THE UNIVERSITY OF BRITISH COLUMBIA

Office of the Provost and
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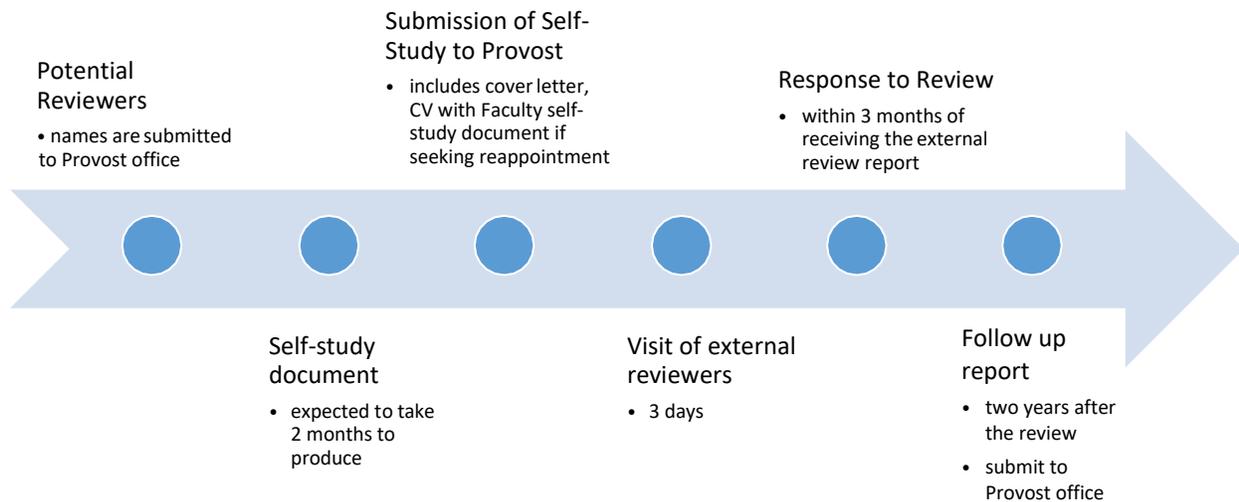# PROCESS FOR EXTERNAL REVIEWS: UBC OKANAGAN FACULTIES

Office of the Provost & Vice-President Academic

UBC's Board of Governors Policy AP8 (formerly Policy #23) includes the following statement regarding the external review, normally scheduled for the penultimate year of a Dean's term in office:

> Where the Policy requires an external review to be conducted, the Responsible Executive will arrange for an external review of the Faculty or College, as the case may be, with an emphasis on its achievements, its current opportunities and challenges, its balance among its various functions, and the leadership and management record of the incumbent. While the external review report is primarily intended to assist in assessing strengths and areas for development in teaching, scholarly activity and service, it will be helpful to both the Responsible Executive and the incumbent in deciding whether to proceed with an extension of the incumbent's appointment.

Faculty reviews are carried out under the aegis of the Provost and Vice-President Academic (the Provost). The Associate Provost assists with the organization of reviews. The external review is an important and useful way of informing a President's Advisory Committee in its task to advise on the selection of a new Dean or on the reappointment of a Dean for a second and last term.

Created June 2016
Last revised October 2021

Steps for the Faculty

Potential Reviewers

• names are submitted to Provost office

Submission of Self-Study to Provost

• includes cover letter, CV with Faculty self-study document if seeking reappointment

Response to Review

• within 3 months of receiving the external review report

Self-study document

• expected to take 2 months to produce

Visit of external reviewers

• 3 days

Follow up report

• two years after the review

• submit to Provost office

External Reviewers

The Provost selects the committee of external reviewers (the Review Team), in consultation with the Dean, and generally includes individuals from both sources. The number of external reviewers is determined by the Provost and may vary from two to four individuals, depending on many factors including the size and diversity of the Faculty and the timing of prior external reviews, among other reasons.

Terms of Reference for the Review

The Provost provides the Dean with a first draft of the Terms of Reference for the review, which are often generic to all Faculties. The Dean will be asked for comments and input on the Terms of Reference and, if applicable, for focused questions under each of the generic terms that may be specific to his/her Faculty. For example, questions regarding particular program developments that have happened recently or are being proposed by the Faculty. The Dean may choose to seek input on the Terms of Reference from his/her Faculty; such as input from department heads, directors, advisory boards, etc. See Appendix A for a template for the Terms of Reference.

Preparation of the Self-Study Report

The review process will require an element of data gathering and a Self-Study Report from the Faculty under review. The Self-Study Report is made available to the external reviewers approximately one month prior to their campus site visit and is central to the review process. It requires the Faculty to collect and present quantitative and qualitative information that assesses and evaluates its operations and activities, relevant to the Terms of Reference of the review. This report serves as the mechanism through which the Faculty provides the written information needed by the external reviewers in order to carry out their charge. Appendix B and C provide an outline of the material required in the Self-Study Report and its detailed documentation.

The Site Visit

The Provost meets with the Dean to determine the key people with whom the reviewers should meet; for example: associate deans, heads of departments, directors of Centres and Institutes, professors, undergraduate and graduate students representatives from governing bodies of professional organizations, etc. (see Appendix D for a standard list). The Provost writes to all faculty members, staff and students to advise them of the impending review, announce the composition of the Review Team and to encourage them to provide written comments for the reviewers. Written submissions are held in confidence and provided to the reviewers prior to the site visit. Times are scheduled for all identified groups to meet separately. In addition, faculty, staff and student representatives may be invited to an informal reception held at the end of the first day of the site visit, if deemed appropriate

The three-day site visit commences with a meeting with the Provost and concludes with an exit interview with the Provost. At the end of the second day, the Review Team begins the preparation of the draft. The afternoon and evening of the third day is devoted to a continuation of the draft report. The intent is to ensure that at minimum a strong first draft of the Review Team's report is written prior to the Review Team's departure.

The Provost and the Dean are asked to check the Review Team's penultimate draft report for factual errors only. If any errors are detected, they are reported back to the Review Team. The Review Team makes any necessary revisions and signs off on their final Review Report, and submits it to the Provost. The Provost releases the final Report to the Dean indicating that it be shared with the Faculty. The Provost requests the Dean's written response to the Report, which is later discussed at a meeting of the Dean with the Provost. On an annual basis the Provost reports Faculty reviews to Senate.

Expected Timeline for the External Review

The Provost initiates the external review process upon conversation with the Dean. The Provost and the Dean identify potential external reviewers (see process for selection outline on page two of this document) and a date for the completion of the Self-Study Report. The Faculty should expect to receive an update with the scheduled dates for the site visit, within approximately two months.

The Review Team is expected to return the final Report within two to three weeks of the review being conducted. Once received, the Dean is expected to respond to the review within three months. Overall, the Faculty should expect the process to take a minimum of four to five months from initiation to completion; this process may be longer if reappointment is involved (see template timeline in Appendix E).

APPENDIX A: Terms of Reference Template

FACULTY OF XXX
Terms of Reference of the Review Team

Purpose of the Review

To review the strength and balance of the Faculty's teaching and research activities, academic programs, and service; to evaluate the Faculty's leadership and administration; to assess the Faculty's standing nationally and internationally; and to advise on the future development of the Faculty.

Background Material

- The University's goals and objectives as outlined in its Strategic Plan, the Okanagan Outlook 2020 and ASPIRE process
- The Faculty of XXX Self-Study

Terms of reference

Without limiting its overall mandate, the Review Team should consider the following:

1. ***Undergraduate Education and Student Learning:*** To review and evaluate the quality, extent, format, organization, and enrolment of the Faculty's academic programs and teaching strength, and to compare its performance in these areas to that of its national and international peers.

2. ***Student Academic Experience and Support:*** To assess the quality of the student undergraduate academic experience from first contact upon admission, through to alumni status. Are students well advised and well supported? Consider student morale, strength of student retention, co-curricular opportunities, and career preparation. The reviewers are asked to consider the Faculty's responses to the increasingly diverse nature of student populations.

3. ***Graduate Education (and Post-Doctoral Training):*** To review and evaluate the quality, extent, format, organization, and enrolment of the Faculty's graduate programs, and compare its performance to that of its national and international peers.

4. ***Research, Scholarly, (Creative) and Professional Activity:*** To review and evaluate the quality, extent, range, and balance of the scholarly activities of the Faculty with particular attention to the achievement and status of scholars, artists and practitioners within the Faculty, their leadership within their communities-of-praxis, their granting/funding success, and the quality and quantity of their performance in relation to the achievements of their counterparts in comparable Faculties of XXX nationally and internationally.

APPENDIX A: Terms of Reference Template

5. **Leadership and administration:** To review and evaluate the governance, organizational structure, leadership, planning, and administration of the Faculty, including opportunities for diversity in leadership and shared governance, the nimbleness and inclusiveness of planning, as well as the relevant support systems both within the Faculty and available to the Faculty. The reviewers should consider the degrees to which governance is transparent, flexible, and accessible to all members of the Faculty.

6. **People, environment and culture:** To consider and assess the working and educational environment, morale, and institutional culture of the Faculty, as reflected in the experiences and perceptions of faculty members (including adjunct professors, lecturers, and sessional instructors), staff, and students. The review should take into account support for career advancement, professional development, advising, and balanced workloads and give special attention to the Faculty's performance relative to the University's employment and education equity policies.

7. **Community Engagement:** To assess the nature, scope, and effectiveness of the Faculty's outreach activities through its educational and research programs and its interactions with other units within the University, and with its external community including schools, Aboriginal groups, community or professional organizations, UBC alumni, government agencies, and other post-secondary institutions.

8. **Support for the University's and campus Strategic Plans:** To determine the extent to which the Faculty reinforces through its programs and activities the key commitments of the Strategic Plan and ASPIRE, notably UBC's commitments to People and Places, Research Excellence, Transformative Learning, and Local and Global Engagement.

9. **Physical Infrastructure:** To assess the range and quality of the teaching and research facilities at the Faculty's disposal, and to determine whether the Faculty is appropriately housed and equipped to meet its teaching and research goals.

10. **Infrastructure and Resources:** To review and evaluate the physical and financial resources of the Faculty, including its financial base (i.e., levels of university funding, funding by external agencies, tuition revenue, and donor support), its capacity for enrolment management, its plans for revenue diversification, its facilities for teaching and research, and its equipment and space.

11. **Future development:** To identify the challenges and opportunities facing the Faculty, and to make recommendations about possible directions for its future growth and development.

APPENDIX A: Terms of Reference Template
Library Review
Terms of Reference of the Review Team

Purpose of the Review

To evaluate the operation, management, and service role of the UBC Library with emphasis on its achievement, the scope and balance of its various functions, the effectiveness of its leadership and administration, and the opportunities and challenges it faces in the future.

Background Material

- The University's goals and objectives as outlined in its Strategic Plan, and the Okanagan Outlook 2020 and ASPIRE process
- The Library's Self-Study

Terms of reference

Without limiting its overall mandate, the Review Team should consider the following:

1. ***Governance and administration:*** The reviewers should evaluate the organizational structure of the Library, to determine whether it is appropriate to the Library's needs and best serves the University's interests.

2. ***Provision of services***: How well is the Library meeting the needs and expectations of the University community? Are collections and services adequate to support the University's mission with respect to teaching, learning, and research?

3. ***Leadership and administration:*** How effective is the overall leadership of the University Librarian and the senior management team? In what ways, and to what effect, does the administration consult with Library staff and users? What steps has senior administration taken to strengthen the Library's reputation nationally and internationally?

4. ***Infrastructure and Resources:*** The reviewers should consider the physical and financial resources of the Library, including its space, teaching facilities, equipment, and financial base. Is the Library adequately resourced to support innovation in learning and research, ad to develop collections in support of new academic programs?

5. ***Internal and external relationships***: The review should examine the relationship between the various branches of the Library system, including UBC Vancouver, UBC Okanagan, the hospitals, and the "satellite" libraries that are part of the system. The review should also evaluate the working relationship of the

APPENDIX A: Terms of Reference Template

Library with academic faculties, departments, institutes, and centres, to determine how effectively the Library is meeting their needs.

6. ***Community Engagement:*** In what ways, and how effectively, is UBC Library engaging with the broader community in British Columbia and beyond? What role is it playing in lifelong learning locally, nationally, and internationally?

7. ***Operations:*** The reviewers should consider the daily operations of the Library in terms of efficiency, working conditions, and staff morale. Are the physical spaces occupied by the Library appropriately serviced and maintained? How does the Library implement the University's employment and education equity policies?

8. ***Future development:*** The review should identify the challenges and opportunities facing the Library, and to make recommendations about possible directions for its future growth and development.

APPENDIX B: Documentation for Self-Study

The following is an outline summarizing the type of documentation to include in the Self-Study Report that will be useful to the external Review Team when responding to its Terms of Reference. For further details, see also Appendix C on 'Details of Self-Study Documentation for Faculty Review'.

1. The Faculty's mission statement with objectives/goals (2-3 pages).

2. Dean's assessment of strengths and challenges of Faculty, major achievements of past 5 years and major priorities for next 5 years.

3. Mission statements and assessment of strengths and challenges of the Faculty's individual departments/schools and units, by the heads/directors (where applicable).

4. Program identification – curricula, teaching/learning, research and service components, recent and planned new program initiatives.

5. Principles (quantitative/qualitative) used by the Faculty departments to determine/rank the quality of teaching/learning outcomes of its programs, and a summary assessment of this methodology.

6. Faculty governance: flow-charts; committees; etc. with membership composition.

7. Detailed annual budget: areas of expenditure; revenue; endowment funding; etc.

8. Faculty roster, support staff, faculty member profiles.

9. Research grants/awards data for Faculty, and individual units within Faculty over the past five years.

10. Research accomplishments of the Faculty of significant note (2-3 pages) over the past five years.

11. Strength of undergraduate and graduate teaching/learning and graduate supervision, over time.

12. Faculty/units perception of where they rank relative to similar units nationally/internationally.

13. Admissions and statistics – program admission criteria and policies, undergraduate and graduate enrolment (Masters and PhD) and degrees granted by category, over time.

14. Undergraduate and graduate student support systems: financial assistance/scholarships criteria and policies; counseling/advising; appeals; etc.

15. Facilities and space: administrative offices; teaching and research space; technical support services; seminar rooms; etc.

16. Previous reviews as appropriate: last Accreditation and UBC's External Faculty Review.

17. Faculty Development and Alumni Relations, including fundraising activity.

18. Additional information that may help describe and evaluate the Faculty's activity, health and vitality.

APPENDIX C: Details of Self-Study Documentation for Faculty Review

The following serve as guidelines on the type of details in the self-study documentation that would be useful to the Review Team when responding to its Terms of Reference. Overall, the Self-Study document should be a reflective document on the state of the Faculty: it should present its evolution over the last five years, its strengths and challenges, as well as potential future directions.

INTRODUCTION/OVERVIEW
1. Brief History of the Faculty: introduction of the campus, presentation of the Faculty including identification and summary of undergraduate and graduate programs offered.
2. Mission statement: purpose and objectives/goals; description of the strategic plan (if available) and relation to the mission of the University and of the campus.
3. Faculty Governance: include organizational charts; standing committees with members and composition; etc.
4. Annual Budget: provide a summary of the operating revenue (including endowment funding) and expenditure for past five years.

PEOPLE: FACULTY AND OTHER PERSONNEL
1. Overview of Faculty demographics: summary on Faculty distribution (per disciplinary areas, diversity, faculty members, students, sessional lecturers, teaching post-doctoral fellows, staff, post-doctoral fellows and research associates).
2. Governance structure:
   2.1. Organizational flow charts including Faculty-wide standing committees (with composition identified and overview of terms of reference), and support staff.
   2.2. Procedures that foster good governance of the undergraduate and graduate programs within departments/units/schools. Changes, exceptions to the rules, etc.; awareness of procedures on the part of faculty and students.
   2.3. Strength and challenges of current governance structure.
3. Unit/Department/School profiles:
   3.1. Aggregate statistical data on graduates (undergraduate and graduate students); summary of student-faculty ratios at the undergraduate and graduate levels.
   3.2. Aggregate data on research funding during the past five years, including research centres, research projects during the past five years, including the name of project director, project title and description, and amount and source of financial support, new research initiatives.
   3.3. Bibliography of faculty publications, faculty awards and recognitions, and participation in learned and professional societies and other organizations during the past five years.
   3.4. Summary statement governing graduate and undergraduate teaching assignments during the past five years; description of actual graduate and undergraduate teaching loads, addressing course levels, directed studies and other relevant matters; extra-sessional (spring and summer) teaching.
   3.5. Strategic goals and initiatives (if available).
4. Future development and plans.

APPENDIX C: Details of Self-Study Documentation for Faculty Review

RESEARCH

Overall summary of the Faculty's scholarly research and professional activity, with emphasis on major research accomplishments, awards and strengths over the past five years and their potential impact on the Faculty's research program over the next five years.

STUDENTS

1. Brief overview of the undergraduate and graduate student body in the Faculty.
2. Overview and description of undergraduate and graduate programs offered by the Faculty.
3. Student Numbers: enrolment numbers (domestic, international, transfer students) per program; summary of students' population per program or disciplinary area/options. For graduate programs, include student headcount by part and full time and number of students currently active.
4. Time to degree completion: completion rates and retention rates.
5. Attrition: if available, for each of the past five years provide number and reasons for involuntary terminations and for voluntary terminations.
6. Number of degrees awarded per program and disciplinary area/options; level of and changes in enrollment in the past five years. For graduate programs, list thesis title and supervisors.
7. Graduate and undergraduate student funding: provide current procedures and criteria for awarding fellowships scholarships, teaching and research assistantships and other awards. List the number of these awards by categories for each of the past five years.
8. Quality of student research as demonstrated by an evaluation of a selection of completed theses or published works, where appropriate; adequacy and sources of student support; curriculum requirements.

TEACHING AND LEARNING

1. Curriculum and teaching: ratio faculty to students, quality assurance on teaching, experiential learning opportunities, co-curricular opportunities, and career preparation, program external reviews, teaching awards.
2. Admission procedures and standards for the programs offered: student capacity and preparation necessary to meet the challenges of the Faculty program effectively; quality of the entering student; level of and changes in enrollment in the recent past.
3. Program content and organization: organization and structure of program.
4. Evaluation of students: level of preparation appropriate to the objective and requirements of the program. Monitoring of academic standards required for continuation and graduation in the program; normal progress of student through the program, including comments on attrition rate and on the average time to complete the program; quality of student research as demonstrated by an evaluation of a selection of completed theses or published works, where appropriate; adequacy and sources of student support; curriculum requirements.
5. Counselling and supervision/mentoring of students: advice to students in the undertaking and continuance of their programs. The role of the department advisors, research supervisors, and the supervisory committees.
6. Quality of Faculty: intellectual leadership, atmosphere and challenge provided by the faculty as a group: Competence of faculty in the conduct of teaching and research; the advancement and dissemination of knowledge, the instruction and supervision of graduate and undergraduate students; scholarly activity; scope and balance of activity; external visibility and reputation as revealed by quality and quantity of

APPENDIX C: Details of Self-Study Documentation for Faculty Review

significant research and/or other activities; strengths and weaknesses; faculty teaching evaluation by students.

7. Strategic goals and initiatives: new programs under development, discontinued programs (if appropriate), curricular innovations, and recent new initiatives.

8. Faculty participation in recruitment activities and strengths and challenges.

FACILITIES

Adequacy of the facilities and physical spaces (including shared or common items, library, computers, office space and other special facilities, as appropriate) that provide the essential resources to support the faculty/students in their work/research. Provide information on the undergraduate and graduate teaching and research facilities: space and adequacy of the teaching (lectures, seminar rooms, workshops, etc.) and research facilities (laboratories), teaching aids and equipment, faculty and administrative offices, student study areas; kind and condition of furnishings; computer and other technical support services as they relate to the Faculty's instructional and research activities.

INDICES OF QUALITY

Previous evaluation data and reviews, and their effects on program change (where available):

- external evaluations by professional and other accrediting review agencies
- internal evaluations by University committees;
- evaluations by recent graduates of their experience and the adequacy of the program as preparation for subsequent educational activity, employment and career development,
- student teaching evaluations;
- evaluations by other University programs with which the program under review interacts; and the
- influence of recommendations of past evaluations on the modifications or changes to Faculty programs, operation, teaching, research thrusts, resources, etc.

EVALUATION SUMMARY AND STATEMENT

The Faculty's major achievements and strengths, problems/weaknesses. This Dean's assessment of these areas over the past five years, with possible solutions of the latter, and discussion of the major programmatic priorities and plans over the next five years in view of the conclusions resulting from: this self-study evaluation; modified or new objectives; anticipated enrolments; and the availability of personnel, facilities, and fiscal resources (with an estimate of costs for long-range plans requiring commitment of additional resources).

ADDITIONAL INFORMATION/OTHER RELEVANT MATERIAL

Continuing education for public, community, and professional service; Faculty performance relative to the University's employment and education, equity policy for faculty, staff and students; Faculty development and alumni relations, including fundraising; and material not specifically dealt with in Items A-H above which the Faculty may wish to offer in order to better describe and evaluate its activity, health and vitality.

APPENDICES, As Appropriate

Tables, charts, and graphs that, for example, do not fit well in the body of the Self-Study; roster of the faculty and other personnel and copies of the faculty curriculum vitae if the size of these documents warrant their being

APPENDIX C: Details of Self-Study Documentation for Faculty Review

separated from corresponding narrative; copies of other reviews, reports, pamphlets, etc., and other items appropriate to the Self-Study Report.

APPENDIX D: Typical Meetings Scheduled for External Review Team

PROPOSED MEETINGS FOR THE EXTERNAL REVIEW TEAM OF THE FACULTY OF [XXXXXX]

The following is a typical list of meetings scheduled for the Review Team during its site visit. This list is confirmed closer to the Review Team's scheduled arrival on campus. These meetings will be take place over a period of two and a half days.
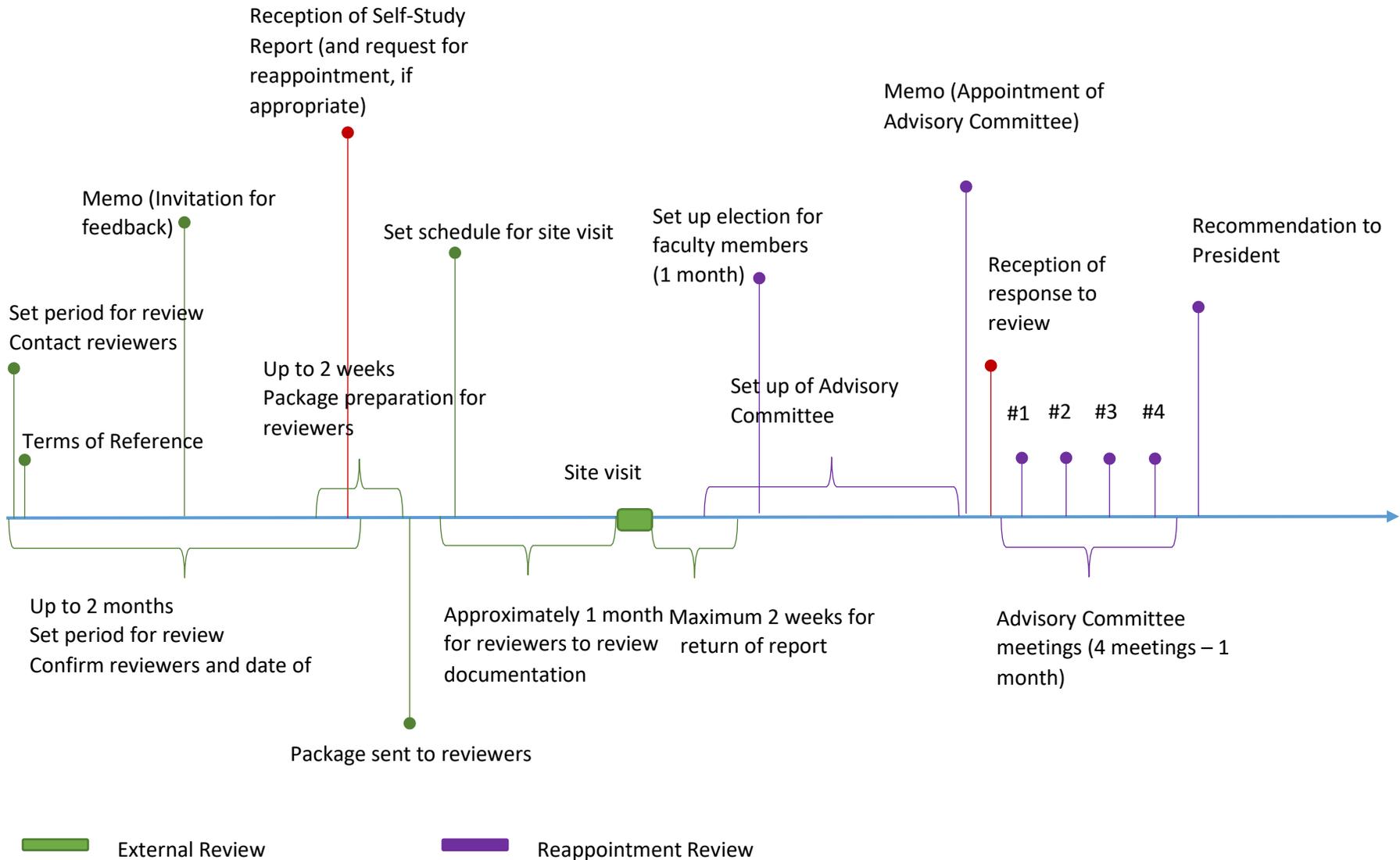
1. Deputy Vice-Chancellor and Principal
2. Provost and Vice-President Academic & Associate Provost
3. VP Research, AVP Finance and Operations, AVP Students
4. Dean of the Faculty
5. Associate Deans of the Faculty (where applicable)
6. Deans/Associate Deans of other Faculties
7. Department heads, program/centre directors, etc. within the Faculty (where applicable)
8. Key administrative (M&P) and support staff of the Faculty (Student Academic Services, Admissions, Awards, Student Affairs, Finance, Development, IT, etc.)
9. Chairs of Faculty Standing Committees and Special Programs
10. Recent new faculty appointments[1]
11. Group Meetings with faculty members (professors, instructors, lecturers, etc.)[1]
12. Group Meetings with adjunct faculty members (where applicable) [1]
13. Members of the Faculty's External/Internal Advisory Committees (where applicable)
14. Representatives of the Faculty's Professional Associations and Practitioners (where applicable)
15. Representatives of Graduate and Undergraduate Student Society Executives
16. Group meetings with undergraduate and graduate program students
17. Other Individuals/Groups Identified by the Faculty
18. Tour of facilities of the Faculty

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[1] New Faculty Appointments, Faculty Members and Adjuncts may be combined.

APPENDIX E: Review Timeline

Note: the reappointment process is separate from the Faculty review, and is provided only for Dean's understanding of the full timeline.

Reception of Self-Study Report (and request for reappointment, if appropriate)

Memo (Appointment of Advisory Committee)

Memo (Invitation for feedback)

Set schedule for site visit

Set up election for faculty members (1 month)

Recommendation to President

Set period for review
Contact reviewers

Reception of response to review

Up to 2 weeks
Package preparation for reviewers

Set up of Advisory Committee

#1   #2   #3   #4

Terms of Reference

Site visit

Up to 2 months
Set period for review
Confirm reviewers and date of

Approximately 1 month for reviewers to review documentation

Maximum 2 weeks for return of report

Advisory Committee meetings (4 meetings – 1 month)

Package sent to reviewers

External Review   Reappointment Review

Created June 2016
Revised July 2018 to include UBC's new Strategic Plan

Document Control

Revision	Issued For	Date
A	Issued for internal use	June 2016
2	Added new UBC's strategic plan	July 2018
3	Issued for publication	July 2018
3A	Added ToR for Library's review.	September 25, 2018
3A	Patricia approved ToR template for library	October 3, 2018
5	Updated provost's title and included Outlook 2040, and addition of follow-up report in flowchart	October 18, 2021