

## **PURPOSE**

This policy outlines the process to be followed to appoint to positions that provide academic and administrative leadership within a Faculty.

The role of Academic Head is a highly respected role that provides academic, disciplinary and departmental leadership and management for the University, of both academic and professional staff. The Report on the Role of the Head of Department (HoD) (July 1997) stated:

*The whole raison d'être of the University rests on the work done by departments – nearly all teaching and research is carried out there. It is there that the reputation of the University is made and it is there that the University has most contact with students, professional groups and most of the community.*

The report highlighted *the need for Heads of Department to provide appropriate academic leadership and to ensure that that their departments are managed effectively.*

This policy also outlines:

- VSP, Leave and Support arrangements
- The Appointment Procedure
- A generic Role Statement (Appendix 1).

## **1.0 DEFINITIONS**

1.1 Academic Head: The term "Academic Head" includes the various positions that provide academic and administrative leadership within the faculty, and who report directly or indirectly to the Dean. In this policy, "Academic Head" includes Head of Department, Head of School, Head of Centre, etc.

## **2.0 POLICY**

2.1 Academic Heads are appointed by the Vice-Chancellor, on the recommendation of the Dean. The Dean and/or Vice-Chancellor may consult such appropriate persons as they see fit. The Academic Head should preferably be a professor. The Academic Staff Collective Agreement notes that professorial staff may be required to serve as Academic Head.

2.2 The Dean will seek written confidential views of department staff as to a suitable Academic Head. The advice from staff will be retained as confidential to the Dean and Vice-Chancellor, and will be destroyed after an appointment is made.

2.3 The Dean will consider the advice of staff, identify the most suitable candidate for the position and recommend to the Vice-Chancellor accordingly. The Dean will strive to ensure that a diverse range of staff are developed to provide leadership through Headships and other positions. The Equity policies of the University must be followed at each stage.

2.4 After the Vice-Chancellor has approved the Dean's recommendation, the Dean will discuss and negotiate the details of the appointment with the appointee, in terms of this policy. The Dean will advise the HR Manager to provide a Letter of Appointment to the position, through the Dean's office.

### **3.0 AUDIENCE**

Deans and Professors of the University

### **4.0 RELEVANT LEGISLATION**

There must be compliance with all relevant legislation. This includes (but is not limited to):

- Employment Relations Act 2000
- Employment Relations Amendment Act 2004
- Health and Safety in Employment Act 1992
- Health and Safety in Employment Amendment Act 2002
- Privacy Act 1993

### **5.0 LEGAL COMPLIANCE**

The University is legally bound by the Employment Relations Act, other related legislation and any relevant Collective Agreement.

Failure of non compliance with legislation and the terms of the relevant Collective Agreement places the University at risk of litigation and may result in legal challenges.

### **6.0 RELATED PROCEDURES**

#### **6.1 Term of Appointment**

The normal term of appointment is three to five years, which is set by the Dean after consultation with the Academic Head. After consultation between the Dean and the Academic Head, the Dean may approve an extension of the current term of appointment by up to one year, to a total not to exceed five years. Any longer extension should involve consultation with department staff.

If a second term of three years is being considered, the Dean will consult with the Academic Head, and then with departmental staff. The Dean may recommend to the Vice-Chancellor a second term.

#### **6.2 Key Issues for Appointee**

The Dean will meet with the Academic Head designate to discuss key issues for the department. This should be based on the generic set of responsibilities outlined in the attached job description. Where an Academic Head reports to Head of School, Director, Divisional Head, etc, the Dean will clarify the sharing of responsibilities.

The Dean will discuss with Academic Heads the faculty approach to operational management that is consistent with University policies, including processes of decision making and reporting, and University and faculty policy in the following areas: evaluation and development; operational planning; delegations; management; information systems; financial management and budget setting; staffing plans and workload management; teaching, learning and assessment; curriculum review and development procedures; student services, recruitment and marketing.

At least annually, the Dean and Academic Head should review the development of the department.

In most cases the level of teaching and research of a new appointee will need to be reduced to allow the Academic Head's role to be performed fully. The expected level of teaching and research duties for each Academic Head should be negotiated with the Dean on appointment and reviewed at subsequent performance reviews.

The Academic Head is responsible for reviewing the performance of staff, and the Dean is responsible for reviewing the performance of the Academic Head, through the *Academic Performance Review (APR)* process, and the *Academic Heads Performance Review* HR policy and procedure.

The Dean will discuss with a newly appointed Academic Head appropriate support and mentoring to provide a sounding board for difficult issues, and/or to assist in professional development.

### 6.3 **Teaching Duties**

It is recognised that the leadership and management of a department will normally mean that an Academic Head will undertake significantly fewer teaching duties than other members of the department.

### 6.4 **Research Time**

Academic Heads should maintain an appropriate level of research during their tenure in the position. In consultation with the Dean, the Academic Head should allocate at least four weeks per annum for research activities, in one or more blocks of time.

### 6.5 **Succession Planning**

In order to promote orderly succession planning, particularly where there is the possibility of a Academic Head who is new to the role, it is desirable for the Academic Head designate to be identified between 6 and 12 months in advance of the appointment and to participate in the Future Heads Programme. The Dean may invite expressions of interest for the position of Academic Head, and/or may discuss the role with staff of the department or faculty.

### 6.6 **External Recruitment**

In the event that a position of Academic Head is to be recruited externally, the Vice-Chancellor will approve the recruitment process.

### 6.7 **Department Management**

The Academic Head has an important role in promoting the values of the University, faculty and department. An appropriately collegial and consultative style of management is encouraged, with important decisions being made in an open and consultative manner. While a consultative style is encouraged, the Academic Head is not obliged to make every decision by a democratic process.

Appendix 2 provides an excerpt of the letter of appointment of the Academic Head at the University of Auckland, including guidance on consultation in the department.

Collegiality requires the active participation and co-operation of all staff in managing the department. It is expected that Departments will operate with an appropriate committee structure, and that Academic Heads will delegate tasks as appropriate, and actively involve other senior academic staff in the leadership of the department. Delegation of tasks is an essential component of managing Academic Head's workload, and developing the knowledge and skills in others for succession purposes.

The Dean may approve the appointment of a Deputy Head or Acting Head according to the needs of the department.

#### 6.8 **Review of Decisions**

The following principles apply to all staff. Every staff member has a right to discuss any matter with their Academic Head/manager in an effort to resolve the matter.

If the matter is not resolved, or if the issue is of a nature that discussion with their Academic Head/manager is inappropriate, then the staff member has the right to discuss the matter with their "manager's manager", (i.e., the Dean, in the case of most faculty staff).

The University recognises that not all matters may be resolved informally, though it will take every reasonable step to ensure that any grievance is resolved without the need for formal procedures.

#### 6.9 **Development Support**

Academic Heads are expected to seek feedback on their own performance using a range of appropriate methods, including consultations with colleagues, consultation with mentors and surveying assistance (including the *Academic Heads Formative 360 Review* process, through the Centre for Professional Development). Academic Heads are expected to develop their academic leadership and management capabilities. These will be discussed with the Dean and outlined in the letter of appointment. They will be reviewed and revised annually with the Dean through the *Academic Performance Review (APR)* process, and the *Academic Heads Performance Review* HR policy and procedure. Appropriate professional development and support will be provided.

The Dean and Academic Head will work together on the development of leadership and management of the Department and Faculty. The professional development plans of each Academic Head will vary according to prior experience and needs, Faculty and University priorities, research and resources. These plans will specify appropriate participation and various forms of provision.

Formal induction and training programmes, policy briefings, and networking of Academic Heads are provided through the Academic Heads Advisory Group and Staff Organisational Development Unit (SODU)

The University also provides leadership forums, evaluations of academic leadership, generic workshops, and facilitates Departmental evaluations and planning processes, as required. These flexible provisions will reflect ongoing consultations between DVC (A), Deans, Academic Heads and SODU.

#### 6.10 **University Requests of Academic Heads**

Academic Heads may expect other members of the University to reduce the demands on them by asking for information only where necessary, simplifying all procedures, and providing template forms and letters where practicable.

The line management system through the office of the Dean normally should be used for requests of Academic Heads.

#### 6.11 **Role of Other Senior Academics**

The Academic Head can expect the support of all staff. All academic staff must actively support the academic development of their discipline, and the management

and leadership of the Department. Associate Professors and Professors also have particular "service" responsibilities.

The Academic Head should delegate elements of their responsibilities from their Role Statement, in consultation with the Dean, as appropriate.

#### 6.12 **VSP, Leave and Support**

All Academic Heads who have been appointed by the Vice-Chancellor to provide academic and administrative leadership in a department, school, discipline, centre, institute or other part of the University will be provided with an agreed support package as follows.

#### 6.13 **Research and Study Leave after Headship**

Academic Heads who have direct responsibility for at least 20 academic staff, and who complete a term of at least three years as Academic Head, are entitled to apply for one further semester Research and Study Leave, in addition to the normal eligibility under the Schedule of the Academic Staff Collective Agreement. The total leave taken at any one time should normally not exceed one year.

Where the Academic Head agrees to a second term as Academic Head, the timing and amounts of leave will be subject to negotiation with the Dean, recognising the desirability of leave not exceeding one year on any one occasion.

Academic Heads of smaller units with complex issues impacting significantly on the research of the Academic Head should discuss with the Dean an appropriate extension of Leave for which the Academic Head is eligible to apply.

Where Leave has been approved for an Academic Head, the timing of the Leave will be prioritised over other applicants from the same Department/School.

#### 6.14 **Teaching and/or Research Support, and Variable Supplementary Payment**

The Dean will negotiate an appropriate support package with the Academic Head prior to commencement of the term as Academic Head. The total package will include:

- Teaching and/or research financial support, to an amount that takes into account the demands on the Academic Head (including the size of the academic unit and the complexity of issues requiring leadership) and the means by which the Academic Head's research might be supported
- A VSP (Administration)

Large Schools may appoint a Deputy Academic Head, who may also be provided with appropriate support, recognising that all academic staff should contribute to service in the University as a part of their duties.

### 6.15 VSP Administration

All Academic Heads with responsibility for the indicated full time equivalent (FTE) academic staff will be provided with a VSP (Administration) as follows:

More than 35 FTE academic staff	\$12,500 per annum
More than 20 FTE academic staff	\$10,000 per annum
Up to 20 FTE academic staff	between \$5,000 and \$10,000 per annum - depending on the level of complexity of issues faced by the unit
Academic Head who reports to Head of large unit or a Deputy Head of a large unit	normally up to \$5,000 per annum, depending on responsibilities

This VSP will be paid as a taxable non-superable allowance.

### 6.16 Associate Deans and other Roles

Academic staff who provide significant administrative support to the University as Associate Dean or in other senior roles may be paid an appropriate VSP (Administration) and/or be provided with negotiated teaching and/or research support. The amount of the VSP (which will normally be between \$5,000 and \$10,000 for a substantial role) and the level of any other support will be determined by the Dean after taking into account the relative responsibilities of the role compared with Academic Heads.

### 6.17 Transitional Provisions

Current Academic Heads and the Dean should review the level of VSP and support arrangements in accordance with the above policy with effect from 1 October 2003. No VSP will be reduced. Current Academic Heads are entitled to apply for enhanced Research and Study Leave under the terms of this policy.

## 7.0 RELATED DOCUMENTS

The following documents relate to this Policy and Procedure

- Academic Staff Collective Agreement
- Academic Heads Performance Review Policy
- Academic Performance Review Policy
- Academic Heads Formative 360° Review Policy
- Research and Study Leave Policy

## **Appendix 1 - Job Description for Academic Heads**

The role of the Academic Head is to fulfil the vision of the department/school by drawing upon a community of scholars supported by effective management and appropriate resources.

It is important that all Academic Heads delegate as many of the tasks listed below with an \*, as possible while retaining the overall authority and responsibility for each area.

### **Academic Leadership**

#### Vision/Values/Strategy

- Develop and articulate a clear vision and goals for the discipline and department
- Promote the values and achievements of the University, Faculty and department
- Develop an environment in which research flourishes\*
- Support the research aspirations of staff, in the context of departmental plans\*
- Ensure processes are in place to develop the curriculum and excellence in teaching\*
- Encourage academic staff to develop their teaching and their teaching portfolios\*

#### Relationships

- Advocate for the discipline and department within the University and the community
- Publicise the activities and achievements of the department\*
- Promote collaboration with other University departments and centres\*

#### Reviews

- Oversee the regular review of the quality of teaching and research of the department\*

### **Staff Management (both academic and professional staff)**

#### Development

- Recommend on staff appointments, promotion, continuation, research and study leave
- Ensure staff are mentored in their career development\*
- Recognise achievements of all staff
- Ensure performance and development reviews are conducted annually and effectively\*
- Manage unsatisfactory performance
- Conduct departmental meetings and ensure staff are consulted / informed

#### Process/Statutory/Policy

- Fairly allocate teaching, research and service responsibilities and workload\*
- Delegate responsibilities to staff to promote collegiality, enthusiasm, and collective ownership
- Resolve staff concerns and conflicts
- Ensure that the activities of the department conform to University policies and statutory obligations
- Ensure University Equity, Treaty of Waitangi and Ethics requirements are met\*

- Be responsible for Health and Safety in Employment Act requirements\*

## **Student Support**

### Consultation

- Ensure appropriate communications with students\*
- Provide opportunities to resolve matters of concern to students\*
- Ensure access to departmental staff by students\*

### Development

- Ensure regular reviews and student evaluation of courses and teaching\*
- Provide feedback on the results of student evaluation and consequential course and teaching changes\*
- Monitor the success rates of under-represented groups, and introduce initiatives where necessary
- Provide mentoring opportunities for graduate students\*

## **Managing Administration, Finance and Resources**

- Take delegated responsibility for the budgetary and financial management of the department\*
- Develop plans and strategies to improve utilisation of staff, space, and equipment\*
- Respond to institutional reporting, correspondence and other communications\*

\* ***These items, in particular, may be delegated in part or wholly to other academic staff or to professional staff support.***



## **Commentary on Role Statement for Academic Heads**

This commentary provides additional advice on some areas covered in the Role Statement.

### **Academic Leadership**

#### Vision/Values/Strategy

The Academic Head should ensure that there is a collegial process to review and develop the vision and goals for the department. She/he will be called upon by the University and Faculty to provide strategic advice on the future of the department

#### Relationships

All academic staff have responsibilities for developing and maintaining internal and external relationships. The Academic Head should support these and help promote the research and educational capabilities of the discipline to the wider University and external communities and agencies.

#### Reviews

The Academic Head has special responsibility for initiating regular reviews of the quality and structure of the department's curriculum and courses, and will be the key contact in providing academic advice to formal external review committees.

### **Research and Teaching Development**

The Academic Head should ensure that the research and teaching priorities of the department are developed in consultation with colleagues. New colleagues should be mentored by senior staff, with attention to course design development and research programme development.

Where there are opportunities to support research activities through external grants, the Academic Head should ensure that there is assistance available in the development of research grant applications.

Research seminars provide a valuable means of developing the research culture of the department, and recognising achievements of colleagues.

### **Staff Management**

#### Development

The Academic Head has the important role of ensuring that each colleague is recognised for their achievements, given clear feedback through the APR and Evolve development review processes, and supported in their career development.

The Academic Head should encourage staff involvement in the running of the department, and draw on and develop the different strengths of colleagues through delegation. By delegating responsibilities, the Academic Head will promote collegiality and collective ownership of departmental issues. Delegations may include academic advice, guidance and counselling for students; the academic management, development and examination of courses; and other academic matters.

New colleagues must be provided with a collegial induction into the department. The Academic Head has a special opportunity to advance Treaty and other Equity objectives of the department, and to ensure that staff from under-represented groups are mentored.

#### Process/Statutory/Policy

While the Academic Head has responsibility for Health and Safety employer obligations in the department, this is another area where the review and operational activities might be delegated to another professional or academic member of staff.

The practice of the University is for each department to have regular departmental meetings to consider planning, curriculum, research, staffing, students and other matters.

## **Student Support**

The Academic Head should ensure that the department generally and colleagues specifically engage with the student body, at undergraduate and postgraduate levels. This engagement should include special consideration of Equity, and ensure that staff are available to interact with students.

## **Managing Administration, Finance and Resources**

The Academic Head will need to ensure clarity with the Dean over delegated financial management responsibilities.

The Academic Head should delegate as much of the administrative management as practicable. For example, the administration associated with managing postgraduate students might be delegated to another colleague. Similarly, the administration of funds associated with research, travel, conferences, maintenance, and equipment acquisitions might be delegated to a colleague.

## **Appendix 2 - Excerpt from Letter of Appointment for Academic Heads**

The following is an excerpt from the standard letter of appointment of the Academic Head. This excerpt is intended to assist the Academic Head and departmental staff in providing and supporting the leadership and management of the department and discipline.

### **“General Responsibilities”**

In summary terms, you have responsibility for:

- Advising the Dean and/or Vice-Chancellor on matters relating to your discipline;
- Academic and administrative leadership through:
  - encouraging, supervising, and engaging in research within the University;
  - organising teaching, and leading rational curriculum development;
  - administration of departmental expenditure;
- Advising the Dean and/or Vice-Chancellor on the appointment of departmental staff;
- Administrative duties pertaining to the Headship of the Department
- Such personal teaching and related duties, including examining, as may be required, together with such research and service as may be appropriate after taking into account the demands of the position as Head of Department.

As Head of Department, you must consult within your Department in such a manner as may appear appropriate, on the following matters:

- (i) Academic and general staff appointments, promotions, and continuation
- (ii) Leave (including study leave and special leave);
- (iii) The disbursement of money whether for teaching, research or conference attendance, or other departmental operational purposes;
- (iv) The allocation of teaching, research and service duties;
- (v) Decisions concerning courses, curricula, examinations, prizes, and scholarships.

The following principles have guided Heads of Department for many years on the matter of consultation within departments.

*There is a need for consultation to be "as appropriate" for the matter under consideration. On some departmental matters there might be no consultation, on other matters a selected consultation, and yet others the seeking of a full departmental viewpoint. However, in all cases the final decision or recommendation lies with the Head of Department. Most Heads of Departments consult in a sensible manner and the University seeks to avoid the extremes. When a Head of Department does not consult at all, problems are likely to arise. At the opposite extreme, a Head of Department who tries to seek a consensus on all departmental matters could be committing time that might be better spent on research and teaching. Without clear leadership from the Head of Department, a department can not easily aspire to excellence in its teaching and research. A happy medium in matters of consultation is required.*

### **Specific Responsibilities**

The following are some specific responsibilities of the role of Head of Department. These may be supplemented by a written statement from the Dean. As the Head of Department, you will:

- Develop the departmental academic plan, and provide academic leadership of the teaching, research and service of the department. There is an objective of continuously improving departmental academic quality of each of these areas

- Build and develop relationships within the faculty, with other faculties and areas, and external to the University, in the University's academic interests
- Work with the Dean to establish the departmental Staffing Plan to provide the teaching, research and service achievements of the Department
- Ensure that HR policies and practices are followed within the Department, the performance of each staff member is reviewed annually, and that such staff development or other actions as may be necessary are taken following such reviews
- Be responsible for ensuring that the Department meets its responsibilities in respect of each of equal educational opportunities and equal employment opportunities under the terms of the State Sector Act, the Education Act, and University of Auckland policy
- Be responsible for the financial management of the Department, both the operating budget (revenue and costs) and the capital budget as determined in consultation with the Dean
- Arrange to delegate tasks from these responsibilities amongst other senior academic staff, in accordance with policy and as may be appropriate
- Have authority over, and be responsible for, departmental Health and Safety management."