: The academic workload allocation process must be transparent, trustworthy and justifiable. This will be achieved when the institutional policies for workload allocation and performance: 1. Are developed, documented and implemented in full consultation with academic staff. 2. Are based on an acceptance of the intrinsically motivated and self-managed approach that academics are expected to take to their work. 3. Are adequately resourced, adopted across the institution and directly linked to other institutional processes such as budgeting and performance management. 4. Ensure any associated processes and tools are clearly visible and readily available to academic staff and their performance managers, to facilitate genuine negotiation about career goals, workload and performance expectations. 5. Ensure all staff and managers receive training in the application of the policies as required. To be trustworthy at the level of the individual academics, these policies need to: 6. Be applied in a fully transparent manner, in terms of process and outcome. 7. Provide a holistic estimate of an individual's workload, based on realistic time allocations for <u>all</u> key tasks they are expected to undertake in their teaching, research and service roles. 8. Be sufficiently flexible to cater for justifiable variations associated with differences in discipline, career stage and workload category 9. Enable individual academics to negotiate reasonable workload and performance expectations that reflect their agreed work commitments.	*This Framework must be embedded in the enterprise agreement of a university and used as a basis to develop and implement appropriate policies that are congruent with the professional and scholarly nature of the work as described herein.* *In accordance with shared governance, these policies should be developed by a joint committee of management and elected academic leaders. This committee should consult with the affected academic staff, to ensure the policies:* • *Support the professional, scholarly conception of their work* • *Are implemented in a fair, transparent and equitable manner and* • *Are implemented so that they are properly funded and resourced.* *Each institution should make available an estimation tool so an individual academic, and their performance manager, can prospectively obtain an accurate and credible estimate of the number of hours expected to be worked in a given year, which includes their research, teaching and service activities.* • *All staff and managers should receive training in its use.* *This estimate should be used as a basis for negotiating performance expectations. The negotiation process should also:* • *Enable prospective exploration of different scenarios as they work towards agreement on a reasonable workload outcome* • *Ensure career development and welfare issues are considered* • *Enable retrospective discussion to reflect on what was achieved and reach agreement on justifiable adjustments to workload and performance expectations for the following year.*

Description	Implications for practice
1.2 Addressing under-represented and less powerful academics. While all professional academics are expected to aspire to these professional values and standards, academics in a University, are not a homogenous group. Certain individuals lack power compared to their on-going and established colleagues. They, along with other less powerful academic sub-groups, should also have a representative voice within the academic leadership bodies and process within their university. For example, a high proportion of teaching is done by sessional academics. While as academics they are expected to act in accordance with the values and standards of the profession, they are not always compensated for the time to stay current and may have little or no opportunity to be involved in scholarly activities, or research or discussions about the strategic direction of the university. Many casuals working in research are expected to work beyond their contracted hours. Institutional policies should recognise that sessional academics undertaking teaching or research are expected to be professional and act in accordance with the values and standards of the profession as outlined in this document and they should be compensated accordingly.	*Sessional academics are expected to meet similar professional standards as their academic colleagues in on-going positions. This means their working conditions must acknowledge and recompense them for the requirement to be scholarly and rigorous.* *Their pay for undertaking research and/or teaching roles should be based on the application of their hourly rate for these activities using the same work standards as their academic colleagues in on-going positions.* *In addition, similar calculations should apply to:* • *Maintaining currency in their field of expertise* • *Engaging in scholarly activities* • *Attending professional development and information sessions associated with their work*