



UWA'S GOVERNANCE AND STRUCTURE

AN OVERVIEW

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25 February 2008





ESTABLISHMENT OF A UNIVERSITY FOR WESTERN AUSTRALIA

- The University of Western Australia opened in 1913 in wooden buildings in Irwin Street, Perth. It moved to the present site in 1930.
- Sir John Winthrop Hackett was the founding Chancellor of UWA and its main benefactor, leaving more than £425,000 (the equivalent of \$18 million today) to the University. He was proprietor and Editor of The West Australian newspaper, and had an abiding interest and passion in the establishment of a university for Perth, a vision realised in 1911.
- The University was established under and is governed by the [University of Western Australia Act 1911](#). The Act provides for the control and management of the University to be the responsibility of the Senate, and gives it the authority, amongst other things, to make statutes, regulations and by-laws, details of which are contained in the University Calendar (<http://calendar.publishing.uwa.edu.au/>).
- The Act prescribes that the benefits, advantages and privileges of the University be extended to men and women equally and that no religious test be applied.
- In 1913 the University had 184 students: in 2007 its students numbered 18,252.
- In 1913 female students represented 37% of the student population; In 1961 approximately 29% of the University's students were female: in 2007 that number had increased to approximately 51%.



MISSION

- The University's primary mission is to advance, transmit and sustain knowledge and understanding through the conduct of teaching, research and scholarship at the highest international standards, for the benefit of the international and national communities and the state of Western Australia.

VISION

- The University's vision is to achieve international excellence.

VALUES

- A high performance culture designed to achieve international excellence
- Academic freedom to encourage staff and students to engage in the open exchange of ideas and thought
- Continuous improvement through self-examination and external review
- Fostering the value of openness, honesty, tolerance, fairness, trust and responsibility in social, moral and academic matters
- Transparency in decision-making and accountability
- Equity and merit as the fundamental principles for the achievement of the full potential of all staff and students

STATEMENT OF KEY CHARACTERISTICS

- The University of Western Australia is a high quality, research intensive university with a broad and balanced coverage of disciplines in the arts, sciences and major professions. It is characterised by a strong research and postgraduate emphasis linked to a high quality undergraduate education across the range of its disciplines; by selected areas of research concentration; and by an international focus for its activities and standards.



STAFF NUMBERS (FTE) (2007)

- Academic: 1,289
- Total: 3,091

OPERATING REVENUE (2007)

- \$594,992,000

OPERATING EXPENSES (2007)

- \$594,048,000



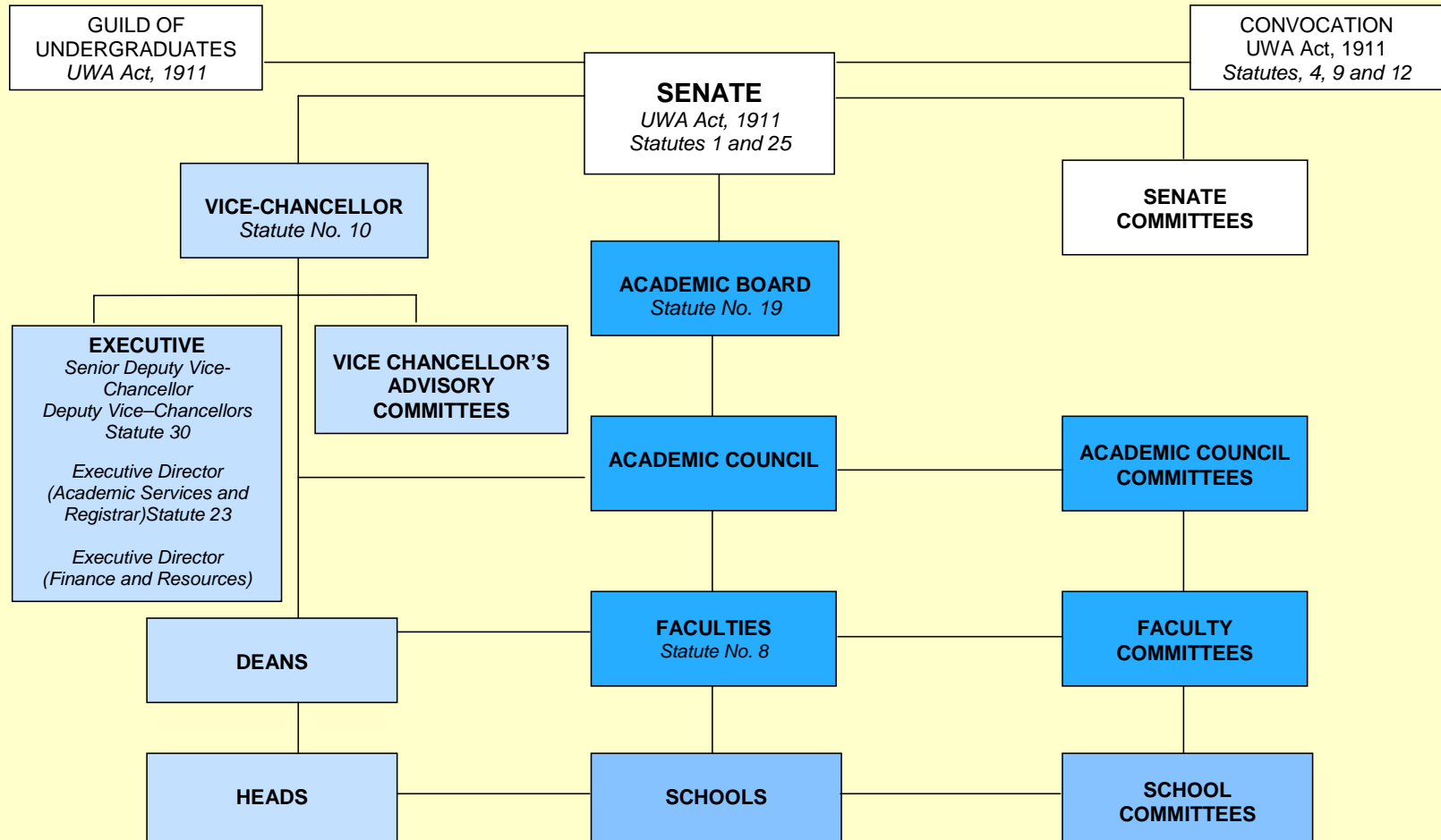
What is Governance?

- Governance is how an organisation makes decisions and the framework within which it makes those decisions.



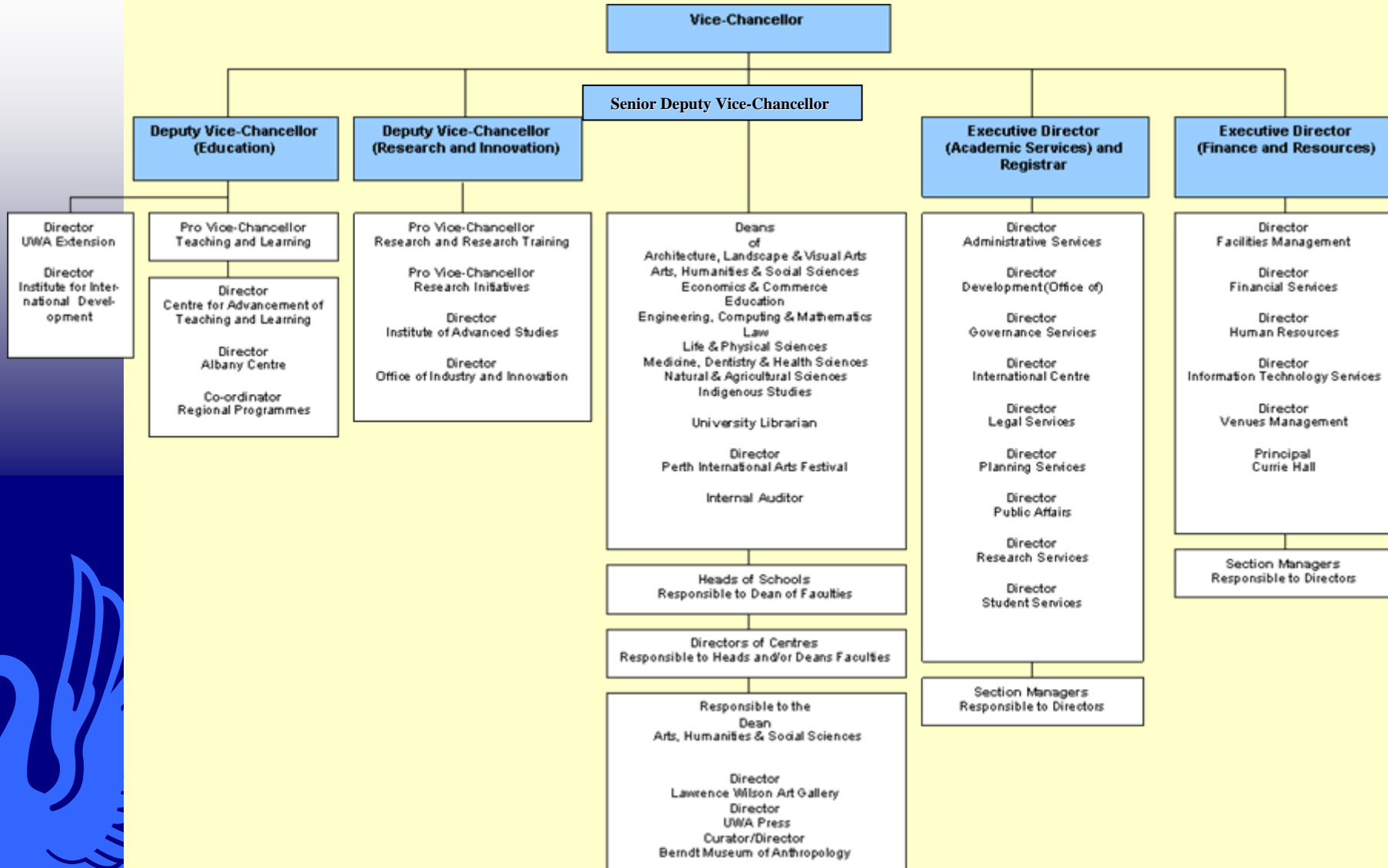


UNIVERSITY GOVERNANCE





MANAGEMENT STRUCTURE

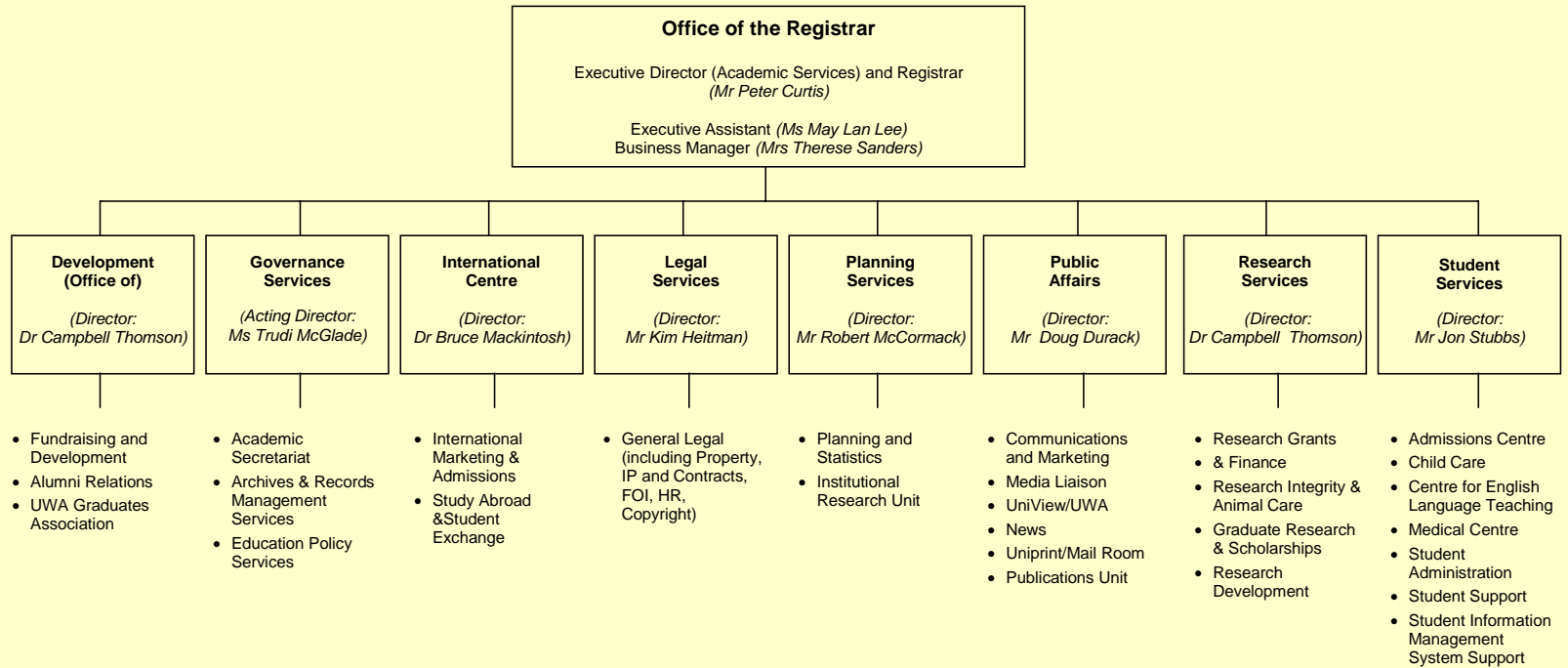




REGISTRAR'S OFFICE STRUCTURE



Registrar's Office Structure

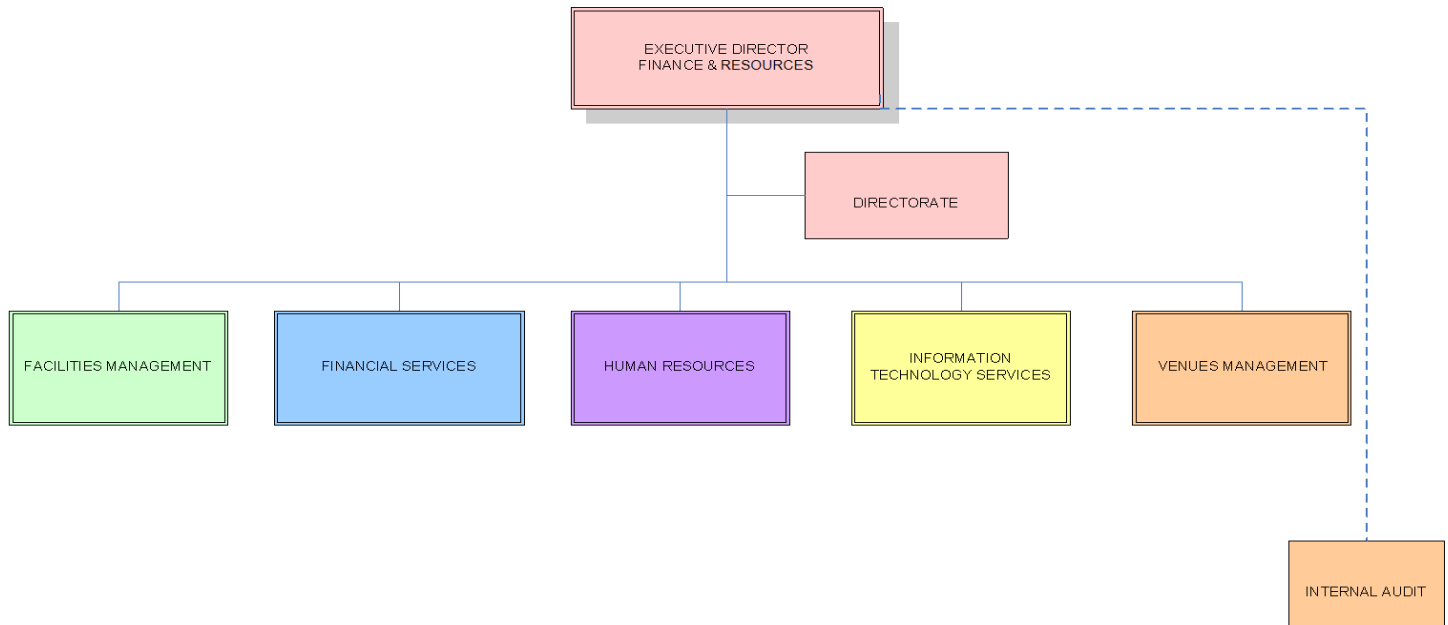




FINANCE & RESOURCES

FINANCE & RESOURCES

November 2006





THE SENATE

The University Act gives Senate, as the governing authority of the University, responsibility for the “entire control and management of the affairs and concerns of the University.” As such, the Senate is responsible to the public for the stewardship of the University as an institution of excellence and integrity, and for the custodianship of its future prosperity. It ensures that the University’s policies and procedures are consistent with legal requirements and community expectations.

By harnessing the individual and collective experience and wisdom of its members, and by ensuring that it is well informed on all substantive issues affecting the University, the Senate seeks to help the University identify, resource and meet its goals in the context of a rapidly changing external environment. It exercises a broad overview of the University’s directions, facilitates and assists with the promotion, positioning and resourcing of the University, and regularly monitors its performance. As an integral part of its role it exercises broad control over the University’s mission, strategic directions, and finances; and it ensures proper systems of control, accountability and risk management of all University activities (including commercial activities).

The Senate is also the ultimate legislative authority of the University, with power to enact regulations and by-laws and to recommend changes to the Statutes and the University Act to facilitate the educational and research mission of the University.

To fulfil its responsibilities effectively, the Senate appoints the Vice-Chancellor as its Chief Executive Officer, and works in partnership with the Vice-Chancellor to maximise the University’s capacity and performance, and to ensure its fiscal viability. The Senate delegates operational responsibility for the management of the University to the Vice-Chancellor, and monitors, guides and supports the work of the Vice-Chancellor and Executive.



CONSTITUTION OF THE SENATE

- Ex officio: The Chancellor
The Vice-Chancellor
- Appointed by the Governor: Four members
- Elected by Convocation: Four members
- Elected by Academic Staff: Three members
- Elected by General Staff: One member
- Elected by Students: Three members
- Elected by Academic Board: One member
- Co-opted Members: Three members

TOTAL: Twenty-one members

- All elected, appointed and co-opted members other than the students have four year terms, and may serve for no more than twelve years.



Delegation

- Extract from the Delegations Policy (<http://www.delegations.uwa.edu.au/policy>)
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- The Vice-Chancellor may delegate any function or any power or duty conferred or imposed upon him/her, subject to this delegations policy, to any member of the staff of the University or person or persons or committee of persons.
- The Senate has authorised the Vice-Chancellor to sign documents on behalf of the University, and the Vice-Chancellor has in turn authorised the Executive members to sign documents within their individual portfolio responsibilities. Additionally, the Senate has authorised the Executive members and the University Lawyer as signatories on the University's registered Power of Attorney.
- **2. Purpose of the Delegations Policy**
The purpose of the Delegations Policy is to establish a framework for delegating authority within the University. The policy applies to all members of the University staff, who have delegated authority to sign documents on behalf of the University. This policy and related legislation, policies and procedures are available via the University Website at: <http://www.delegations.uwa.edu.au>. Delegations of authority are the mechanisms by which the University enables officers of the University to act on behalf of the University. Delegations are a key element in effective governance and management of the University and provide formal authority to that officer to commit the University and/or incur liabilities for the University.
- **3. Delegations framework**
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(c) The policy is designed to ensure that delegated authority is exercised by the most appropriate and well informed individuals.
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Standing Committees of Senate

The following are standing committees of Senate, they recommend to Senate on matters within their jurisdiction:

- [Audit and Review Committee](#)
- [Chancellor's Committee](#)
- [Development Committee](#)
- [External Environment Committee](#)
- [Honorary Degrees Committee](#)
- [Legislative Committee](#) (a joint committee of the Senate and Academic Council)
- [Strategic Resources Committee](#)

Information regarding Senate Boards and Committees is available at <http://calendar.publishing.uwa.edu.au/latest/parte/constitutions/senate>



Academic Board

- The Academic Board was established by, and is governed by, Statute 19 and the regulations made under it, which specify the Board's executive, recommendatory and advisory powers and obligations and its membership, giving it authority to delegate powers and responsibilities to committees, subject to Senate approval.
- The Senate relies on the Academic Board for advice and recommendation on academic related matters. This includes advice on budgetary and resource allocation matters, although this advice is often provided through its executive committee, the [Academic Council](#).

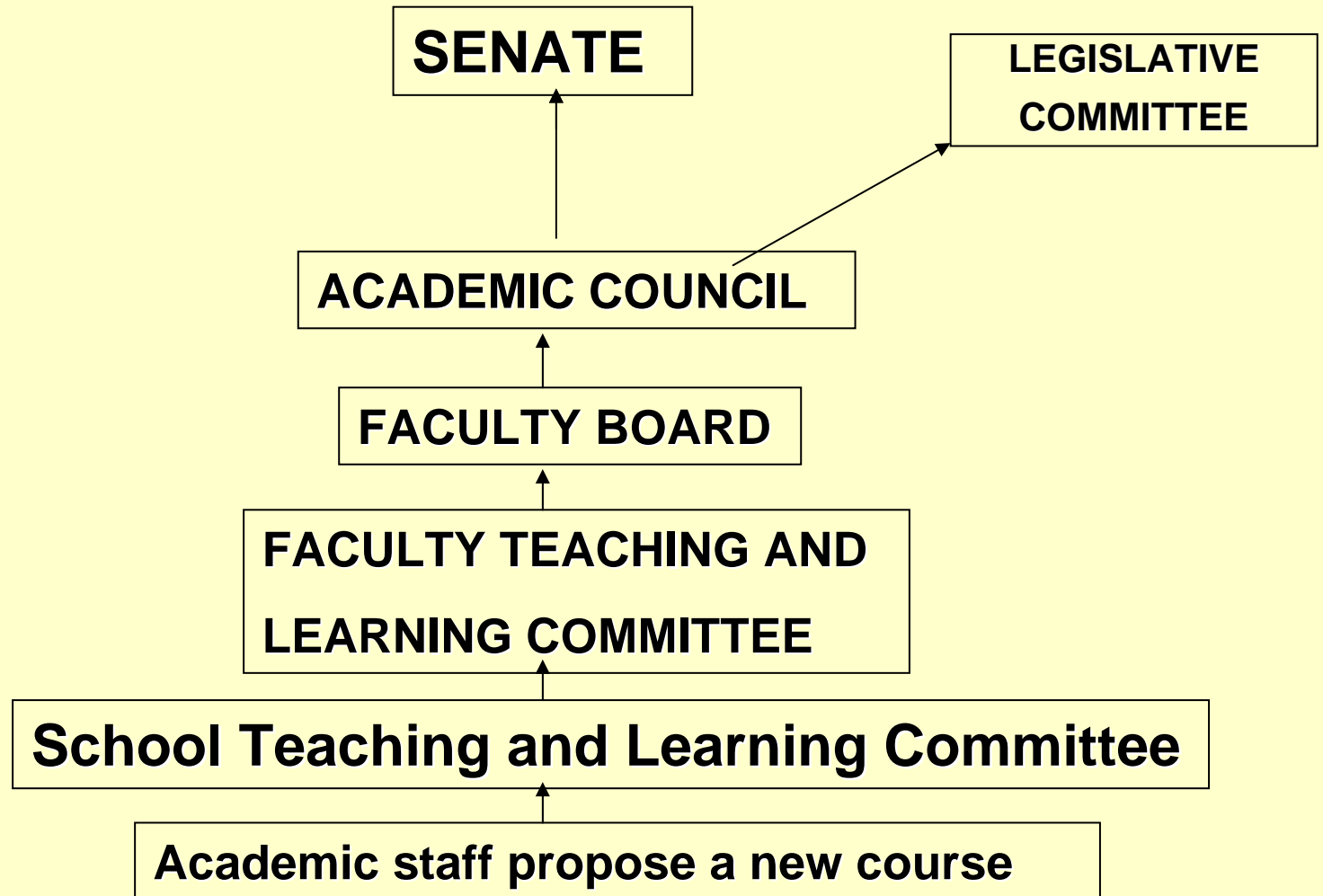


Statute No. 19 The Academic Board

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- **3.** The Board, after receiving reports from a faculty or other body as appropriate—
- **(a)** recommends to the Senate the making, amending and repealing of regulations relating to courses, scholarships, prizes and other awards and to all other academic-related matters; and
- **(b)** approves rules specifying the course requirements, structures and policies applying to courses for degrees, diplomas and certificates.
- **4.(1)** The Board advises the Senate on all proposals for—
- **(a)** the creation or disestablishment of faculties and schools; and
- **(b)** the transfer from one faculty to another of responsibility for funding a school; and
- **(c)** the establishment and abolition of scholarships, prizes and other awards, unless otherwise provided in other Statutes.
- **(2)** The Board, through its Chair, advises the Vice-Chancellor on all appointments to which full academic conditions apply.
- **(3)** The Board receives and considers correspondence from the Guild of Undergraduates and forwards, with or without comment, any intended for communication to the Senate.
- **(4)** Subject to the provisions of the Statutes and to the regulations made by the Senate, the Board has the power to do anything authorised or prescribed by the Senate and may advise the Senate or the Vice-Chancellor, as appropriate, on any matter.
- **(5)** The Board may delegate any of its powers and responsibilities to its Chair, to its committees or to faculties.
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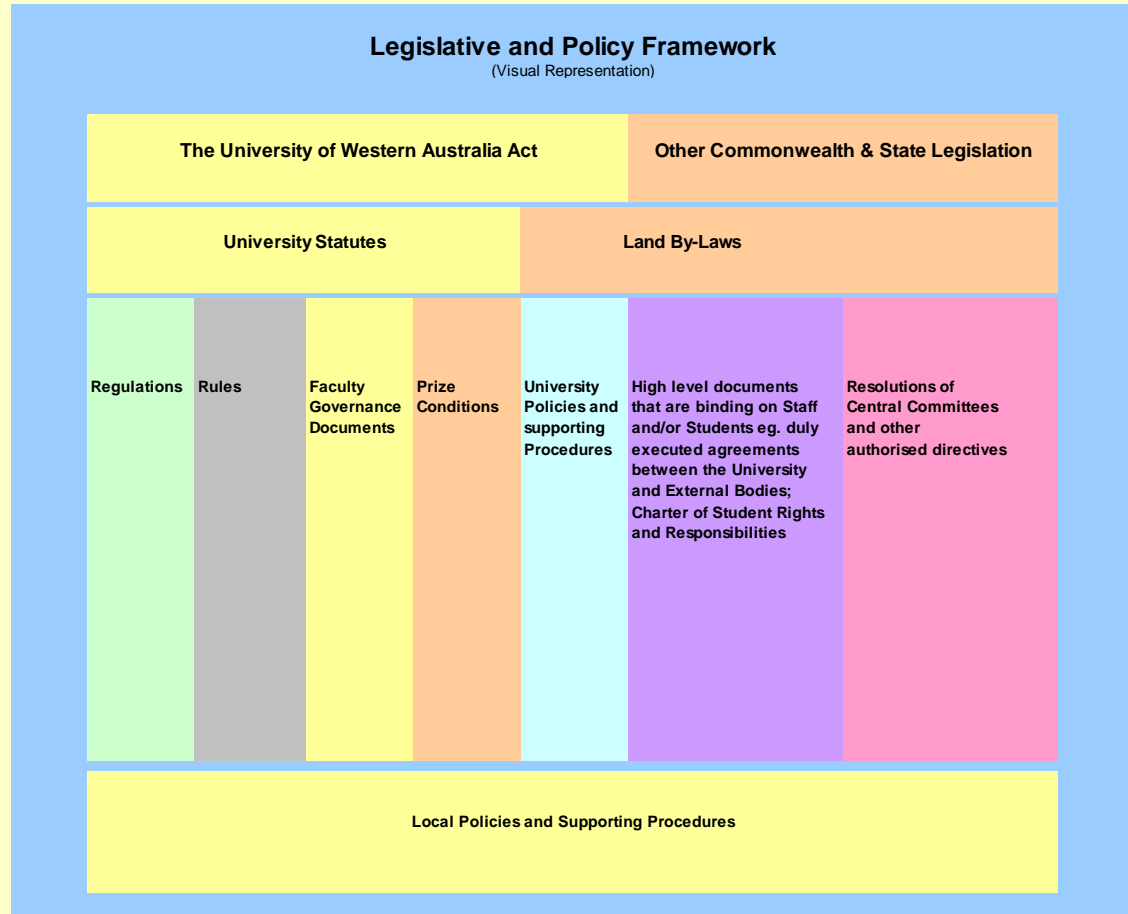


THE ACADEMIC DECISION-MAKING PROCESS





The University's Legislative and Policy Framework



Each element in the framework must be consistent with those above and those on the same level

For information on each of the elements please refer to the text of the [University's Legislative and Policy Framework](#) document



LEGISLATIVE FRAMEWORK Contd

- **Definitions**
- An **Act** is a formal law or decision made by a Federal or State legislature.
- There are approximately 150 Commonwealth and State Acts that affect the operations of the University.
- A **Statute** is a law or rule intended to be of a permanent or long-lasting nature, that governs the internal affairs of an organisation and prescribes the organisation's structure, procedure, or practice. The Statutes of the University establish the major sub-structure of the University and deal with matters of central importance. They can be amended only with the approval of the Governor of Western Australia in Executive Council.
- A **Regulation** is a principle or law designed to control or govern procedure or conduct. Regulations of the University are normally made pursuant to a Statute of the University. They can be made, amended or rescinded only with the approval of the Senate.



LEGISLATIVE FRAMEWORK Contd

- A **Rule** is a subordinate regulation governing a particular matter. The University General Rules for Academic Courses and the Faculty Rules, which govern the courses of the University, require the approval of the Academic Board.
- A **Policy** is a statement of the principles governing decision-making. University Policies require the approval of one of the following as appropriate:
 - the Senate
 - the Academic Board/Council
 - The Vice-Chancellor or another member of the Executive
- **Procedures** are the functional steps used to implement policies.
- Procedures are approved by the relevant member of the Executive or Director in Central Administration



Quality Assurance

PLANNING AND ACCOUNTABILITY

- The University is accountable to all of its stake holders, both internal and external for the values it upholds, the mission it pursues and the goals and priorities it sets. It must also account for the quality of its policies, programs and performance, as well as for the financial well-being of the institution as a whole and for maintaining the highest levels of probity in the conduct of its affairs.
- The University's stakeholders include Federal, State and local governments, professional bodies, industry partners, sponsors and donors, academic peers, graduates, current and future students, employers and the local and wider communities.
- The University operates a fully integrated system of strategic and operational planning systematically linking the University's high level strategic plans to its operational plans and its budget and monitors performance against goals.
- The University's broad planning directions are articulated in the University's Strategic Plan, the Academic Profile (Academic Plan) and the Operational Priorities Plan and are reflected in the University Budget Model.



Quality Assurance Contd

- **Strategic Plan** sets the framework for all other University plans (long term time-frame 5 to 10 years)
- **Academic Profile** identifies academic directions and growth plans including priority academic areas (10 year time frame)
- **Operational Priorities Plan** specifies selected high level priorities for the University in the areas of:
 - Teaching and Learning
 - Research
 - Internationalisation
 - Management and Resourcing
 - **OPP** updated every three years: progress against plan monitored annually
- **Management Plans** for each functional area of activity (T&L, Research, Internationalisation, Management and Resourcing) document planned activities and priorities within that area. (May include activities which have not been selected for particular attention in OPP but which are important for University's development in the area (1 to 3 years duration synchronised with the OPP and annual budget)
- **University Budget** is reviewed annually and is the mechanism by which the resources associated with the plans outlined above are allocated.
- **Faculty-level Plans and Reporting** Each faculty is required to develop strategic and operational plans and develop budgets
- Performance is assessed using a range of standard indicators.



Quality Assurance Contd

REVIEWS

- The University has a comprehensive programme of review which includes appraisal of individual performance and reviews of academic units, divisions and courses.
- Reviews are qualitative and quantitative in nature.
- Reviews are conducted by panels which include members external to the University.
- Review results and recommendations relating to academic units, divisions and courses are submitted via the Academic Council to the University's Audit and Review Committee.
- The University is reviewed by the Australian Universities Quality Agency.



Risk Management

- The University recognises risk management as an integral part of good management and is committed to achieving best practice risk management.
- The University has the following risk management documents which are submitted to the Senate via the Audit and Review Committee each year:
 - Risk Management Policy
 - Risk Management Framework
 - Risk Responsibility Chart
 - Risk Management Plan
 - Top Ten Risks
- A primary objective of the UWA Risk Management Plan is to provide consistency to business risk management practices. The Plan outlines the Corporate Risk Management Framework, including a Risk Appetite statement, which is designed to provide assurance that all key risks within the business are being identified and managed appropriately.
- A web-enabled database has been developed to house and report against all of the UWA business risk management plans.



Top Ten Risks

The University's current Top Ten Risks are:

- Inappropriate management by and of staff
- Loss of major physical assets
- Major reputation damage
- Interruption of information technology systems
- Death or serious injury of staff, student or visitor while undertaking UWA related activities
- Major project failure
- Quality of teaching or research below expectations
- Inadequate funding to meet financial commitments
- Failure to meet legal obligations
- Sustained loss of quality students



Annual Report

- The University is required to submit an annual report on its activities.
- The Annual Report summarises the University's activities over the previous year. It is an official report on the institution's operations, statistical profile, financial statements and performance indicators.
- The Annual Report is submitted to the State Minister for Education for information and presentation to Parliament in accordance with the provisions of the Financial Management Act 2006



Officers of the University

- The **Chancellor** – elected by Senate for a four year term either from among its members or from elsewhere. The Chancellor is the titular head of the University, and is the chairperson of Senate meetings.
(Dr Michael Chaney)
- The **Pro-Chancellor**, who is also elected for a four-year term, acts in the Chancellor's absence. (Mr David Griffiths)
(The positions of Chancellor and Pro-Chancellor are honorary ones.)
- The **Vice-Chancellor** is the chief executive officer of the University. (Professor Alan Robson)
- The **Senior Deputy Vice-Chancellor**. (Professor Margaret Seares)
- The **Deputy Vice-Chancellors** (2) (Education, Research and Innovation).
- The **Executive Director (Academic Services) and Registrar**. (Mr Peter Curtis)
- The **Executive Director (Finance and Resources)** . (Ms Gaye McMath)
- (The above six officers comprise jointly what is known as the Executive.)
- The **Pro Vice-Chancellors** (3) (Teaching and Learning, Research and Research Training and Research Initiatives) (Associate Professor Jane Long, Professor Robyn Owens, Professor Alistar Robertson)
- **Faculty Deans (9)**
- **Dean of the School of Indigenous Studies** (Ms Jill Milroy)