

SIMON FRASER UNIVERSITY

Office of the Vice President, Academic

MEMORANDUM

TO: Senate

FROM: J.M. Munro,
Vice President, Academic

SUBJECT: Planning and Review Framework DATE: February 11, 2000

Action taken by the Senate Committee on Academic Planning leads to the following motions:

Motion 1 SCAP recommends that Senate approves the revisions to the Senate Guidelines for External Reviews contained in S.00-29 *tabled to Scap 6/3/00*

Motion 2 SCAP recommends that Senate approves the new Senate Guidelines for Academic Plans contained in S.00-29 *referred to Scap 6/3/00*

There are also several additions and explanations concerning the material in SCAP 00-6 (now S.00-29).

1. SCAP suggested that the "Senate Guidelines for Academic Plans" include specific target dates rather than just refer to academic years in which plans and plan progress reports would be prepared. This would serve to increase the usefulness of plans and plan progress reports in budget discussions for the forthcoming fiscal year. In response, completion dates for plans and plan progress reports have been added as follows: November 1st for units; January 15th for Faculties, and February 15th for the Vice President, Academic.

2. The example of the Department-level Planning and Review Schedule presented at the SCAP meeting contained errors; these have been corrected.

3. It was suggested that the revisions to the existing "Senate Guidelines for External Reviews" (S.96-23) be specified. The proposal includes the following changes.

a. "Planning for renewal of the unit's faculty resources" is added as a topic in the self-study report.

b. The representation of both genders on the review committee is now "shall" rather than "should".

c. The review committee submits its report to the Vice President, Academic who then circulates it to the unit, the President, and the Deans of the Faculty and of Graduate Studies. This clarifies to whom the report is to be submitted. Distribution to SCAP occurs later.

d. There is no longer provision for comments to the unit by administrators or committees at the time of the initial submission of the report by the review committee.

e. The unit prepares a response to the external review report and this plus comments by the Dean and Vice President, Academic are submitted to SCAP and Senate. In the current Guidelines the external review leads directly to a new academic plan. In the new integrated proposal this occurs in the year following the external review.

f. Concerns expressed by some Chairs over lack of closure on recommendations in external reviews have led to the inclusion of a new section (13.) that follows Senate discussion of external review reports, responses, and comments. This requires the Faculty Dean to outline priorities for the unit and the resources required to address them.

g. The reporting of progress in academic plan implementation is now in the "Senate Guidelines for Academic Plans".

h. There are a number of editorial changes. Any Senator wishing to review these can obtain a copy of S96.23 from the University Secretariat office.



S 96-23 can also be accessed directly on the web at:

<http://www.reg.sfu.ca/Senate/SenateComms/2-ExRevGdl.html>

SIMON FRASER UNIVERSITY

Office of the Vice President, Academic

MEMORANDUM

TO: Senate Committee on Academic Planning **FROM:** J.M. Munro,
Vice President, Academic

SUBJECT: Planning and Review Framework **DATE:** February 7, 2000

This is a proposal to integrate the frameworks for the external review of academic departments and the three-year academic planning process. The rationale for this proposal is that both external reviews and academic planning have been important and successful initiatives for the assessment and development of the University's academic programs but they need to be integrated to avoid unnecessary duplication.

This proposal has been discussed at two other SCAP meetings in the last six months. Since the last discussion at the December, 1999 meeting I have consulted with Chairs and Directors. While there was full agreement that the integration of these two procedures was desirable and that planning guidelines would be useful, there was disagreement over the most suitable interval between reviews and plans. Chairs in the Faculty of Arts preferred plans at five-year intervals and external reviews at ten-year intervals. In the other Faculties the preference was for the proposed 3/6 interval. After further consideration and consultation, I am proposing plans every three years and reviews every six years because I believe a shorter interval will be better for the period of substantial change that the University is about to enter. The process of replacing retiring faculty over the next decade will introduce a large number of changes that cannot be foreseen now but will emerge in the years ahead. Five years is simply too long a planning period for this level of change. Since Faculty and University plans are built on department plans, a choice of five years would mean plans written in 2000/01 would be in place until 2005/06.

The external review process has existed in various forms since the early 1970s. The current document specifying the objectives and procedures for external reviews is S96-23 (Senate Guidelines for External Reviews of Academic Units, March 4, 1996). While no formal approval was sought for the current academic planning process, it is described in two documents. The first is an April 21, 1997 memorandum written by Vice-President, Academic David Gagan entitled "Three Year Academic Planning Cycle, 1998/2001. A document dated January 7, 1999 entitled "Planning Framework for SFU" proposed an integration of the review and planning processes. The current proposal provides a more detailed and integrated system of academic planning and external reviews.

The main elements in the revised proposal are as follows. (Please note that "Departmental" includes Schools and non-departmentalized Faculties.)

1. External reviews will be on a 6-year cycle instead of the current nominal 7-year cycle.
2. Departmental 3-year academic plans will be prepared directly following external reviews and three years after that.
3. Departmental academic plans will be updated through an annual progress report. In the year prior to an external review the self-study will serve as the progress report.
4. Faculty academic plans will be prepared every three years. The next plan is scheduled for the academic year 2000/01. These will be developed using Departmental academic plans and progress reports. There will be a progress report each year to update the plan.
5. The academic plan of the Vice-President, Academic will be prepared every three years. The next plan is scheduled for the year 2000/01 using Faculty academic plans. There will be a progress report each year to update the plan.

It is expected that the annual progress reports will be brief summary documents highlighting changes and accomplishments since the plan was written. Guidelines will be provided concerning the content of all plans and progress reports.

The Senate Committee on Academic Planning will review the following documents.

1. Reports from Departmental external review committees together with the Departmental response to the report and the comments of the Dean and Vice-President, Academic.
2. The academic plan of the Vice-President, Academic. The Faculty plans will be appendices to this plan.
3. The annual progress report on the academic plan of the Vice-President, Academic. This will include a report on the allocation of strategic funding.

All documents reviewed by SCAP will be transmitted to Senate for discussion and advice.

The following attached documents are part of this proposal.

1. Senate Guidelines for External Reviews of Academic Units. This is a revision of the 1996 Guidelines which reflects a new approach to integration of reviews and plans by scheduling so that reviews guide plans. It also adds planning for faculty renewal as an explicit component of the self-study process. There are also a few editorial revisions.
2. Senate Guidelines for Academic Plans. This document is based on the plans as they were prepared in 1997/98 and has been written to be consistent with the Guidelines for External Reviews and other planning documents prepared in recent years. These guidelines also include a reference to the "Statement of Purpose" approved by Senate and the Board of Governors in 1998 as S. 98-51.

3. Planning and Review Schedule. This document schedules the integrated process of review and planning through the 2000/01-2005/06 period. It is recognized that unforeseen events will necessitate future modifications of this schedule.

4. Schedule of External Reviews of Academic Units. This identifies when each academic unit was last, and will next be, reviewed. With reference to A. in the Planning and Review Schedule, the review year is "Review Year 1" and "Plan Year 1" for each academic unit.



cc. J.P. Blaney
S. Roppel

SENATE GUIDELINES FOR EXTERNAL REVIEWS OF ACADEMIC UNITS

All academic units* are reviewed every six years. The purposes of such reviews are to enable units to conduct their own assessments of their strengths and weaknesses, to obtain the views of external experts in the field, and to support academic planning. The review process is intended to ensure that:

- (a) The quality of the unit's programs is high and there are measures in place to ensure the evaluation and revision of the teaching programs.
- (b) The quality of faculty research is high and faculty collaboration and interaction provides a stimulating academic environment.
- (c) Department members participate in the administration of the unit and take an active role in the dissemination of knowledge.
- (d) The departmental environment is conducive to the attainment of the objectives of the department.

Review committees should make their assessments taking into account the resources currently available to the unit and the University.

Review Process

1. The review will be initiated by the Vice-President, Academic, after consultation with the Dean of the Faculty and the unit involved. The Dean of Graduate Studies shall be involved in external reviews in relation to graduate programs and graduate student issues.
2. The unit will engage in a period of self-study of one to two semesters, possibly including a retreat, in which its members consider all aspects of the activities included in its academic plan and prepare a report covering the following areas:
 - (a) Institutional role, unit role and activities, goals and aspirations;
 - (b) Quality of teaching demonstrated by student achievement, scholarships and awards, degrees completed, post-graduate employment;
 - (c) Quality of the programs indicated by student demand, access to courses, student opinion on programs, educational experience including co-op and exchange opportunities, experience and satisfaction of students after graduation;
 - (d) Quality of scholarship demonstrated through grants, graduate student achievements; knowledge distribution and utilization, awards, citations, honours, appointments;

* Departments, non-departmentalized Faculties, Schools, Programs. Parallel procedures will be used for periodic reviews of academic service units.

- (e) Service to the community demonstrated by public service activity, involvement in related community groups, membership on boards or similar bodies;
 - (f) Collegial environment for all members of the unit;
 - (g) Appropriate orientation and training, support for employee development;
 - (h) Resources for unit activities; faculty, staff, operating budget, space, equipment, library holdings (including the process for determining collection strategies).
 - (i) Planning for the renewal of the unit's faculty resources.
3. Undergraduate and graduate students will be encouraged to participate in the preparation of material for the departmental self-study and student input will be sought throughout the process. The Chair/Director should contact the student union and student representatives on departmental committees, as well as publicizing the review in classes and within the department. Student contributions will be included or reflected in the self-study and students will have meetings with the external review committee.
 4. The self-study report prepared by the unit shall be made available to all members of the unit (faculty, staff and students) prior to being forwarded to the external review committee. The self-study shall include a standard set of data provided by the Office of the Vice- President, Academic. The unit may supplement this if it wishes.
 5. The external review committee will normally consist of three persons external to the university who are senior members of the discipline, some of whom have had administrative experience. The unit will be asked to provide the Vice-President, Academic with a list of reviewers who represent a broad cross section of the discipline and who are considered to be outstanding scholars and objective reviewers. The Vice-President, Academic shall appoint the members of the external review committee after consulting with the Dean of the Faculty, the Dean of Graduate Studies and the unit involved. The external review committee will primarily be composed of faculty members from Canadian universities outside British Columbia. The Vice-President, Academic will also appoint an internal member from the University community who will be a full member of the committee. The internal member is to provide the review committee with contextual advice about the environment and operations of Simon Fraser University. Both genders will be represented on the committee.
 6. The Vice-President, Academic, will prepare the terms of reference for the review committee in consultation with the Dean of the Faculty, the Dean of Graduate Studies and the unit. At the conclusion of its visit, the review group is expected to submit a detailed report including a full and frank assessment of the unit's mission, its various activities, the quality of the unit and its programs, and the resource allocation to and within the unit.

7. The dates of the visit of the external review committee and the detailed schedule for the visit will be arranged by the Office of the Vice-President, Academic in consultation with the Deans and the unit.
8. The committee will meet with the Vice-President, Academic and the Deans at the start and at the end of the review to discuss guidelines for the review and the preparation of the report. The committee will also meet with the unit's faculty and staff members and graduate and undergraduate students as well as with others with responsibilities affecting the unit. Members of the external review committee should avoid informal social events with members of the unit during the site visit.
9. If the review committee receives information or allegations regarding specific individuals, these will be transmitted to the appropriate persons within the University and handled in accordance with established University procedures. These persons might include the Chair, and Dean and/or the Harassment Policy Coordinator. If the review committee receives general comments or complaints that the environment in the unit is not conducive to a high quality of teaching, learning, research and working, the committee may comment and make recommendations on this in its report, and the appropriate persons within the Department, Faculty and University shall be advised.
10. The report of the review committee will be a public document. Any supplementary reports concerning confidential matters will not form part of the public record but will be made available to the appropriate University officers. Any individuals named will be apprised of the information and provided with an opportunity to comment.
11. The external review report will be submitted to the Vice President, Academic and circulated to:
 - (a) the unit involved (including faculty, staff and students)
 - (b) the President
 - (c) the Dean of the Faculty
 - (d) the Dean of Graduate Studies
12. The unit will review the external review report and prepare a response. The response and the external review report together with the comments of the Dean and the Vice-President, Academic will be presented to SCAP for review and to Senate for discussion and advice.
13. The Dean shall consider the advice of Senate and prepare a report for the unit outlining the priorities for the unit and the resources required to address them. A copy of this report shall be sent to the Vice President, Academic for information.

SENATE GUIDELINES FOR ACADEMIC PLANS

1. Each academic unit* shall prepare a three-year academic plan in the year following its external review and in the year in which the first plan ends. Academic plans are intended to guide the operation and development of the academic unit and will be considered by the Dean and Vice President, Academic in making decisions on allocation of resources.
2. Each Faculty Dean will prepare a three-year academic plan on the same schedule. These will utilize the three-year academic plans of academic units within the Faculty and the progress reports on those plans.
3. The Vice-President, Academic will prepare a three-year academic plan on the same schedule as the Faculty plans. These will utilize the three-year academic plans the Faculties and of academic service units.
4. Academic plans should give consideration to the elements in the Statement of Purpose for the University approved by Senate and the Board of Governors in 1998.
5. Academic plans should include the following information. The unit will determine the organization of the plan.
 - (a) A statement of objectives.
 - (b) A brief overview of the undergraduate and graduate programs offered by the unit.
 - (c) An assessment of achievements during the previous plan period.
 - (d) The adequacy of resources available to the unit in relation to their situation and objectives. This will include faculty complement, other instructional resources, operating budgets, equipment, and space.
 - (e) A summary of the research activities of the unit's members.
 - (f) A plan for the renewal of the unit's faculty resources.
 - (g) Recruitment and support issues for undergraduate and graduate students.
 - (h) Participation of the unit in other University programs including Continuing Studies and Co-operative Education.
6. The Office of the Vice- President, Academic, will provide statistical information for use in academic plans and an annual budget outlook.

* Departments, non-departmentalized Faculties, Schools, Programs. Parallel procedures will be used for plans of academic service units.

7. Academic plans will be used by the next highest level in preparing their own academic plan. Departmental plans will be used by the Faculty Dean in preparing the Faculty plan and Faculty plans will be used by the Vice President, Academic in preparing the plan of the Vice- President, Academic.

8. Each unit will provide an annual progress report except in the year when a Department is preparing a self—study for its external review when the self-study will serve as a progress report.

PLANNING AND REVIEW SCHEDULE

A. DEPARTMENTS (example for units next reviewed in 1999/00, 2005/06, etc.)

The schedule below applies to the following Departments:

Geography
Humanities
Gerontology
Political Science
Molecular Biology and Biochemistry (no 1999/00 review)

Plans for these Departments are prepared in the academic years 2000/01, 2003/04, & 2006/07.

Academic Year	Review Year	Plan Year	Activity	Transmission Details
1999/00	6	3	• Self-Study for External Review • External Review • Response to External Review	to External Review Team to Department to SCAP with External Review
2000/01	1	1	• Departmental Plan	to Dean
2001/02	2	2	• 1st Progress Report on Plan	to Dean
2002/03	3	3	• 2nd Progress Report on Plan	to Dean
2003/04	4	1	• Departmental Plan	to Dean
2004/05	5	2	• 1st Progress Report on Plan	to Dean
2005/06	6	3	• Self-Study for External Review • External Review • Response to External Review	to External Review Team to Department to SCAP with External Review

B. FACULTIES

The schedule outlined below applies to all Faculties. Faculty Plans are prepared in the academic years 2000/01, 2003/04, and 2006/07. They will be based on a combination of Department Plans, 1st year progress reports and 2nd year progress reports, depending on the planning and review schedule of the various Departments in the Faculty.

Academic Year	Review Year	Plan Year	Activity	Transmission Details
1999/00	6	3	• 2 nd Progress Report on Plan	• to VPA
2000/01	1	1	• Faculty Plan • Comments on 1999/00 Department External Reviews	• to VPA • to SCAP*
2001/02	2	2	• 1 st Progress Report on Plan • Comments on 2000/01 Department External Reviews	• to VPA • to SCAP*
2002/03	3	3	• 2 nd Progress Report on Plan • Comments on 2001/02 Department External Reviews	• to VPA • to SCAP*
2003/04	4	1	• Faculty Plan • Comments on 2002/03 Department External Reviews	• to VPA • to SCAP*
2004/05	5	2	• 1 st Progress Report on Plan • Comments on 2003/04 Department External Reviews	• to VPA • to SCAP*
2005/06	6	3	• 2 nd Progress Report on Plan • Comments on 2004/05 Department External Reviews	• to VPA • to SCAP*

* Comments by the Dean on Departmental External Reviews are transmitted to SCAP with copies of the External Review, the Response to the External Review by the Department, and the Comments by the Vice- President, Academic.

C. VICE-PRESIDENT, ACADEMIC

The academic plan of the Vice-President, Academic is prepared in the academic years 2000/01, 2003/04, and 2006/07.

Academic Year	Review Year	Plan Year	Activity	Transmission Details
1999/00	6	3	• 2nd Progress Report on Plan • Comments on 1999/00 Department External Reviews	• to SCAP • to Department
2000/01	1	1	• VPA Plan • Comments on 2000/01 Department External Reviews	• to SCAP for approval, Senate for discussion • to Department
2001/02	2	2	• 1st Progress Report on Plan • Comments on 2001/02 Department External Reviews	• to SCAP • to Department
2002/03	3	3	• 2nd Progress Report on Plan • Comments on 2002/03 Department External Reviews	• to SCAP • to Department
2003/04	4	1	• VPA Plan • Comments on 2003/04 Department External Reviews	• to SCAP for approval, Senate for discussion • to Department
2004/05	5	2	• 1st Progress Report on Plan • Comments on 2004/05 Department External Reviews	• to SCAP • to Department
2005/06	6	3	• 2nd Progress Report on Plan • Comments on 2005/06 Department External Reviews	• to SCAP • to Department

SCHEDULE OF EXTERNAL REVIEWS OF ACADEMIC UNITS

	<u>Last Review</u>	<u>Next Review</u>
Continuing Studies	1990/91	2000/01
Economics	1992/93	2000/01
Linguistics and Cognitive Science	1992/93	2000/01
Psychology & Clinical Psychology Centre	1991/92	2000/01
Education	1992/93	2000/01
Chemistry	1993/94	2000/01
Engineering Science	1995/96	2001/02
Centre for Canadian Studies	1994/95	2001/02
Criminology	1994/95	2001/02
History	1994/95	2001/02
Master of Publishing		2001/02
Philosophy	1993/94	2001/02
Women's Studies	1994/95	2001/02
Kinesiology	1996/97	2002/03
Resource & Environmental Management	1995/96	2002/03
Sociology & Anthropology including Latin American Studies	1995/96	2002/03
Contemporary Arts	1995/96	2002/03
English	1996/97	2002/03
Earth Sciences		2002/03
Communication	1997/98	2003/04
Archaeology	1997/98	2003/04
Graduate Liberal Studies Program	1996/97	2003/04
Mathematics & Statistics	1997/98	2003/04
Physics	1997/98	2003/04
Computing Science	1998/99	2004/05
Community Economic Development		2004/05
Asia Canada Program		2004/05
French	1998/99	2004/05
Business Administration	1998/99	2004/05
Biological Sciences	1998/99	2004/05
Geography	1999/00	2005/06
Gerontology	1999/00	2005/06
Humanities	1999/00	2005/06
Political Science	1999/00	2005/06
Molecular Biology and Biochemistry		2005/06