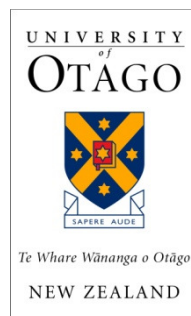


University of Otago Administrative and Special Topic Review Guidelines

(internal use)

2011



Quality Advancement
www.otago.ac.nz/quality/reviews.html

Ten tips for a successful review

1. A review is your opportunity to make progress, effect change or consolidate.
2. Success is all in the preparation – this is the only bit of the process you have control over.
3. Start with a careful stock take.
4. Choose people you and your staff respect for the Panel.
5. Involve all staff, academic, technical and general in the process and provide different avenues for staff to buy into the process.
6. Develop clear aspirations.
7. Familiarise yourself with the University's strategic documents.
8. Make sure your strategic plan is real, meaningful and useful to you.
9. Bare your soul in the review document.
10. Make sure you work with the Convenor of the Panel in advance.

1. Overview

1.1 What are the guiding principles behind the Review Process?

Principles for the conduct of reviews at the University of Otago were approved by the Senate in May 1995 and the University Council in June 1995 (**Document A**).

Document B provides a diagrammatical overview of the Review Process.

1.2 How are the Review Principles implemented?

The Review Principles are implemented through a variety of different internal review processes each with different foci and objectives. A Reviews Framework has been developed to articulate and clarify the different review types and processes (**Document C**).

1.3 How are Reviews scheduled?

In its Review Principles, the University made a commitment to review each aspect of its operations at least once every 5 – 7 years. In order to monitor this commitment, a three-year rolling schedule of reviews has been developed. Called the Review Schedule, it serves both as advance notice of those areas due for review and as a budgetary signal to the Pro-Vice-Chancellors, Chief Operating Officer and Heads of Service Divisions who are responsible for making resource provision for reviews.

1.4 What is an Administrative Review?

An Administrative Review is a review of a non-academic division, department, section, unit, or area (hereafter called Administrative Unit). The foci are the goals, objectives, core activities and services of the Administrative Unit under review. It covers an examination of the Administrative Unit's structure and management, core services and activities, and physical, IT resources and health and safety issues.

1.5 What is a Special Topic Review?

A Special Topic Review is usually initiated in response to a specific issue or concern, or upon the request of a particular group or individual (known as the sponsor). These reviews are ad hoc in nature and take place as the need arises. The terms of reference and selection of panel members will vary from review to review and this should be discussed with the Reviews Coordinator, QAU.

1.6 How much will it cost?

Document M outlines the budgetary requirements.

2. The Review Proposal and Terms of Reference

2.1 What is the Review Proposal?

The Review Proposal outlines the Review's purpose, Terms of Reference, and membership of the Review Panel. The Review Proposal - **Document D** - is prepared by the appropriate Pro-Vice-Chancellor and Dean or Head of Service Division in consultation with the Head of the Department or Unit concerned. Usually it is completed 5 - 7 months before the visit of the Review Panel. The Review Proposal is then submitted to the Deputy Vice-Chancellor (Academic & International) for approval.

A copy of the Review Proposal Form may be downloaded from the Quality Advancement Unit (QAU) Web Site (<http://www.otago.ac.nz/quality/reviews.html>). Please note that this form must be completed electronically and both an electronic copy and a signed hard copy are to be submitted to QAU.

2.2 What are the Terms of Reference?

The Terms of Reference form part of the Review Proposal. The purpose of the Terms of Reference is to give context and focus to the Review Panel's investigations. Standard Terms of Reference - **Document E** - have been developed to ensure consistency of approach and investigation across Academic and Non-Academic Units and to align the review process with the University's key strategic documents. Additional or amended Terms of Reference may be included to take into account a special feature or features requiring investigation.

The Terms of Reference may be downloaded from the Quality Advancement Web Site at (<http://www.otago.ac.nz/quality/reviews.html>)

2.3 What is the composition and membership of the Review Panel?

The Review Panel is selected by the Head of the Unit under Review in consultation with the Service Division Head or the Pro-Vice-Chancellor and Dean, and confirmed by the Deputy Vice-Chancellor (Academic & International). The formal letters of invitation and thanks to panel members are issued by the Deputy Vice-Chancellor (Academic & International). The aim of the panel selection is to involve people with relevant experience and expertise, and who are representative of a cross section of the Department's stakeholders. For the recommended composition of a Review Panel, please refer to **Document F**.

2.3.1 Conflict of interest

Panel members deemed to have a conflict of interest will need to be carefully considered. Panel members should declare any perceived and/or potential conflict of interest to the rest of the Panel.

2.3.2 External Panel representatives

QAU have prepared a flyer for units under review to send to prospective external panel members to provide them with information on their responsibilities and time commitment should they choose to take on the role. This flyer is available on the QAU website and included here - **Document G**.

2.3.3 Graduate/Senior Student representatives

QAU have also prepared a flyer for units under review to send to prospective graduate/student panel members who are usually not familiar with University processes and often unaware of the time commitment required. This flyer is also available on the QAU website and included here - **Document H**.

3 Key Participants in the Review Process: Roles and Responsibilities

3.1 The Panel

3.1.1 *Convenor*

The Convenor is the main point of contact between members of the Review Panel and the Pro-Vice-Chancellor. For a key task list, please refer to **Document I**.

3.1.2 *Panel Members*

The Review Panel members are expected to serve on the Review Panel and assist the Convenor in the drafting of the Review Report. Following the receipt of the Self Review material, panel members may, through the Convenor, request additional information and provide input into the Visit Programme. For a key task list, see **Document I**.

3.1.3 *Review Secretary*

The Secretary will work with the Convenor, providing organisational, administrative, and secretarial assistance before, during and after the Review. Duties include; arranging travel and accommodation for external panel members, booking a venue for the review, publicising the Review, calling for submissions, collating submissions, drafting of invitations to meet the Review Panel, distributing all written materials to the Panel, pre-Review dinner and catering arrangements, attending Panel meetings and interviews and taking notes during the Review Panel Visit. The Secretary will provide any other administrative support as required by the Convenor.

3.2 The Administrative Unit

3.2.1 *Heads of Administrative Units*

Heads of Administrative Units are the immediate leaders of the unit under review. The Head of the Unit will be expected to consult with their Head of Service Division over the budget for the Review, the composition of the Review Panel and the Terms of Reference for the Review. They will also have responsibility for

- selecting the Panel and confirming availability
- confirming dates of the review
- facilitating the preparation of the Self Review submission to the Review Panel (via the Review Secretary, 6 – 8 weeks prior to the Review)
- identifying key stakeholders and individuals who might appreciate an invitation to give a submission to the Review
- advising the Review Secretary on appropriate publications (besides the Staff Bulletin) where review advertisements might be placed e.g. professional journals or publications
- liaising with the Review Secretary on administrative arrangements as required.

Post Review, the Head of the Unit will be expected to consider and implement the recommendations of the Review Panel and to report on progress as required.

3.3 The University

3.3.1 *Deputy Vice-Chancellor (Academic & International)*

The Vice-Chancellor has delegated authority for the overall direction of the University's rolling programme of formal reviews to the Deputy Vice-Chancellor (Academic & International) as articulated in the Guiding Principles for the Conduct of Reviews approved by the Senate in May 1995 and the University Council in June 1995. For an overview of the role of the Deputy Vice-Chancellor (Academic and International), please refer to **Document J**.

3.3.2 *Heads of Service Divisions*

Heads of Service Divisions have responsibility for consulting with the Head of the unit over the co-ordination of the Review Process – **Document J**. They play a central role in facilitating and documenting progress made towards the implementation of recommendations made by the Review Panel.

Depending on the Divisional structure, the Service Division Head may delegate responsibility for many of these tasks to a Director or Manager.

3.4 The Quality Advancement Unit

The Quality Advancement Unit is responsible for managing and monitoring the overall review process. **Document H**.

Members of the Unit are available to provide advice on any aspect of the review process and to liaise with University staff as required. The Unit also has a number of resources, including a laptop and mobile phone, available for use by the Review Secretary during a Review.

3.4.1 *Review Secretary, University Quality Advancement*

The Unit has two Review Secretaries. This person will be appointed by the Reviews Coordinator, Quality Advancement Unit.

3.4.2 *Reviews Coordinator, University Quality Advancement*

The Reviews Coordinator, University Quality Advancement, is the main point of contact between Quality Advancement and the unit under review and is responsible for the coordination of the Review Process. The Reviews Coordinator is responsible for appointing the Review Secretary, provides the Deputy Vice-Chancellor with an executive analysis of the final review report and attends the Report Approval Meeting.

3.4.3 *Director, University Quality Advancement*

The Director, University Quality Advancement is responsible for the overall monitoring of the University's Review process.

4 Confidentiality

Members of a Review Panel have access to a great deal of material during a review. The Review Panel must treat as confidential any personal information, commercially sensitive material and intellectual property provided to it.

Beyond the production of the Self Review Report, all aspects of the review process are confidential to the members of the Review Panel. The only documents that can be viewed by others before and during the process are the Terms of Reference and the list of Panel Members.

Other than producing the Self Review and appearing before the Panel, it is at the discretion of the Panel to provide information about the Review.

Units under review can assist in maintaining this confidentiality by declining or redirecting any communications about the Review to the Review Convenor or Secretary.

4.1 *Submissions*

Units under review are often asked to supply the names of individuals or organisations that have an interest in the Department and that may be invited by the Panel to make a submission. However, all written and oral submissions to the Panel are confidential to the Panel. This includes the submissions, names of those who have made submissions, and any other information about such submissions.

All submissions will be destroyed at the end of the Review Process.

Note: These submissions will not be attributed or connected to any individual or source in the final report.

4.2 *Review Programme and Interviews*

The Review Programme and Schedule of Interviews are confidential to the Panel. Units under Review are not entitled to this information. Enquiries made during the Review are to be directed to the Quality Advancement Unit.

4.3 *Self Review*

The Self Review is confidential to the Unit who produced it and the Review Panel. The Self Review will not be shown or distributed to others in any way without prior permission from the Unit who produced it.

4.4 *Review Report*

The Review Report will become a public document within the University Community. The Review Report is confidential to the Review Panel until finalised, approved by the entire Panel, checked for factual accuracy by the Head of the Unit under Review and then released to the DVC. Following consultation with the Convenor and the Quality Advancement Unit Review Co-ordinator, the DVC will authorise distribution of the Review Report to the University. At this point, the Report is no longer confidential except in that it is for internal University use only. Any external use or distribution requires special permission from the appropriate PVC or Head of Service Division.

Because the Report is about an organisation, it will not normally identify individuals. It is expected that every effort will be made to ensure that, whenever possible, concerns shall be framed in terms of the system – not the individual.

Where an individual is named in the report, the Review Panel should provide the individual with an opportunity to discuss the matter with a member of the Review Panel, and ensure that issues in contention are resolved before publication of the Review Report.

4.5 *Confidential Matters Beyond the Scope of the Review*

Review Panels are sometimes challenged by matters of a confidential and personal nature which are beyond the scope of the Terms of Reference and the Review Panel's brief. The Panel may decide to submit a confidential letter to the DVC (A&I) so that such issues can be dealt with under a separate process.

4.6 *Confidential Disposal of Review Documentation*

All material generated by the Review (i.e. submissions, the Review Schedule, drafts of the Review Report, notes taken during the review, electronic files including disks and Dictaphone tapes) are to be returned to the Review Secretary upon the completion of a review, for confidential disposal.

5. The Self Review

5.1 What is the Self Review?

The Self Review exercise is one of gathering information about the unit in accordance with the approved Terms of Reference and presenting this information in the form of a Self Review Report. The responsibility of preparing the Self Review material is delegated by the Head of Service Division to a Self Review Committee led by a Self Review Co-ordinator (normally the Head of the Unit under Review).

It is expected that the Self Review Report will be completed six weeks prior to the Review Panel visit and it is the responsibility of the Head of Service Division to ensure the Self Review documentation is forwarded to the Review Panel.

Work on the Self Review Report may commence up to a year before the Review Visit.

5.2 What is the Self Review Report?

The Self Review Report forms the basis of the submission to the Review Panel. Primarily, it is a collection of factual information which sets out the background of the Unit, its structure and management, current status, and anticipated future developments. The Report also highlights strengths and identifies areas for improvement.

Key questions that you might consider are:

- Where is the Unit now?
- Where do you want to be in five years time?
- What do you need to do to get there?
- How can the University help you to get there?
- What do you do well?

5.2.1 Format

The structure of the Self Review Report is expected to reflect the Terms of Reference of the Review with the addition of a preamble which provides an historical overview of the Unit, and highlights any special characteristics or factors that have influenced development.

As a general guide, the main document should be no more than 20 – 30 pages in length (including diagrams and flow charts).

Please note:

An electronic version of the self-review must also be provided for all panel members. PDF version on a memory stick is preferred. All copies of the self-review, hard and soft, should be sent to the Review Secretary for forwarding to Panel members. Please also make available a Word version which may be required by the Secretary and/or Convenor.

5.2.2 Table of Contents

Major headings for the Self Review Report are taken from the Terms of Reference

5.2.3 Supporting Documents

In addition to the Self Review submission, supporting documents will be required by the Review Panel (a list of these documents is to be included as an appendix in the Self Review Report). Refer Document I.

6. The Review

6.1 What is the Visit Programme?

The visit programme is prepared by the Convenor and the Review Secretary in consultation with other panel members. The Head of the unit should make themselves available for the duration of the review. The visit programme includes meetings with staff, students and other interested parties as arranged by the Convenor and the Review Secretary. A site visit may be required and a senior member of staff will need to be available for this.

The Review Secretary will need to liaise with someone in the unit who will be available for the whole time of the Review. Usually this is the Unit Secretary/receptionist or similar. The Panel may require additional information or to contact a member of staff.

On the last day of the Review, the Panel will present their preliminary findings to the Head of the unit. Depending on the size of the unit and the number of staff, the Panel may also choose to make a second presentation to the staff as a whole. This session is quite brief and it is not usually a forum for discussion.

College Reviews are normally held over three days, some Administrative and Topic Reviews may only require two days, with a preliminary dinner meeting, for the Panel members only, the evening before.

6.2 Individual Submissions

Individual staff and students may, if they wish, make confidential written submissions to the Review Panel Convenor, and/or request a personal interview with the Review Panel during the Review visit. It is the responsibility of the Secretary of the Review Panel to publicise the Review and call for submissions.

6.3 What is the Review Report?

The Review Report is a public document within the University of Otago community and can be obtained from the Quality Advancement Unit by any member of the University community. It outlines the Review Panel's findings in accordance with its Terms of Reference, and provides sufficient detail to enable a good understanding of the issues leading to the subsequent recommendations. It is also expected to include commendations and to highlight areas of good practice. An Executive Summary at the beginning of the Report summarises the key findings and recommendations.

Preparation of the Report is co-ordinated by the Convenor of the Review Panel and written in collaboration with other panel members and is expected to be completed 6-8 weeks after the review is completed.

7. Post Review

7.1 What happens to the Review Report?

Prior to finalisation of a Review Report by the Panel, the Convenor will send a copy of the Report to the Head of the Unit to check for factual inaccuracies. The Head will have two weeks from receipt of the Report to reply with any factual corrections. If no corrections are received within the two weeks, it will be assumed that the Report is factually correct.¹

The Report is then sent by the Convenor to the Reviews Co-ordinator, Quality Advancement Unit, who provides the Deputy Vice-Chancellor (Academic & International) with an executive analysis and a copy of the final report.

The DVC (A&I) holds a Report Approval meeting and discusses the Report's key findings with the Vice-Chancellor or Divisional Head, the Dean (where relevant), the Convenor of the Review Panel and the QAU Reviews Co-ordinator to reflect on the review, the Report and the outcomes. The DVC (A&I) also discusses the Report's key findings with the Vice-Chancellor as appropriate.

Depending on schedules, this stage can take up to several weeks.

7.1.1 When will the Review Report be released?

The DVC(A&I) generally authorises release of the Review Report at the conclusion of the Report Approval Meeting. QAU then distributes the Report, first to those directly involved in the Review, then broadly across the University, as per QAU distribution procedures.

Notice of release of the Report is posted on the QAU website and in the Bulletin.

(On authorisation by the Deputy Vice-Chancellor, the Quality Advancement Unit distribute the report to the people listed in **Document L**).

7.1.2 How are the recommendations implemented?

Normally a Review "Implementation Plan" is prepared by the Head of the Unit (and/or the PVC or Divisional Head) following receipt of the Report.

The implementation plan provides a framework for action to be taken in response to the recommendations contained in the Review Report. It is expected that the Plan will prioritise the recommendations, identify steps to be taken on each recommendation, delegate responsibility for action and provide a time-line for implementation. Where recommendations are targeted to areas or individuals outside the remit of the Unit reviewed (e.g. Property Services, ITS, etc.), it is the responsibility of the Head of the Unit to follow up on implementation of those recommendations with the relevant parties.

An Implementation plan should be developed within two weeks of receipt of the Report.

¹ The Review Report reflects the views of the Review Panel only. No response by the Head does not constitute "approval of" or "agreement with" the Report in any way other than to accept its factual accuracy.

7.1.3 How is implementation monitored?

Progress towards implementation of the recommendations made in the Review Report is monitored through the submission of two Status Reports to the DVC(A&I) by the PVC or Divisional Head and the Head of Unit.

7.2 What is a Status Report?

The Status Report is a detailed report on progress made towards meeting implementation of each recommendation in the Review Report. It reports on those recommendations implemented successfully as well as those not yet implemented, and the reasons for this. The preferred reporting format is for the Head of the Unit to submit a full Status Report to the PVC or Divisional Head, and then for the PVC or Divisional Head, and Dean where appropriate, to prepare their own Report(s). All reports are then combined and submitted to the DVC(A&I) within the required timeframe.

7.2.1 When are the Status Reports Due?

The First Status Report is due 6 months after release of the Review Report. The Second Status Report is due 2 years after release of the Report. Official requests for the Status Report will be sent by the DVC(A&I) to the PVC or Divisional Head approximately 6 weeks prior to the due date.

7.2.2 What happens to the Status Report?

The DVC(A&I) responds in detail to the Status Reports and reports back to the Vice-Chancellor on progress as appropriate. The DVC(A&I)'s response will comment on the progress made on each recommendation and may request that further action be taken and/or that further information be supplied. A copy of the Status Report will be supplied to the Review Convenor for their information.

7.3 Conclusion of the Process

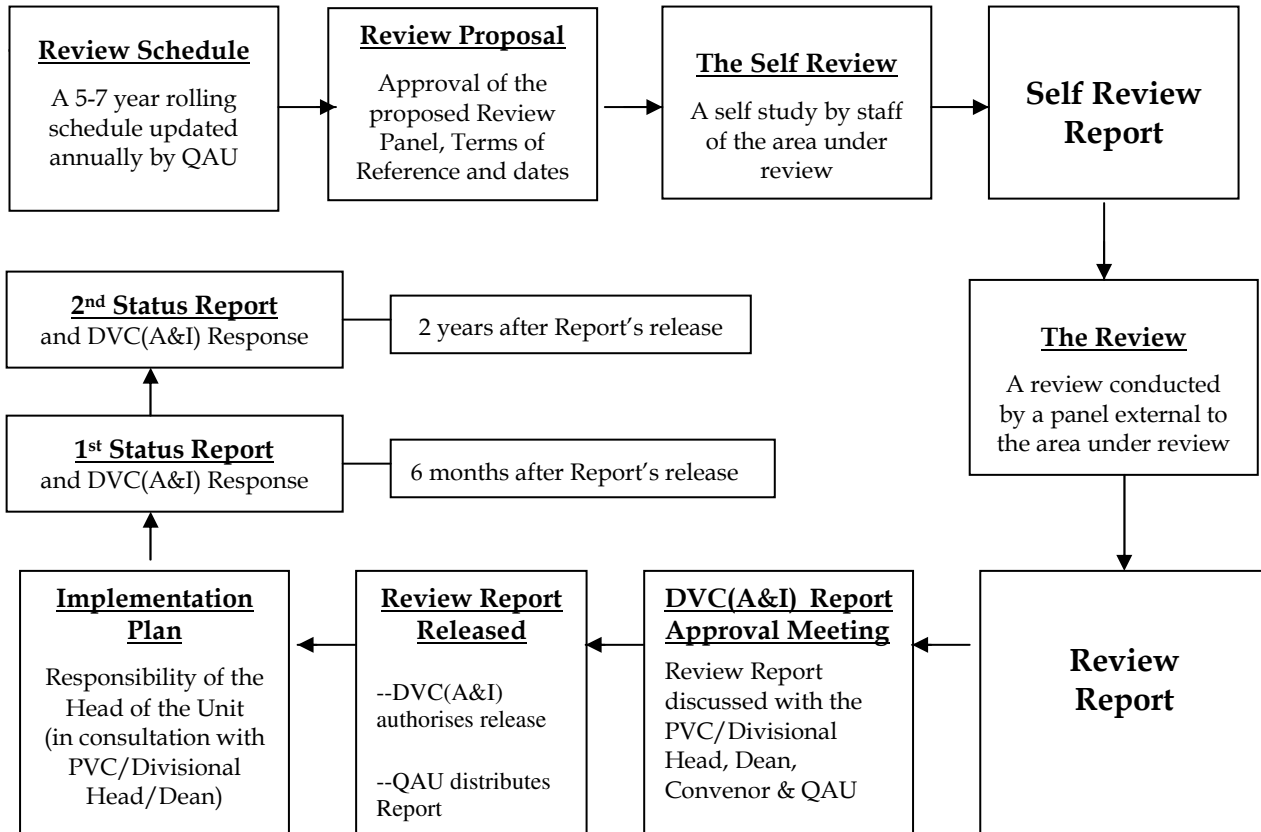
The process usually concludes with the DVC(A&I)'s response to the Second Status Report. On occasion, further follow up may be required by the DVC(A&I) prior to final closure.

Review Principles

- The primary purpose of quality assurance is to review and to effect improvement in the University's teaching, research and out-reach activities. To achieve this, a rolling programme of formal reviews will be instituted, building on the sequence of reviews begun in 1992. The Deputy Vice-Chancellor (Academic) will be responsible for monitoring all aspects of this process and will regularly report to the Vice-Chancellor.
- Review will involve reviews of teaching and research programmes, as well as of the University's policies and systems for assuring quality. Some reviews may be of a Division, Faculty, Centre or other administrative unit. Some may concern the entire University.
- Each aspect of the University's operations will be reviewed at least once every five to seven years, with the process initiated by the Deputy Vice-Chancellor (Academic) or upon the request of a particular group.
- Before a review begins, a budget will be determined, staff will receive training in the preparation of reviews, and access to useful sources of information and administrative support will be provided.
- The starting point for any review is the preparation of self-review materials.
- Each review will be in the form of a peer assessment by a panel comprising University staff as well as colleagues external to the University and members of relevant employer groups and professional bodies.
- Each such panel will conduct its inquiries on-campus and submit a written report to the Deputy Vice-Chancellor (Academic), who will discuss any recommendations with the Vice-Chancellor.
- The University will give serious consideration to a panel's recommendations, implementing all those within its discretion and resources.

Approved by Senate in May 1995 and the University Council in June 1995

Overview of the Review Process

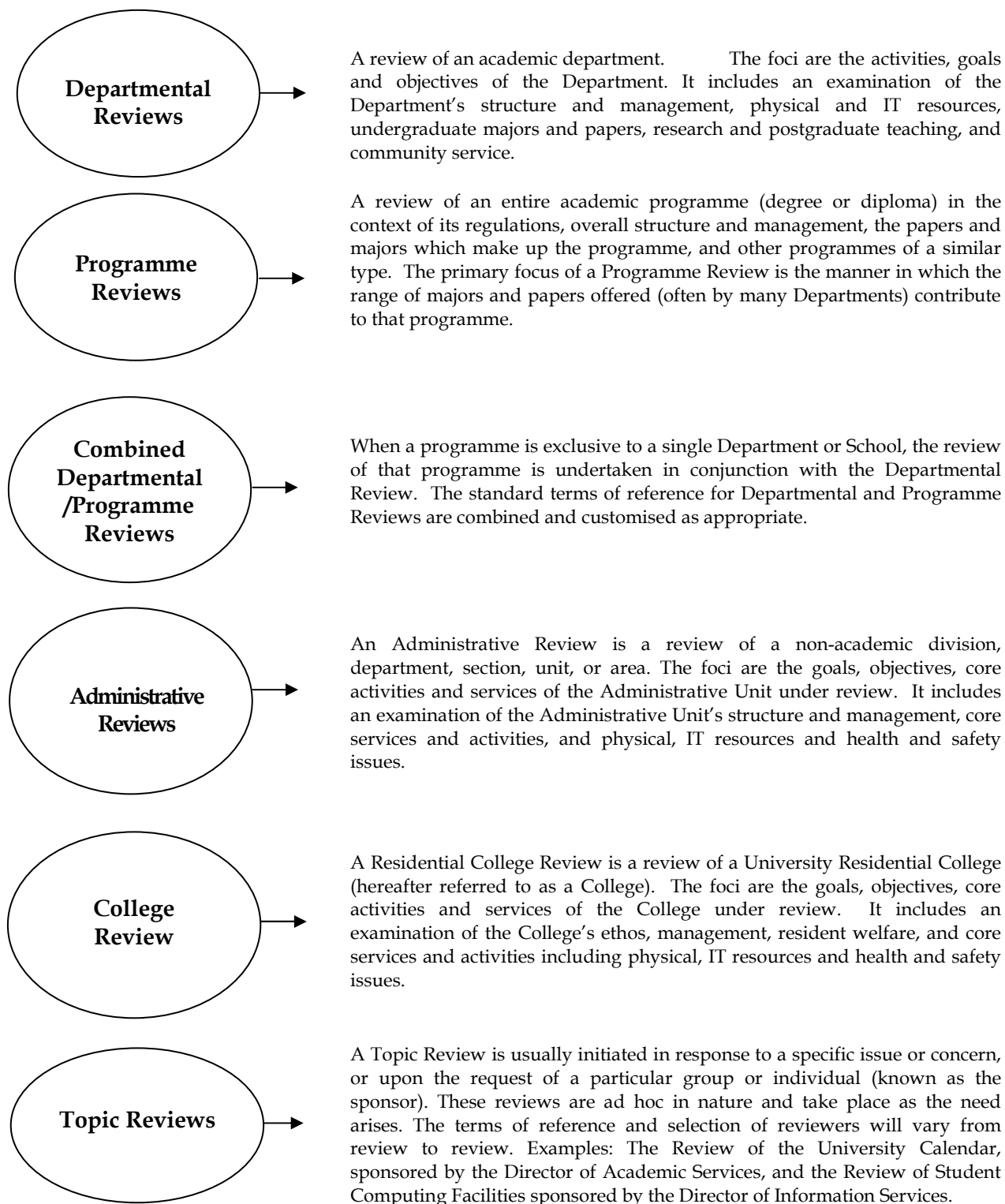


* HSD = Head of the Service Division

* PVC = Pro Vice-Chancellor

Reviews Framework

The following University of Otago Reviews Framework has been developed to outline the different review types and highlight the differences and interrelationships between them. The Reviews Framework focuses on internal processes over which the University has control, and consists of the following review types:



NB: The University is also subject to external reviews (i.e. accreditation reviews) owned by an external body, such as a professional association, and carried out by a group that is largely or entirely external to the institution (e.g.: AMC Review, Academic Audit). These external reviews are taken into account when the University formulates its review programme each year.

REVIEW PROPOSAL FORM

UNIVERSITY OF OTAGO

2010



Unit under review	
Division	
Dates of Review	
Terms of reference	Standard Amended <i>(underline as appropriate)</i>

Contacts

Self-Review Co-ordinator:	Tel: Email:
Contact person: Position:	Tel: Email:

Approval Process:

1. PVC/Chief Operating Officer/Director signature required for approval of Review details listed above and the panel members listed on page 2

Pro-Vice-Chancellor/Chief Operating Officer/Director:	Date:
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(a) Dean's signature required for approval if applicable.

Dean:	Date:
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2. Return a hard copy of this 2 page form, signed by the Pro-Vice-Chancellor/COO/Director to the Quality Advancement unit, who will forward it to the Deputy Vice-Chancellor (A & I) for signing.

3. Email the electronic version in Word to annabel.rutherford@otago.ac.nz (for QAU administrative purposes)

Final Approval: QAU to obtain

Deputy Vice-Chancellor (A&I):	Date:
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Review Panel Members: Please ensure all details are completed
 If the Review does not require all positions listed below, please indicate by N/A in the Title/Name
 box.

Position	Title and Name	Full Postal Address	Contact Details
Convenor			Tel: Email:
Overseas Rep 1			Tel: Email: Courier:
External NZ 1			Tel: Email: Courier:
External NZ 2			Tel: Email: Courier:
Internal Otago 1	Manager:		Tel: Email:
Internal Otago 2	Manager:		Tel: Email:
Graduate/Senior Student Rep:			Tel: Email:
Review Secretary	To be appointed by QAU		Tel: Email:

Additional Notes: e.g. disclosure of conflict of interests

Administrative Reviews

Framework and Terms of Reference

(Revised June 2009)



Framework

Administrative Units are encouraged to see a review as an opportunity to critically analyse their goals and objectives and to receive affirmation that their plans will have long term benefits to their staff and the wider University community. The key part of the review is the Unit's self review in which the following questions need to be addressed in light of terms of reference below:

- What is the current situation of the Unit?
- Where does the Unit want to be in 5 years' time?
- What does the Unit need to do to get there?
- What can the University do to support the Unit to achieve this goal?
- What does the Unit do well?

The purpose is to review and evaluate the Unit with reference to:

- its core activities as appropriate (to be determined for each individual unit)
- the Unit's administration, operational processes, support structures for staff and students, including adequate space, facilities and resources both within the Unit and through other central areas of the University, such as the Library
- the Unit's internal, regional, national and international contexts – including alignment to Divisional and University plans;
- the Unit's commitment to the Treaty of Waitangi as expressed in the University's Māori Strategic Framework;
- the Unit's future direction, strategic planning and goals and challenges in achieving those.

Terms of Reference

In relation to the core activities of the Unit, to review and evaluate:

- the range and scope of the Unit's services and activities with reference to its internal, regional, national and international contexts, and the continuing relevance of these activities;
- the identification of key stakeholders (including internal and external clients), the services and activities provided to meet their needs, including the provision of appropriate information and materials;
- the processes and procedures for monitoring, and where necessary improving, the quality of services and activities offered to clients
- the processes and procedures for introducing, revising, resourcing and rationalising services and activities undertaken by the Unit to ensure effective and efficient use of

resources, including plans for new services and activities or improvements to existing services;

- the processes and procedures for considering the Unit's services and activities with reference to its internal, region, and national context;

In relation to administration and operational processes, to review and evaluate the standard (quality, appropriateness, effectiveness and efficiency) in the Unit of:

- structure and management – including institutional oversight, committee structure, leadership in regard to developing and maintaining the professional standing and reputation of the Unit, ensuring employee capability;
- monitoring and evaluation – including consultation and liaison with staff, students and other members of the University and wider community, incorporating feedback into planning, core activities and operations, identifying and making improvements to the core activities;
- physical and IT resources;
- Health and Safety.

In relation to planning, to review and evaluate:

- planning – including identifying, considering and responding to problems and challenges, and alignment to Divisional and University strategic plans;
- the Unit's commitment to the Treaty of Waitangi as expressed in the University's Māori Strategic Framework.

Any other aspect of the Unit considered appropriate by the Review Panel.

Framework

Administrative Units are encouraged to see a review as an opportunity to critically analyse their goals and objectives and to receive affirmation that their plans will have long term benefits to their staff, the students and the wider University community. The key part of the review is the Unit's self review in which the following questions need to be addressed in light of terms of reference below:

- What is the current situation of the Unit?
- Where does the Unit want to be in 5 years' time?
- What does the Unit need to do to get there?
- What can the University do to support the Unit to achieve this goal?
- What does the Unit do well and what could it do better?

The purpose is to review and evaluate the Unit with reference to:

- its core activities as appropriate (to be determined for each individual unit)
- the Unit's administration, operational processes, support structures for staff and students, including adequate space, facilities and resources both within the Unit and the Student Services Division and through other central areas of the University;
- the Unit's internal, regional, national and international contexts – including alignment to and implementation of the Division's Mission/Vision/Values, Goals and Objectives and University Strategic documents;
- the Unit's commitment to the Treaty of Waitangi as expressed in the University's Māori Strategic Framework;
- the Unit's future direction, strategic planning and goals and challenges in achieving those.

Terms of Reference

In relation to the core activities of the Unit, to review and evaluate:

- the range and scope of the Unit's services and activities with reference to its internal, regional, national and international contexts, and the continuing relevance of these activities;
- the identification of key stakeholders (including internal and external clients), the services and activities provided to meet their needs, including the provision of appropriate information and materials;
- the processes and procedures for monitoring, and where necessary improving, the quality of services and activities offered to clients
- the processes and procedures for introducing, revising, resourcing and rationalising services and activities undertaken by the Unit to ensure effective and efficient use of resources, including plans for new services and activities or improvements to existing services;

- the processes and procedures for considering the Unit's services and activities with reference to its internal, region, and national context;

In relation to Student Welfare and Support, to review and evaluate the standard (quality, appropriateness, effectiveness and efficiency) in the Unit of:

- provision of guidance and advice to students, including pastoral care and support;
- identifying and addressing problems raised by students;
- responsiveness to students with special needs;
- responsiveness to students from different cultures;
- responding to the University's Code of Conduct;
- provision and use of information technology services.

In relation to administration and operational processes, to review and evaluate the standard (quality, appropriateness, effectiveness and efficiency) in the Unit of:

- structure and management – including institutional oversight, committee structure, leadership in regard to developing and maintaining the professional standing and reputation of the Unit, ensuring employee capability through mentoring, training and development, and the PDR process;
- monitoring and evaluation – including consultation and liaison with staff, students and other members of the University and wider community, incorporating feedback into planning, core activities and operations, identifying and making improvements to the core activities;
- physical and IT resources;
- Health and Safety
- budgeting and reporting.

In relation to planning, to review and evaluate:

- planning – including identifying, considering and responding to problems and challenges, and alignment to Divisional and University strategic plans;
- the Unit's commitment to the Treaty of Waitangi as expressed in the University's Māori Strategic Framework.

Any other aspect of the Unit considered appropriate by the Review Panel.

Composition of a Review Panel

The number of panel members will vary depending upon the nature, size and scope of the review. Generally the composition of a panel will include as appropriate:

Convenor	A senior staff member or Emeritus Professor of the University of Otago, from outside the Programme or Unit, with experience and expertise in regard to the Terms of Reference.
Overseas Representative	A senior university staff member or related professional group or business.
External/New Zealand Representatives (1-2)	Normally a senior staff member of a New Zealand university or similar level counterpart from a relevant area external to the University of Otago, and/or a senior member of an appropriate industry group, professional association or society.
Internal Representatives (2)	One or two staff members from the University of Otago.
Graduate/Student Representative (Topic reviews only, if appropriate)	A recent graduate or senior student
Review Secretary	Either the Quality Advancement Unit's permanent Review Secretary or an appropriately experienced University of Otago General Staff member from outside the unit under review. This person will be appointed by the Reviews Coordinator, Quality Advancement Unit.
Contact Person	A member of the Department or Unit who has knowledge of the Review and who is the first point of contact for the Panel via the Review Secretary.

UNIVERSITY OF OTAGO: INTERNAL REVIEWS

Information for Prospective Panellists



This flyer outlines the role of reviews within the University and the responsibilities of panel members in a review. It is intended to help you make an informed decision about whether to take on this role. If you choose to accept the role, you will receive an official letter of invitation together with the Review Guidelines and other necessary documents. You should make yourself familiar with the contents and discuss anything you are unsure of with the Convenor or the Review Secretary. The Review Secretary will be your main point of contact for the Review and will send you any necessary information.

The Role of Reviews

The primary purpose of the internal review process is to ensure top quality academic and administrative services across the University and to effect on-going improvement in all University activities. To this end, each aspect of the University's operations is reviewed once every five to seven years on a rolling schedule. The review process is managed by the Quality Advancement Unit under the overall direction of the Deputy Vice-Chancellor (Academic & International).

The Review

The review is an in-depth peer assessment conducted by a panel of senior members of the University of Otago, experts from other universities in New Zealand and overseas and members of relevant employer and professional groups as appropriate. The Panel is selected by the Unit under review and approved by the Head of Division, the Quality Advancement Unit and the Deputy Vice Chancellor (Academic & International).

The process begins with a Self-Review written by the Unit under review. The review is then advertised and stakeholders are invited to make oral and written submissions. Standard but amendable "Terms of Reference" give context, focus and consistency to all aspects of the Review Panels' investigations.

The review itself is usually held over three days. The Panel submit the final report to the Deputy Vice-Chancellor (Academic & International) 6–8 weeks after the review. When

released by the Deputy Vice-Chancellor, the Report becomes a public document within the University.

The Commitment Required

Prior to the review visit you are expected to read the review documents (self-review report is usually sent out at least 4 weeks prior to the review). For the review visit itself, you may be expected to attend a pre-review dinner on the evening before the scheduled review and you will be expected to stay through to the end of the review.

Your involvement in drafting of the report may continue for several weeks after the review until the final review report is submitted to the University.

Confidentiality

All aspects of the review process are confidential to the Review Panel. The final and “released” report is the only aspect of the review that is available to interested parties. This confidentiality is critical to the integrity of the process and is strictly upheld.

Costs

All costs related to the review visit (flights, taxi, accommodation, meals, etc) will be covered by the University of Otago (within the "moderate/reasonable" limits of new travel policy).

If you have any questions please contact us at the Quality Advancement Unit:

Megan Wilson, Reviews and Projects Co-ordinator, Tel: 03 479 6528 m.wilson@otago.ac.nz

Annabel Rutherford, Reviews' Secretary, Tel: 03 479 8432 annabel.rutherford@otago.ac.nz

Chriss Hamilton, Review Secretary, Tel: 03 479 8861 chriss.hamilton@otago.ac.nz

www.otago.ac.nz/quality/reviews

UNIVERSITY OF OTAGO: INTERNAL REVIEWS

Information for prospective Student/Graduate Panellists



This flyer outlines the place of a review within the University and the role of the Student/Graduate representative on a review panel. It is intended to help you make an informed decision about whether to take on this role.

The Quality Advancement Unit co-ordinates the University's ongoing cycle of internal academic and administrative reviews. Further information can be found at www.otago.ac.nz/quality. You can also contact the Quality Advancement Unit (see below for details).

Why do we have reviews?

The term 'quality' has generally come to mean that the University can reach the goals that it has set itself as an institution; that it not only says that it provides high levels of expertise and commitment to its stakeholders, but that it can also prove it and that, where necessary, processes will be put in place to address weaknesses via improvement initiatives.

This process ensures that students receive a qualification that stands up both nationally and internationally and that standards are maintained and improved. It also allows staff and students the opportunity to voice their aspirations and concerns to an impartial panel.

The role of the student/graduate representative

You can find out about the usual composition of review panels in the Review Guidelines for Panel Members at www.otago.ac.nz/quality. Panels consist of senior members of the University of Otago and experts from other universities in New Zealand and overseas. The student/graduate panel member brings a different perspective to the review than other panel members. They are often the only panel member with an intimate knowledge of the unit being reviewed and are in a position to draw on those experiences and those of their peers.

If you choose to accept the role, as a panel member you will be expected to read documentation prior to the review, participate in the review visit and contribute to the final review report.

“Don’t underestimate your value on a review panel! I was quite worried going into the review....surrounded by extremely experienced academics. But belonging to the department under review gives you a lot of insight. Don’t be afraid to speak up. And enjoy yourself!”

Professional development

- You will be working with specialists in your field from New Zealand and overseas and you will have excellent networking opportunities!
- You will be able to include in your CV the fact that you have participated in a formal University committee.
- Being a review panel member is an excellent opportunity for you to find out more about the University and how it works.

“It was a really good time to do some networking...the external reps were both highly regarded scholars in my field and I now feel confident asking them for advice on my research.”

“Being involved in the review process was probably the single most useful exercise for understanding how the University works that I have ever had. It was enormously enlightening.....I think it is important for a student to be there.”

The Review process

1. The self-review report

If you choose to accept the role, you will receive an official letter of invitation together with the Review Guidelines and other necessary documents. The first stage in the actual review process begins about six weeks before the review visit when you receive the self-review report written by staff of the unit being reviewed. The self-review report contains information that students would not normally encounter during their university experience. You should make yourself familiar with the contents and discuss anything you are unsure of with either the Review Secretary or the Convenor.

The Review Secretary will be your main point of contact for the Review and will send you any necessary information.

All material relating to the review is confidential to the review panel.

2. Submissions

The Review is advertised and stakeholders are invited to make oral and written submissions. Be aware that you will be privy to highly confidential discussions and documents – at times these can be controversial and of a sensitive nature.

3. The Review Visit

The review is normally held over three days with two days of meetings and the third day reserved for discussion of findings and initial drafting of the report. You will be expected to be present throughout the three days and be prepared for relatively long days! Meetings can be with individuals or groups, with University staff members at all levels, undergraduates, postgraduates or with people outside of the University. Some people ask to meet with the Panel and others are people who have been identified by the Panel as someone they would like to talk to. The Panel also makes a presentation of findings to the Head of the unit being reviewed and staff, as appropriate.

“Be informed and prepared as possible...and to not hang back with questions.”

4. After the review

Reports are expected to be submitted to the Deputy Vice-Chancellor (Academic & International) 6 – 8 weeks after the review has taken place. Generally, panel members are asked to contribute to the draft report and the Convenor will collate and edit, seeking final approval from the panel before submitting. Be prepared to spend time after the review visit, reading and commenting on the draft report.

“Soak it all up. It is a good experience.”

If you have any questions please contact us at the Quality Advancement Unit:

Megan Wilson, Reviews and Projects Co-Ordinator, Tel: 479 6528 m.wilson@otago.ac.nz

Annabel Rutherford, Reviews' Secretary, Tel: 479 8432 annabel.rutherford@otago.ac.nz

Duties of a Review Convenor

The duties of the Convenor include:

- meeting with the Pro-Vice-Chancellor and the Head of the Unit, together or individually, to discuss issues in the early stages of the review process;
- co-ordinating requests for information additional to the Self Review documentation and forwarding these to the Pro-Vice-Chancellor Head for action, or delegating to the Head of the Unit;
- formally inviting staff and students to meet with the Review Panel as per the Visit Programme via the Review Secretary;
- submitting the Report to the Deputy Vice-Chancellor (Academic & International) within a reasonable time frame (generally 6 - 8 weeks after the Review visit);
- meeting with the Deputy Vice-Chancellor (Academic & International) and the sponsoring Pro-Vice-Chancellor to discuss the Review findings following submission of the Review Report;

The Convenor may also request the Deputy Vice-Chancellor (Academic & International) to augment the Review Panel by the appointment of an additional member should it become clear that this step is necessary to ensure a thorough review of the Unit.

Role of Review Panel Members

Review Panel Members have responsibility for

- where appropriate, conducting themselves throughout the Review as independently representing their profession rather than their University or Employer;
- familiarising themselves with the Self-Review documentation, and Review Guidelines in preparation for the Review Visit;
- providing feedback on drafts of the Review Report, and assisting with its writing as required;
- endorsing the final Review Report before its submission to the Deputy Vice-Chancellor (Academic & International);

Role of the Deputy Vice-Chancellor (Academic & International)

Specific responsibilities of the Deputy Vice-Chancellor (Academic & International) include:

- approving the Review Proposal (see section 2.1);
- issuing official letters of invitation to members of the Review Panel;
- sending out official letters of thanks to members of the Review Panel on receipt of the Review Panel Report;
- discussing the outcomes of the Review with the Vice-Chancellor. Note: In some cases it may be more appropriate for the Pro-Vice-Chancellor to meet directly with the Vice-Chancellor;
- discussing the Review findings with the Review Panel Convenor and Pro-Vice-Chancellor
- authorising the release of the Review Report;
- reporting, where appropriate, key findings of the Review to various University Committees and individuals;
- requesting two Status Reports on progress towards meeting implementation targets from the Pro-Vice-Chancellor; six months following the official release of the Review Report, and then two years after that same date;
- responding to the Status Reports in consultation with the Vice-Chancellor as appropriate.

Role of the Head of Service Division

Pre-Review

- Ensuring that Heads of Units within the Operations Division are advised of when their review is scheduled well in advance
- confirming the availability of Review Panel members in consultation with the Head of the Operation Unit before submitting the Review Proposal to the Deputy Vice-Chancellor (Academic & International) who will issue the formal letters of invitation
- submitting the completed Review Proposal form to the Deputy Vice-Chancellor (Academic & International)
- delegating the responsibility of preparing the Self-Review material to the appropriate person or body
- ensuring that the Head of the Operation Unit and Self Review Co-ordinator have copies of the Review Guidelines and list of Review Panel Members
- ensuring that the Self-Review documentation is forwarded to the Review Panel
- consulting with the Review Convenor over the preparation of the Review's Visit Programme

Post-Review

- discussing the Review Report with the Review Convenor and Deputy Vice-Chancellor (Academic & International)
- ensuring the appropriate dissemination of the Review Report within the relevant unit
- in consultation with the Head of the Operation Unit, preparing an implementation plan based on the recommendations of the Review Report
- in consultation with the Head of the Operation Unit, documenting progress towards implementation of the recommendations made in the Review Report
- in consultation with the Head of the Operation Unit, preparing Status Reports at 6 months and 2 years for submission to the Deputy Vice-Chancellor (Academic & International)

Role of the University Quality Advancement Unit

The Reviews Co-ordinator, University Quality Advancement Unit, is responsible for the management and monitoring of the Review process.

Responsibilities are to

- notify and liaise with Pro-Vice-Chancellors about the Review Schedule;
- provide information and guidance to University staff on all aspects of the Review process;
- draft letters, prepare reports and provide advice to the Deputy Vice-Chancellor (Academic & International) on all aspects of the Review Process;
- maintain the Reviews Web Page on the Quality Advancement Web Site from which information and documents relating to the Review Process may be read and downloaded;
- follow up on all aspects of the Review process as required.

Supporting Documentation for Review Panel

Suggested Documents²

- Copies of the Divisional Plan, Administrative Unit Plan and any other relevant planning documents
- Copies of Administrative Unit annual reports since the last review period if existing
- Details of annual recurring expenditure for the past two years and the budget for the current year, together with information on accommodation, equipment and facilities, and information technology services
- Information relating to the distribution of administrative responsibilities, together with appropriate diagrams, charts or descriptions of the Administrative Unit's organisational structure.
- Information relating to staff, *e.g.*: number of staff, present members (names, age profiles, levels, areas of responsibility – biosketches with photographs)
- Information on professional, consultancy and community service contributions by staff
- Information on staff training and development initiatives and associated procedures
- Copies of promotional material
- Copy of a recent report from the Health and Safety Officer and other relevant health and safety information and copy of Security Audit from the Deputy Proctor.
- Copies of survey results or evidence of stakeholder consultation.

Supplementary Documents

The following supplementary documents may also be requested by the Review Panel, or provided as part of the initial supporting documents if appropriate:

- Information relating to intra-university, national and international activities
- Evidence of participation in international benchmarking of any Administrative Unit activities
- Copies of performance indicators.

² Access to Official University documents *e.g.* University Charter, Strategic Directions is provided by QAU.

Quality Advancement Report Distribution

General Information

Upon authorisation for release by the Deputy Vice-Chancellor (A & I), a Review Report is a public document within the University and will be distributed by the Quality Advancement Unit as below. Notice of release will be placed in the Staff Bulletin and on the QAU Website. Further distribution by those receiving Reports from QAU is expected. Released Reports can be requested from the Quality Advancement Unit by any staff at any time. Permission must be obtained from the Deputy Vice-Chancellor (A & I) to circulate a Review Report outside the University.

Standard Distribution: Two Part Process

Review Reports will be released in two separate distributions, the Initial Distribution and the General Distribution, to ensure that parties directly involved receive the Report prior to circulation University-wide.

Initial Distribution:

Upon release by the DVC, hard copies of the Review Report will be sent to the Head of the Unit reviewed, their Divisional Head (and Dean or other Director where applicable) and members of the Review Panel. It is the responsibility of those Department, Unit and Divisional Heads to distribute the Report to relevant staff within their section. (An unbound copy will be sent to facilitate reproduction and an electronic version will be available upon request.) The Initial Distribution list will be approved by the DVC, PVC and Convenor prior to release.

General Distribution:

One week following the Initial Distribution, the Report will be distributed electronically to the wider University community. This General Distribution will be by email from QAU (with the Report as a pdf attachment) to the “General Distribution List” below. This list cuts across the University at top levels seeking to disseminate the Report as broadly, equitably and efficiently as possible. It is the responsibility of each recipient to further distribute the Report to staff within their area as appropriate.

Further Information

For further information please contact [Megan Wilson](#), QAU Reviews Co-ordinator.

Budgetary Requirements

(with the exception of reviews for the Student Services Division)

Introduction

In June 2008, the DVCs/PVCs Group decided that reviews within the Humanities, Sciences, Health Sciences, Commerce and Academic Divisions would be centrally funded by their respective divisions (rather than the departments) using a per-review fixed rate, with all costs being centrally administered by the Quality Advancement Unit.³

Exclusions

Excluded from the central funding are:

- (1) the costs of preparing and printing the self-review (for all members of the panel), which are to be paid for by the department; and
- (2) the services of Quality Advancement's permanent review secretaries, which are provided by Quality Advancement (outside the divisional contributions).

2011 Rate & Use

The 2011 per-review fixed rate and divisional contribution is \$10,700.

Panel selection is of particular importance, as air travel and panel size are the most significant factors of overall review costs. Quality Advancement will monitor expenses and advise departments and secretaries if budget limits are being approached. *Significant* over-expenditure, however, may need to be paid by the department.

³ All reviews within this scheme will be conducted in the same manner regardless of physical location. As such, reviews at Christchurch (UOC) and Wellington (UOW) will be financially administered by QAU in Dunedin. Please note that UOC and UOW have permanent review secretaries who will be used whenever possible and whose services are subsidised by QAU.

Resources and Key Contacts List

Review Guidelines and Processes

Student/Graduate Opinion Surveys; Course Experience Questionnaire (CEQ)

**For enquiries and clarification of Review Processes*

**Refer also to www.otago.ac.nz/quality/*

University Quality Advancement

Megan Wilson (Reviews)	ext 6528	m.wilson@otago.ac.nz
Romain Miroso (Surveys)	ext 8726	romain.miroso@otago.ac.nz
KC Worden (General Enquiries)	ext 5784	kc.worden@otago.ac.nz

Planning and Funding Office

The Planning and Funding Office facilitates planning within the University, and meets the University's key obligations in reporting information to government agencies for planning, funding and statistical purposes. The office is a useful first point of contact for general information on the University.

**Key roles include:*

- Providing a planning framework and support for the University.
- Preparing key corporate documents for the University community.
- Dealing with external government agencies in regards to policy and operational matters.
- Providing EFTS enrolment, other statistical information and analysis for the University community.

**Key services include:*

- Providing a range of EFTS based data (and some headcount information)
- Providing EFTS funding advice.
- Providing general University statistics.

Planning and Funding Contact Details

Andrea Howard:	ext 5260	andrea.howard@otago.ac.nz
Naomi Weaver	ext 4955	naomi.weaver@otago.ac.nz

Academic Services Project Office

The Academic Services Project Office is the home of Datamart. Datamart is a very large collection of registration or enrolment data about individual student registrations from 1994 to the current year. It is automatically updated nightly and is structured to facilitate flexible reporting. Statistical information can be split in many ways, e.g. programmes and combinations of programmes (including majors and minors), papers; student analysis by age, gender, ethnicity, and more. Departments are welcome to get in touch if any information that falls within the above capabilities is required.

Project Office Contact Details

Marj Wright:	ext 5692	marj.wright@otago.ac.nz
Tracey Neville:	ext 4126	tracey.neville@otago.ac.nz

Publications/Outputs Office

The Publications/Outputs Office collects and records research outputs to showcase the University's achievements and provide relevant and timely information for a variety of essential reporting requirements such as annual reports, department reviews, accreditation requirements, funding applications.

Citation lists and statistics in various styles and for various time periods can be provided by the Publications/Outputs Office for use in departmental reviews and accreditation processes. Please contact the Publications/Outputs Office with your specific requirements.

The publications/outputs are also available for viewing at
<http://www.otago.ac.nz/researchpublications/>

For information about publications/ outputs see:
<http://www.otago.ac.nz/research/otago005115.html>

Publications/Outputs Office Contact Details

Publications/Outputs Office:

Caryn Nash: ext 8340

Raewyn Crump: ext 3783

Donna Hendry: ext 5391

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Health & Safety

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Proctor's Office

Andrew Ferguson

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