

# DETAILED GUIDELINES FOR PREPARING THE SELF-EVALUATION REPORT (SER)

These guidelines provide further insight into how a faculty may choose to develop its Self Evaluation Report (SER). The questions in each Section are designed to assist the faculty in answering the main requirements. There is no expectation that all questions will be answered. However, the faculty may find the questions useful in determining areas of strength and areas for improvement.

## KEY DEFINITIONS

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How	the systems and processes the faculty uses to accomplish its goals.
Partners	both to partners within the University, for example, other faculties and partners outside the University, such as government departments that might be closely associated with your faculty's programs.
Process	the methods used and improved to address the items in each Section. This is generally a series of linked actions that aim to achieve a specific outcome. As appropriate, this can be either a formal documented series of steps, or a less formal general understanding of the expected sequence of actions/events that will lead to competent performance (eg timing, contingencies, seeking feedback/input). Processes are evaluated against approach, deployment, learning and integration.
Quality Assurance	the planned and systematic activities/processes implemented within the University's academic and support framework that provide demonstrated evidence and confidence that the University is meeting its mission and strategic objectives.
Service providers	providers of services to the faculty, including for example student services, financial services and so on.
Stakeholders	all groups that are or might be affected by a faculty's actions and success. Key stakeholders might include international research peers, research partners and research sponsors, alumni, employers, government, local and professional communities and a range of other parties.
Students	both coursework and research students. Although students are commonly thought of as stakeholders, in this context we refer to them separately for clarity.

## Section I. PREFACE: FACULTY PROFILE

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### PURPOSE OF THIS SECTION

To provide a snapshot of your faculty, the key influences on how you operate and the key challenges faced. It sets the context for the way your faculty operates. In this part you describe the faculty's:

- operating environment
- key relationships with students, stakeholders, service providers and partners.
- competitive academic environment
- key strategic academic challenges and advantages.
- governance structures

### SUB-SECTIONS AND MAIN REQUIREMENTS

- **Topic 1.01 Faculty description: what are your key faculty characteristics?**  
Describe your faculty's operating environment, your key relationships with students, stakeholders, service providers and partners.
- **Topic 1.02 Challenges: what are the key academic challenges your faculty faces?**  
Describe your faculty's competitive academic environment, your key strategic academic challenges and advantages.

## INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION I

### *Topic 1.01 Faculty Description: What are your key faculty characteristics?*

#### **(a) Faculty environment**

- Vision, mission and values
- Main academic activities
- How activities are delivered
- Faculty culture
- Regulatory environment: eg accreditation requirements, Federal or State standards, mandated curricula or other factors that specifically apply to your faculty

#### **(b) Organisational relationships**

- Organisational structure and governance system
- Reporting relationships between policy-making processes and staff delegated to implement policy
- Key student segments, stakeholder groups and market segments
  - differences in requirements and expectations amongst these cohorts. Eg your student population may be segmented in a variety of ways, such as by degree, local or international, admission process
- Key research funding agencies with specific requirements
- Key service providers, partners and collaborators
  - role they play in your work systems and in the delivery of your academic programs and/or organisational innovation processes
- Key communication mechanisms with service providers, students, partners and stakeholders

### *Topic 1.02 Challenges: what are the key academic challenges your faculty faces?*

#### **(a) Competitive environment**

- Competitive position for teaching and research
- Principal factors that determine success relative to your competitors and other organisations delivering similar academic programs, including research
- Key changes taking place that effect your competitive situation, including opportunities for innovation and collaboration
- Key available sources of comparative and competitive data. (This may include any limitations on your ability to obtain these or other useful data)

#### **(b) Strategic context**

- Key strategic challenges and advantages in teaching and research

## Section II. LEADERSHIP

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### **PURPOSE OF THIS SECTION**

To examine how your faculty leaders guide and sustain your faculty, and how your faculty addresses its ethical and community responsibilities. It recognises that leadership is present at many levels in a faculty, with senior leaders generally bearing greater responsibility. All academic office bearers in the faculty, e.g., Associate Deans, Heads of Schools, degree coordinators, etc, are assumed to have a leadership role, supporting the Dean to take the faculty forward.

### **SUB-SECTIONS AND MAIN REQUIREMENTS**

- **Topic 2.01 Senior leadership: how do your senior leaders lead?**  
Describe how senior leaders in your faculty guide and sustain the faculty in its academic activities. Describe how senior leaders communicate within the faculty and encourage high standards of academic performance.
- **Topic 2.02 Social responsibilities**  
How does your faculty address its responsibilities to the public and ensure ethical behaviour?

## INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION II

### *Topic 2.01 Senior leadership: how do your senior leaders lead?*

#### **(a) Vision and values**

- How senior leaders:
  - develop the faculty vision and values
  - promote a culture that emphasises scholarship, free inquiry, intellectual rigour and honesty
  - articulate vision and values through the faculty and beyond, as appropriate
  - personally promote an environment that fosters, requires and results in ethical behaviour
  - create a sustainable faculty
  - create an environment for organisational performance improvement and learning
  - participate in developing future leaders for the faculty

#### **(b) Communication and faculty performance**

- How senior leaders:
  - communicate with and engage the entire faculty
  - encourage frank, two-way communication
  - take an active role in reward and recognition of high standards of performance
  - create a focus on actions to accomplish the faculty's academic objectives
  - improve academic performance and attain its vision

### *Topic 2.02 Social responsibilities*

#### **(a) Ethical behaviour**

- How the faculty promotes and ensures ethical behaviour in all interactions
- Processes for monitoring and responding to breaches of ethical behaviour

#### **(b) Support of key communities**

- Key communities
- How the faculty identifies key communities, supports and strengthens them

## Section III. STRATEGIC PLANNING

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### **PURPOSE OF THIS SECTION**

To examine how your faculty develops and implements its strategic directions in relation to academic activities, within the context of the University's Strategic Directions 2006-2010. It looks at how plans and strategic goals are developed, how they are implemented, how faculties adapt them to changing circumstances and how progress is measured.

### **SUB-SECTIONS AND MAIN REQUIREMENTS**

- **Topic 3.01 Strategy development: how does your faculty develop its strategy?**  
Describe how your faculty determines its strategic academic challenges and advantages and establishes its strategy and strategic objectives to address these challenges and enhance its advantages. Summarise your faculty's key strategic objectives.
- **Topic 3.02 Strategy deployment: how does your faculty deploy its strategy?**  
Describe how your faculty converts its strategic objectives into action plans, how these relate to key performance indicators and how you use KPIs and other benchmarks to set performance projections.

## INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION III

### *Topic 3.01 Strategy development: how does your faculty develop its strategy?*

#### **(a) Strategy development process**

- How the faculty sets its strategic directions
  - key steps and participants in setting plans
  - process for developing the strategic challenges/advantages outlined in Topic 1.02
  - integrates plans into teaching and research
- How the strategic planning addresses:
  - faculty strengths, weaknesses, opportunities and threats in teaching and research
  - early indications of change in your external environment, including changes in student demand, employer and/or professional demands, changes in university and government policy, that might require a review of your strategy
  - long-term faculty sustainability
  - alignment of faculty plans, e.g., research and teaching plans
- How the faculty collects and analyses relevant data and information pertaining to these factors as part of the strategic planning process

#### **(b) Strategic academic objectives**

- Key strategic academic objectives and timetable for accomplishing them.  
(Broadly stated, strategic objectives are what an organization must achieve to remain or become competitive and ensure long term sustainability)
- Most important goals for these strategic objectives.  
(Goals specify targets that must be achieved for the objective to be met, e.g., increase student satisfaction by twenty percent in three years.)
- How strategic objectives address:
  - strategic challenges and advantages in teaching and research
  - opportunities for innovation in teaching, research and supporting operations
- How the faculty ensures that strategic objectives balance short and long-term challenges and opportunities and the needs of all stakeholders

### *Topic 3.02 Strategy deployment: how does your faculty deploy its strategy?*

#### **(a) Action plan development and deployment**

- How the faculty:
  - turns strategic plans into action
  - develops and deploys action plans for academic programs (teaching, learning, research, research training) throughout the faculty to achieve key objectives
  - ensures that key outcomes of the action plans can be sustained
- Key short and long term changes you forecast in academic programs
- Key performance measures or indicators that the faculty uses for tracking progress on action plans
- How the faculty ensures that the measurement system covers all key deployment areas, student segments and stakeholders.

## **(b) Performance projections**

- Performance projections for short and long term planning horizons for the key measures in (a) above

“Performance projections” refers to estimates of future performance. These may be predicted based on performance of competitors, past performance, changes in a dynamic academic market or they may be goals for future performance. They may be used to indicate where breakthrough improvement or innovation is needed.

## **Section IV. STUDENT AND STAKEHOLDER FOCUS**

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### **PURPOSE OF THIS SECTION**

To consider how your faculty establishes the needs, expectations and preferences of students and stakeholders. It examines how the faculty builds relationships with students and stakeholders, leading to student and stakeholder satisfaction, student retention and improved academic programs and services in teaching, research and research training.

### **SUB-SECTIONS AND MAIN REQUIREMENTS**

- **Topic 4.01 Knowledge of students and stakeholders**  
Describe how your faculty determines the needs, expectations and preferences of students and stakeholders: to ensure the continuing relevance of your academic programs and services; to develop opportunities for new academic programs and services; and to create a climate conducive to research and learning for all students.
- **Topic 4.02 Student and stakeholder relationships and satisfaction**  
Describe how your faculty builds relationships to attract, satisfy and retain students and stakeholders. Describe how your faculty determines student and stakeholder satisfaction and dissatisfaction.

### **INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION IV**

#### ***Topic 4.01 Knowledge of Students and Stakeholders***

##### **(a) Student, stakeholder and market knowledge**

- How the faculty:
  - identifies different student and market segments you wish to attract
  - determines which student segments to pursue for current and future academic programs
  - identifies potential students and markets, local and international
- How information and feedback (including complaints) from current, former and future students and stakeholders is used:
  - for planning academic programs, services, marketing
  - to identify opportunities for research
- Processes for keeping student and stakeholder feedback methods up to date with changing academic program and service needs and directions.

#### ***Topic 4.02 Student and Stakeholder Relationships and Satisfaction***

##### **(a) Student and stakeholder relationship building**

- Relationship building strategies for:
  - attracting and retaining students and stakeholders
  - enhancing students' performance
  - meeting the expectations of students and stakeholders for research and learning
- Mechanisms to enable students and stakeholders to seek information and make comments. How the faculty ensures that contact mechanisms are appropriate.

- How the faculty keeps approaches to building relationships current and delivering on their purpose

**(b) Determining student and stakeholder satisfaction**

- How student and stakeholder satisfaction and dissatisfaction are determined, including:
  - process/es for ensuring that measurements capture representative actionable information for use in meeting student and stakeholder expectations
  - how data is used to make improvements
  - how information on the relative performance of competitors is obtained and used
  - how approaches for determining satisfaction are kept up to date with emerging educational service needs and directions.

## Section V. MEASUREMENT, ANALYSIS AND KNOWLEDGE MANAGEMENT

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### PURPOSE OF THIS SECTION

To examine the management and effectiveness of the use of data and information to support key faculty processes. It recognizes that the use of data for performance management may occur in a different context and that key performance indicators are increasingly centrally provided.

**Note:** This section may duplicate some of the responses you include in other sections. There is no requirement for duplication. The faculty should use its discretion to either include the responses in this section or to integrate them across sections and cross-reference.

### SUB-SECTIONS AND MAIN REQUIREMENTS

- **Topic 5.01 Selection and use of information and data**  
Describe how the faculty systematically uses information and data to measure, analyse and improve faculty performance.
- **Topic 5.02 Management of information and knowledge**  
Describe how your faculty manages organisational knowledge to transfer and share knowledge.

### INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION V

#### *Topic 5.01 Selection and use of information and data*

**(a) Selection and use of information and data**

- Measures of academic performance (current and desired)
- Use, or potential use, of performance data to support faculty decision making and innovation.

**(b) Analysis and review of performance**

- Process for reviewing academic performance and capabilities, including:
  - How review findings are translated into priorities for continuous or breakthrough improvement and opportunities for innovation
  - How these priorities and opportunities are communicated to the faculty

#### *Topic 5.02 Management of Information and Knowledge*

- How organizational knowledge is managed to:
  - collect and transfer workforce knowledge
  - transfer relevant knowledge from and to students, stakeholders, partners and collaborators
  - rapidly identify, share and implementation best practices in teaching and research
  - assemble and transfer relevant knowledge for use in the strategic planning process.

## Section VI. WORKFORCE FOCUS

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### PURPOSE OF THIS SECTION

To examine how your faculty, including all staff and researchers, are enabled to develop and utilize their full potential, aligned with the faculty's objectives. The faculty's efforts to build and maintain an environment conducive to academic performance excellence, full participation and personal and organizational growth are also examined.

### SUB-SECTIONS AND MAIN REQUIREMENTS

- **Topic 6.01 Workforce engagement: how does the faculty engage its members to achieve organisational and personal success?**

Describe how the faculty engages, compensates, and rewards staff to achieve high standards of performance, including how staff, including leaders, are developed to achieve high standards of performance. Describe how the faculty assesses workforce engagement and uses the results to achieve higher performance.

- **Topic 6.02 Workforce Environment: How does your faculty build an effective and supportive workforce environment?**

Describe how the faculty manages workforce capability to accomplish the work of the faculty, including how the faculty maintains a safe, secure and supportive work climate.

### INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION VI

#### *Topic 6.01 Workforce engagement: how does the faculty engage its members to achieve organisational and personal success?*

##### **(a) Workforce enrichment**

- How the faculty determines the key factors that affect workforce engagement and satisfaction
- How the faculty fosters a culture conducive to high standards of academic performance and a motivated workforce which:
  - Cooperates, effectively communicates and shares skills
  - Has effective information flow at all levels
  - Innovates in the work environment
  - Benefit from diverse ideas, cultures and thinking

##### **(b) Workforce and leader development**

- How the faculty workforce development and learning system addresses the following:
  - Needs and desires for learning and development identified by the workforce, including supervisors and administrators, to improve their academic performance
  - Faculty performance improvement, technological change and innovation
  - The breadth of development opportunities
  - The transfer of knowledge from departing or retiring staff
  - The reinforcement of new knowledge and skills on the job.
  - Succession planning, including academic leadership positions
- How does the faculty development and learning system for leaders:
  - Develop personal leadership attributes
  - Develop organizational knowledge
  - Encourage ethical practices
  - Cover the breadth of leadership development opportunities
  - Is evaluated to ensure effectiveness

**(c) Workforce engagement**

- How the faculty assesses workforce engagement
- Formal and informal methods and measures, e.g., staff retention, grievances, safety and productivity, used to assess and improve workforce engagement

**Topic 6.02 Workforce Environment: How does your faculty build an effective and supportive workforce environment?**

**(a) Workforce capability**

- How the faculty:
  - ensures that it has the skills and capabilities to address current and emerging needs
  - manages and organises its workforce to accomplish the work of the faculty and ensure that it is well placed to address strategic challenges and action plans
  - prepares the workforce for changing capability and capacity needs in teaching and research

**(b) Workforce climate**

- How the faculty:
  - ensures that all students and staff understand and comply with relevant academic policies and procedures
  - develops faculty policy and contributes to University academic policy development

## Section VII. ACADEMIC PROCESS MANAGEMENT

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### PURPOSE OF THIS SECTION

To examine key aspects of process management, including learning-focussed academic program design, program delivery, research training and services that support these activities. The section also examines how key processes are designed, effectively managed and improved to achieve higher academic performance and academic quality, deliver value to students and stakeholders, maximize student learning and success and achieve organizational success and sustainability.

### SUB-SECTIONS AND MAIN REQUIREMENTS

- **Topic 7.01 Coursework program design and delivery**  
Describe how new and modified coursework programs are designed, introduced and delivered.
- **Topic 7.02 Research and research training**  
Describe how your faculty contributes to and supports knowledge creation, knowledge transfer and training of researchers. Describe the benefits of these programs and activities to key communities and to the faculty's strategic objectives.

### INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION VII

**Topic 7.01 Coursework program design and delivery**

**(a) Core competencies**

- Core teaching competencies, how they are determined and how they relate to the faculty mission, competitive environment and teaching plans
- Processes for designing and innovating overall teaching process
- Processes for determining which elements of the teaching program will be internal and which will use external resources

## **(b) Coursework program design**

- How program design ensures that teaching programs:
  - deliver high academic quality
  - address student and stakeholder needs
  - contribute to student learning and success, organizational success and sustainability
  - incorporate input from students, stakeholders, partners and collaborators
  - anticipate and prepare for individual differences in learning capabilities, rates and styles
  - ensure programs engage all students in active learning? (Students engaged in active learning may demonstrate their abilities to analyse, synthesize and evaluate through projects, presentations, experiments, simulations, internships, practicums, independent study projects, peer teaching and role playing, as well as in written documents.)
  - incorporate new technology, organizational knowledge and the potential need for agility
- How the program design process takes account of cycle time, productivity and effectiveness (eg takes account of Academic Board deadlines; integrates new learning methods across programs)

## **(c) Coursework delivery**

- Processes for ensuring that ongoing teaching programs meet, and continue to meet, design intentions
- How teaching programs are evaluated and improved, including using:
  - Formal and informal feedback from students and stakeholders
  - Benchmarking
  - Assessment results
  - Peer evaluation
  - Research on learning and assessment
  - Sharing of best practices.
- Key services, e.g., enrolment, course coordination, that support delivery
- Process for evaluating the effectiveness of key services and addressing required improvements.

## **Topic 7.02 Research and research training**

### **(a) Core competencies**

- Core research and research training competencies; how they are determined and how they relate to the faculty mission, competitive environment and strategic plans
- How the faculty guides, fosters and innovates its overall research and research training program

### **(b) Research**

- Processes for:
  - encouraging excellence at an international scale in research
  - providing cultural, intellectual and physical support to its research
  - assisting researchers to achieve and sustain their research potential
  - identifying and transferring benefits of research to key communities
- How input from staff, students, stakeholders, partners and collaborators, as appropriate, is used to guide and evaluate processes for ensuring research productivity and quality
- Other measures or indicators that provide useful signals regarding research productivity and quality. How these are incorporated into processes.
- Mechanisms to allow agile responses to new research opportunities
- Key services, e.g., financial, that support delivery
- Process for evaluating the effectiveness of key services and addressing required improvements.

### (c) Research training

- How the faculty:
  - encourages research students to achieve at an international academic standard
  - ensures that research students are inducted into and contribute to the research culture of the faculty
  - provides a high standard of intellectual, physical and financial support to research students
  - achieves high quality supervision of its research students
  - monitors and improves supervision
  - uses input from staff, students, stakeholders, partners and collaborators, as appropriate, to guide and evaluate the processes for ensuring quality in research training
  - incorporates other measures or indicators for research training quality into processes
- What does the faculty identify as the key services, e.g., scholarship administration, that support its research training? How does the faculty evaluate the effectiveness of these services?
- Key services, e.g., scholarship administration, that support delivery of research training
- Process for evaluating the effectiveness of key services and addressing required improvements.

## Section VIII. RESULTS

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### PURPOSE OF THIS SECTION

To examine your faculty's performance and improvement in key academic areas.

### SUB-SECTIONS AND MAIN REQUIREMENTS

- **Topic 8.01 Student learning outcomes**
- **Topic 8.02 Research and research training outcomes**
- **Topic 8.03 Student and stakeholder focussed outcomes**
- **Topic 8.04 Market outcomes**
- **Topic 8.05 Workforce focussed outcomes**
- **Topic 8.06 Leadership outcomes**

### INFORMATION THAT MAY BE USEFUL IN DEVELOPING A RESPONSE TO SECTION VIII

#### *Topic 8.01 Student learning outcomes (UG and PG coursework)*

- Current levels and trends in KPIs for student learning and improvement in student learning
- Performance in KPIs relative to competitors

#### *Topic 8.02 Research and research training outcomes*

- Current levels and trends in KPIs for:
  - research quality and productivity and improvement in research performance
  - research student achievement
- Performance in KPIs relative to competitors

#### *Topic 8.03 Student and stakeholder-focussed outcomes*

- Current levels and trends in KPIs for:
  - student and stakeholder satisfaction and dissatisfaction
  - student retention
  - positive referrals and other aspects of building relationships with students and stakeholders
- Performance in KPIs relative to competitors

**Topic 8.04 Market outcomes**

- Current levels and trends in KPIs or measures for market performance. This may include market share or position, market and market share growth and new markets entered.

**Topic 8.05 Workforce-focussed outcomes**

- Current outcomes for workforce engagement, workforce satisfaction and the development of the workforce, including leaders.

**Topic 8.06 Leadership outcomes**

- Current results for measures of ethical behaviour and of stakeholder trust in the senior leaders and governance of the faculty
- Current results for key measures or indicators of organizational citizenship in support of your faculty's key communities