THE UNIVERSITY OF NOTRE DAME AUSTRALIA

Policy:

Institutional Review Framework

Effective: 11 July 2019

Audience: Staff

Policy Category: Governance
Policy Sub-category: Quality Assurance

Key words:	quality assurance, compliance, performance
Policy Owner:	Deputy Vice Chancellor, Academic
Responsible Officer:	Director, Quality Management Office; Senior Operations Officer
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Fremantle | Broome | Sydney

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1   OBJECTS OF THE UNIVERSITY

The University's Objects are defined in Section 5 of its Act of Parliament:

The Objects of the University are:

(a) the provision of university education, within a context of Catholic faith and values; and

(b) the provision of an excellent standard of -
    i.   teaching, scholarship and research;
    ii.   training for the professions; and
    iii.   pastoral care for its students.

2   PURPOSE

2.1   This Policy outlines principles for institutional review processes and clarifies the responsibilities and accountabilities of Staff in these processes.

3   SCOPE

3.1   This Policy applies to all areas of the University.

3.2   It does not apply to the Board of Trustees, Board of Directors, Board of Governors or any of their sub-committees or standing committees.

4   PRINCIPLES

4.1   The University is committed to achieving quality in all its activities, and to meeting relevant standards and compliance obligations. Systematic quality assurance processes, including formal review processes, are an important part of the University's improvement and compliance strategies.

4.2   The University's Institutional Review Framework supports:

    4.2.1   evaluation of institutional performance, ensuring outcomes support the achievement of the University's Objects and strategic goals;

    4.2.2   improvement of operations and service effectiveness; and

    4.2.3   assurance that the University meets relevant standards, external reference points and compliance obligations, including:

        4.2.3.1   the *Higher Education Standards Framework*;

        4.2.3.2   the *Australian Qualifications Framework*;

        4.2.3.3   the *National Code of Practice for Registration Authorities and Providers of Education and Training for Overseas Students* made under the *Education Services for Overseas Students Act 2000*;

        4.2.3.4   the *VET Quality Framework*;

        4.2.3.5   the *Higher Education Support Act 2003* and related Guidelines;

        4.2.3.6   the *Australian Code for the Responsible Conduct of Research;* and

        4.2.3.7   relevant benchmarks for disciplines, professional standards and accreditation processes and codes of practice that apply to specific activities.

4.3   The University's Institutional Review Framework takes into account the following principles:

4.3.1 Independent – supporting informed management decisions.

4.3.2 Fit for purpose – tailored processes that take account of context and need, and to best support improvements in the University's performance against strategic goals and regulatory provisions.

4.3.3 Transparent – clear and understood Terms of Reference and process.

4.3.4 Evidence-based – using data and information from a range of sources, and including comparative data where available.

4.3.5 Rigorous – thorough processes designed to achieve maximum positive impact, tracking of outcomes, and support for implementation.

4.3.6 Efficient – timely and cost effective, including in the use of staff time and avoidance of duplication of effort where possible.

4.3.7 Integrated – cohesive planning, budget and risk processes as far as practicable.

4.3.8 Risk based – focused on known or potential areas of risk to achievement of strategic goals.

4.4 Community and stakeholder expectations and feedback are taken into account in all institutional review processes.

4.5 Systematic monitoring and reporting processes are part of each review process to support a cycle of continuous improvement.

4.6 The Institutional Review Framework includes formal review processes covering:

4.6.1 Schools, Offices (that is, non-academic organisational units) and Research Institutes;

4.6.2 Course quality and performance; and

4.6.3 governance committee effectiveness, informed by self-assessment and review of currency and ongoing appropriateness of Terms of Reference and composition.

4.7 Reporting, evaluation and other quality assurance processes to inform and support institutional review processes and assist in performance improvement include:

4.7.1 systematic collection, reporting and response to Student feedback, including Student evaluation of teaching and Course content;

4.7.2 regular formal monitoring and reporting of research, research training outcomes research supervision performance, and Research Student progress;

4.7.3 systematic processes for risk and compliance to support consistent and effective identification, management and reporting of risks; and

4.7.4 comparison of performance outcomes and/or processes through benchmarking activities and use of comparative data.

4.8 Roles and responsibilities for institutional review processes are outlined in delegation schedules, relevant policies and procedures and duty statements.

5 ROLES AND RESPONSIBILITIES

5.1 Deans manage review processes involving their School or Programs within the School in accordance with provisions of relevant procedures or guidelines.

5.2 Executive Directors/Heads of Offices/Directors manage review processes involving their area in accordance with provisions of relevant procedures or guidelines.

5.3 Head of Campus provides leadership and guidance for review processes in accordance with

relevant procedures.

5.4 **Quality Management Office (QMO)** provides support for review processes in accordance with relevant procedures, and provides relevant Student evaluation and other data to inform review processes.

5.5 **University Statistics and Reporting** in conjunction with QMO, provides relevant data to inform Course review processes.

5.6 **Vice Chancellor** (or delegate) approves policies, procedures, guidelines and delegation schedules relevant to the Institutional Review Framework as well as the schedule and timing for Course reviews; and the schedule, timing, Terms of Reference and scope for review of Schools, Offices or Research Institutes.

6   RELATED DOCUMENTS

6.1 *Higher Education Standards Framework*
6.2 *Australian Qualifications Framework*
6.3 *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students*
6.4 *Education Services for Overseas Students Act 2000*
6.5 *VET Quality Framework*
6.6 *Higher Education Support Act 2003*
6.7 *Australian Code for the Responsible Conduct of Research*
6.8 *Policy: Student Feedback*
6.9 *Policy: Course Approval, Amendment, Monitoring, Review, Re-accreditation and Discontinuation*
6.10 *Policy: Benchmarking*
6.11 *Procedure: Risk Management*
6.12 *Procedure: Course Monitoring, Review and Re-Accreditation*
6.13 *Procedure: School, Office and Research Institute/Centre Reviews*
6.14 *Procedures: Benchmarking*
6.15 *Guidelines: Benchmarking*
6.16 *Guidelines: Course Reviews*
6.17 *Guidelines: Course Monitoring*
6.18 *Guidelines: (VET) Course Approval, Amendment, Review and Discontinuance*

7   DEFINITIONS

7.1 **For the purposes of this Policy, the following definitions apply:**
Institutional Review Framework means the institutional review processes that cover organisational units (Schools and Offices), Research Institutes/Centres, Programs, committees, or other operations that have implications or relevance across the University or across more than one organisation unit. Processes include systematic monitoring and reporting of outcomes and clear accountabilities and responsibilities for review processes and for implementing

review outcomes.

Quality Assurance means processes and activities that ensure specified expectations and standards of performance and outcomes are met and enhanced where feasible.

Version	Date of approval	Approved by	Amendment
1	16 March 2015	Vice Chancellor	Effective date – new Policy. Replaced *Policy: Course Reviews*.
2	11 July 2019	DVC, Academic	Minor amendments - updated nomenclature and reformatted to new Policy template.