

ACADEMIC BOARD

Report title FACULTY REVIEW POLICY AND PROCEDURES
Prepared by Robyn Harris, Director, Planning and Institutional Performance
Reviewed by Professor Belinda Probert, Deputy Vice-Chancellor
Date 9 August 2010

I. EXECUTIVE SUMMARY

I.1 Background

This paper relates to a proposed new statement of Policy and Procedure for cyclic review of Faculties.

I.2 Summary

The policy requires that each Faculty will normally be reviewed every five years. Reviews will critically evaluate the current performance of the Faculty; assess the extent to which Faculty activities support the goals of the University's Strategic Plan; identify actions to improve performance; and provide advice on the future direction of the Faculty. The Faculty Review Procedures and Generic Terms of Reference provide further detail on the scope and process to be followed.

I.3 Issues (including any financial, legal or compliance issues)

Five-yearly Faculty Review provides a basis for quality assurance and improvement of our academic, organisational, management and resourcing activities, to sharpen focus on activities supporting the University's Strategic Plan and to establish a map for the future development of Faculties.

The Faculty Review Policy and Procedures have been developed to supersede the Organisational Unit Review Policy approved by the Senior Executive Group on 5 August 2008.

Following endorsement of this policy, a calendar of Faculty reviews will be developed and promulgated.


The Planning and Institutional Performance Unit has recently assumed responsibility for managing the reviews process. An intranet site for review-related material is currently under development.

I.4 RECOMMENDATION

That Academic Board approve the Faculty Review Policy and related Procedures and Generic Terms of Reference


2. LIST OF DOCUMENTS ATTACHED

- Attachment 1: Faculty Review Policy
- Attachment 2: Faculty Review Procedures
- Attachment 3: Generic Terms of Reference


DOCUMENT TYPE	P	<div>Attachment 1</div> 
ACADEMIC/ADMINISTRATIVE	0	
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FACULTY REVIEW POLICY

Purpose/ objectives	To provide a basis for reviewing and ensuring the quality of our faculties in academic, organisational, management and resourcing terms; to sharpen focus on activities supporting the University's Strategic Plan and to establish a map for the future development of Faculties.
Scope/ Application	All Faculties are covered by this Policy.
Policy Statement	<p>Reviews of each Faculty will typically be conducted every five years. The Reviews provide a basis for ensuring the quality of our faculties in relation to academic activities as well as organisation, management and resourcing. They also sharpen focus on activities supporting the University's Strategic Plan and provide a proposed map for the future development of Faculties. Reviews are forward looking, generating evidence, externally validated, to support the University's claims and to inform decision making. The Strategic Review of Faculties will:</p> <ul style="list-style-type: none"> • report on current performance and practice; • report on the extent to which objectives are being met and are likely to be met in the context of the University's Strategic Plan, Operational Plan, core activity and enabling plans, and the Faculty's Operational Plan; and • provide advice on the future direction of the Faculty, including staffing profile, opportunities and wider developments in the University and the community.
Supporting Procedures	<p>Faculty Review Procedures</p> <p>Generic Terms of Reference: Review of Faculties</p>
Responsibility for implementation	<p>Vice-Chancellor</p> <p>Deans</p> <p>Executive Director (Office of the Vice-Chancellor)</p> <p>Director, Planning and Institutional Performance</p>
Responsibility for monitoring implementation and compliance	<p>Vice-Chancellor</p> <p>Planning and Resources Committee</p> <p>Academic Board</p>
Status	New. This supersedes the Organisational Unit Review Policy approved by the Senior Executive Group 5 August 2008.
Key	Senior Executive


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stakeholders	Planning and Resources Committee
Approval Body	This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.
Initiating Body or person(s)	Executive Director (Office of the Vice-Chancellor)
Definitions	N/A
Related legislation	N/A
Related Policy and other documents	<p>There are two documents accompanying this Policy:</p> <ul style="list-style-type: none"> • Faculty Review Procedures • Generic Terms of Reference: Review of Faculties
Date Effective	Approval Date
Next Review Date	1 January 2012
Keywords	review, organisational review, Faculty review, strategic review
Owner/Sponsor	Executive Director (Office of the Vice Chancellor)
Author	Director, Governance Services
Contact person or area	<p>Robyn Harris</p> <p>Director, Planning and Institutional Performance</p> <p>robyn.harris@latrobe.edu.au</p>


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FACULTY REVIEW PROCEDURES


Parent Policy Title	Faculty Review Policy																
Associated Documents	Generic Terms of Reference: Reviews of Faculties																
Preamble	Reviews of each Faculty will normally be conducted on a 5-yearly basis. The review will be forward looking, generating evidence to support the University's claims and to inform decision making. The review will provide a basis for quality assurance of the Faculties in relation to their academic, organisational, management and resourcing activities, to bring into focus activities supporting the University's Strategic Plan and to establish a map for the future development of the Faculty.																
General	5-yearly reviews of Faculties are an essential element of the University's planning and quality assurance framework. Generic terms of reference are provided, which should be customised as required.																
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1.	<p>Purpose of Review</p> <p>Reviews of Faculties will:</p> <ul style="list-style-type: none"> critically evaluate the current performance of the Faculty; assess the extent to which Faculty activities support the goals of the University's Strategic Plan; identify actions to improve performance; and 																

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	<ul style="list-style-type: none"> provide advice on the future direction of the Faculty.
2.	<p>Timing of Review</p> <p>Faculty reviews will normally be conducted every five years.</p>
3.	<p>Authority and reporting</p> <p>Faculty reviews are commissioned by the Vice-Chancellor, and report to the Vice-Chancellor. The Vice-Chancellor will inform both the Academic Board and the Planning and Resources Committee when a review has been commissioned. The Vice-Chancellor will inform both the Academic Board and Planning and Resources Committee of the findings of the review and its implementation.</p>
4.	<p>Composition of the Review Panel</p> <p>A: External Chair, who will be a senior academic from a relevant discipline, working closely with a designated Senior Executive Group member.</p> <p>B: Up to two further external members with a background in a relevant discipline, including a member of a relevant profession where appropriate.</p> <p>C: Dean from another Faculty at La Trobe University.</p> <p>D: Internal senior academic nominated by Academic Board.</p> <p>E: Senior administrative staff member (eg Divisional Director) nominated by the Vice-Chancellor.</p> <p>The Deputy Vice-Chancellor will provide recommendations to the Vice-Chancellor about an appropriate Chair and membership for each Panel apart from Category D.</p> <p>The review panel will be supported by an Executive Officer supplied by the Planning and Institutional Performance Unit. The Executive Officer undertakes a range of professional administrative/secretarial duties to support the panel including working with the panel to prepare its final written report in a manner consistent with the approved report template.</p>
5.	<p>Review Process</p> <p>The general processes outlined below apply to all reviews.</p> <p><u>Preparing for the review</u></p> <p>The Vice-Chancellor will commission a review, issue formal invitations to Panel members, and approve customisation of the generic Terms of</p>

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	<p>Reference following consultation.</p> <p>The Faculty to be reviewed will be issued with the Terms of Reference and the Faculty Review Policy and Procedures. The self-review process provides an opportunity for critical self-assessment by the Faculty, and should identify areas of achievement and success, as well as weaknesses, and opportunities for improvement. Self-assessment focuses on both current and future performance, and includes a critical examination of how the Faculty can contribute most effectively to the University's strategic objectives. The self-review will consider performance in relation to the review's Terms of Reference, drawing on appropriate comparative data, with the assistance of the Planning and Institutional Performance Unit.</p> <p>The self-review portfolio will:</p> <ul style="list-style-type: none"> • address the Terms of Reference; • compare the Faculty performance in key areas, in line with the Terms of Reference, against national data-sets and against at least two comparable faculties at other Australian universities; and • focus on future performance through an analysis of the Faculty's areas of strength and those requiring development. <p>The Dean of the Faculty has overall responsibility for the preparation of the self-review portfolio. Where appropriate, the Dean should consider conducting a separate sub-review (eg of a School, discipline or centre) in the year preceding the Faculty review.</p> <p>The Faculty will receive support from the Planning and Institutional Performance Unit in the provision of data to underpin the self-review portfolio.</p> <p>The portfolio will be made available to all staff and students in the Faculty, will be posted on the University intranet, and will be made available on request to relevant external stakeholders.</p> <p>The self-review portfolio will be made available to the review panel at least four weeks before the site visit.</p> <p><u>Role of the review panel</u></p> <p>The review panel will:</p> <ul style="list-style-type: none"> • consider the self-review portfolio prepared by the Faculty • consider any additional information it may wish to request of the Faculty;
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- issue a general invitation to the University community to make written submissions to the panel;
- where appropriate, invite submissions from particular members of the University community and from external groups and individuals;
- visit the University for up to four days;
- interview key stakeholders, University management, Faculty staff and students from the Faculty under review;
- draft recommendations on the final day of the visit;
- meet with the Vice-Chancellor at the conclusion of the visit to discuss preliminary findings and recommendations; and
- with the assistance of the Executive Officer, prepare and submit a final written report to the Vice-Chancellor within six weeks of the site visit.

With the exception of submissions clearly marked 'CONFIDENTIAL', submissions to the review panel will be made available on the University intranet, accessible to staff of the University. Submissions will be made available to the review panel at least one week before the site visit.

Response from the Faculty

The Vice-Chancellor will provide the Dean of the Faculty with a copy of the Panel's report, and will invite a response. The Vice-Chancellor will consider both the report and the Faculty's response, and will invite the Faculty to submit an implementation plan. The implementation plan will be expected within one month of the Vice-Chancellor's invitation to the Dean.

The Vice-Chancellor will inform the Academic Board and the Planning and Resources Committee of the review findings and recommendations, and of implementation plans.


Reporting on the implementation plan will be integrated into the Faculty's annual reporting against operational plan objectives.

Budget


Costs associated with each Faculty review will be borne by the Faculty.

Records Management


All confidential submissions, drafts of the review report, and notes taken during the review, will be returned to the secretariat upon completion of the review for confidential disposal. Records Services will retain a copy of the Panel report and associated documentation and submissions. An Executive Summary of the Panel's report, together with the Panel's recommendations,

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	will be posted on the University intranet.
6.	<p>Information to be considered</p> <p>The Faculty self-review portfolio will allow it to reflect upon and analyse operations in order to improve future performance. The focus of the submission is to identify future directions in the context of the University's overall strategic objectives.</p> <p>The portfolio will be no longer than 25 A4 pages, excluding appendices, and must address the Terms of Reference for the review, highlighting the Faculty's performance, plans, improvement opportunities, and any recommendations which it may wish to make with respect to its future activities or directions.</p> <p>The following data and documents should be included in the self-study in the form of appendices:</p> <ul style="list-style-type: none"> • Faculty Operational Plans (previous year and report on performance and current year) • Academic and administrative organisational structure • Staffing management plan/profile • Overview of Faculty budget, including funding sources (last three years) • Staff attendance at training/professional development programs, including leadership/management activities • Internal and external teaching awards, including grants • Market research into Faculty positioning, differentiation and profile • Summary of course enrolment data, including preferences, acceptances, ENTER scores, student enrolment trends by school / course / campus (last three years) • Equity enrolment profile, including TAFE and school-leaver information • Trends in international student enrolments and international study experiences (last three years) • Summary of course performance data including progression and completion rates by School/course/campus, and Graduate Destination Survey data (last three years), and other evidence of student engagement and learning • Student feedback on subjects and courses (eg Student Feedback on Subject, Course Experience Questionnaire) and overview of actions taken • Trends in research income and research publications by School (last

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	<p>three years)</p> <ul style="list-style-type: none"> • Research strengths, and evidence for these including Excellence in Research for Australia rankings • Proportion of staff actively involved in research and research training • Incentives and rewards for teaching and research performance • Examples of use of external industry, government and professional body/advisory groups to ensure a focus on research and research training that makes effective use of partnerships • A report on the implementation of recommendations from the previous Faculty review and any School/discipline reviews conducted since the last Faculty review.
7.	<p>Additional documents</p> <p>Generic Terms of Reference: Reviews of Faculties</p>
Status	Revised. Prior approval Senior Executive Group 5 August 2008. The implementation of the latest version of these procedures supersedes all previous versions of these procedures.
Approval Body	This section to be completed only after approval of the new or revised version, for inclusion on website only. Do not enter information prior to approval. When entering, include approval body name, meeting number and date and agenda item number.
Initiating Body	This section to be completed only after endorsement by the initiating body of the new or revised version. When entering, include endorsing body name, meeting number and date and agenda item number.
Definitions	N/A
Date Effective	Unless determined otherwise this should be the approval date. Include any comments as required eg if there is to be a 'grandfather' clause or effective date earlier or later than the approval date.
Next Review Date	1 January 2012
Keywords	Review; organisational review; faculty review; strategic review
Owner/Sponsor	Executive Director (Office of the Vice-Chancellor)

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Author	Director, Governance Services
Contact person or area	Robyn Harris Director, Planning and Institutional Performance robyn.harris@latrobe.edu.au

LA TROBE UNIVERSITY

TERMS OF REFERENCE FOR THE REVIEW

OF THE

FACULTY OF XXXX

Purpose

As part of the University's continuous quality improvement cycle, Faculty reviews are conducted cyclically, normally every five years. The review enables the Vice-Chancellor to assess Faculty performance within the context of the University's strategic directions and objectives. The review will be forward looking, generating evidence to support the University's claims and to inform decision making.

The review:

- critically evaluates the current performance of the Faculty;
- assesses the extent to which Faculty activities support the goals of the University's Strategic Plan;
- identifies actions to improve performance; and
- provides advice on the future direction of the Faculty.

The principles and process for the review are outlined in Faculty Review Policy and the associated Procedures.

Review Panel

The Vice-Chancellor, on the advice of the Deputy Vice-Chancellor, has appointed the following panel members to conduct a review of the Faculty of XXX.

Composition:

A.	External Chair, who will be a senior academic from a relevant discipline, working closely with a designated Senior Executive Group member.	
B.	Up to two further external members with a background in a relevant discipline, including a member of a relevant profession where appropriate.	
C.	Dean from another Faculty at La Trobe University.	
D.	Internal senior academic nominated by the Academic Board.	

E.	Senior administrative staff member (eg Divisional Director) nominated by the Vice-Chancellor.	
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The review panel will be supported by an Executive Officer supplied by the Planning and Institutional Performance Unit. The Executive Officer undertakes a range of professional administrative/secretarial duties to support the panel including working with the panel to prepare its final written report in a manner consistent with the approved report template.

The Executive Officer for the review of the Faculty of XXX is:

[Name and contact details]

Specific Terms of Reference

Any specific Terms of reference as approved by the Vice-Chancellor are listed here.

Generic Terms of Reference

The review panel will consider the following:

1. General Aspects of Performance

1.1 Faculty contribution to the University

- Proposed future directions in teaching and research

1.2 Organisation and management

The appropriateness and effectiveness of the organisation and management of the Faculty, bearing in mind Faculty strengths and multi-campus delivery, where relevant, including:

- Leadership, planning and administration within the Faculty
- Faculty academic and administrative structures
- Internal structure of academic units and portfolios
- The Faculty's relationship to other Faculties and organisational units.

1.3 Continuous improvement

The effectiveness of rules and practices for quality assurance and improvement, including:

- Internal, national and international benchmarking in teaching and research
- Processes and actions to improve performance based on findings of the review.

2. Alignment with the University's Strategic Plan

The Faculty's operational planning and performance should be considered with reference to the University's Strategic Plan and sector benchmarks in relation to:

2.1 Curriculum, Teaching and Learning

- Course planning and the Faculty's course profile including, where relevant:
 - undergraduate courses
 - achievement of low SES targets
 - non-award and postgraduate courses and opportunities for lifelong learning
 - incorporation of advice from advisory boards
 - clear understanding of market demand and course planning response to market demand.

- The quality of undergraduate and postgraduate teaching and learning, including:
 - implementation of Design for Learning principles
 - student engagement, learning and success
 - graduate outcomes and especially actions taken and actions to be taken to improve graduate employment outcomes
- Provision of resources and learning experiences to maximise opportunities for participation across the academic year
- Development of diploma pathways for less well prepared students
- Provision of student support services
- Infrastructure, including staff and student access to space and equipment.

2.2 Research

- Research performance, income, expenditure, concentration and focus
- Research strengths and strategic directions, linked to strategic staffing proposals
- Proportion of staff actively involved in research and research training
- Use of external industry, government and professional-body advisory groups to ensure a focus on research and research training that makes effective use of partnerships
- Quality of research training, including:
 - provision of infrastructure and support
 - completion rates and student feedback on supervision
 - improvements in the quality and consistency of supervision

2.3 Internationalisation

- International activities of the Faculty including:
 - international study experiences
 - recruitment of international students
 - offshore teaching partnerships.

2.4 Community and regional engagement

- The range and success of external partnerships
- Community activities of staff, with particular emphasis on engagement with communities associated with each campus

2.5 Recruiting and retaining staff

- The Faculty's staff profile with particular focus on age distribution of senior staff and leadership needs
- Human resource planning and management, including:
 - staffing of priority areas
 - succession planning
 - training and professional development of academic and general staff
 - actions to improve staff satisfaction
 - incentives to support excellent teaching and research and retain key staff.

2.6 Communication and marketing

- Alumni linkages.

2.7 Resources

- The financial, capital and asset resources of the Faculty and asset management
- Generation of non-government income.