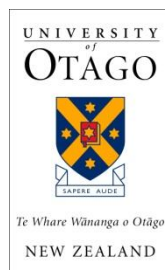


Handbook for Review Convenors

Servicing Internal Reviews:

- ◆ Departmental
- ◆ Programme
- ◆ Administrative or Topic
- ◆ Operations Group
- ◆ Residential Colleges
- ◆ Student Services

Updated January 2012



CONTENTS

	PAGE
Introduction	1
Prime Function of Review Convenors	2
Key Responsibilities of Review Convenors	3
Functional Relationships of Review Convenors	5
Appendix A (Sample Time-Line/Critical Path for Review Process).....	6
Appendix B (Overview and sample timeline for review preparation).....	9
Appendix C (Sample Visit Programme)	10
Appendix D (Register of Review Convenors 2009)	12
Appendix E (Resources and Key Contact List).....	13

INTRODUCTION

The University of Otago has instituted a rolling programme of formal reviews of its departments, programmes, administrative processes, residential colleges, student services and operations, to effect improvement in teaching, research, and out-reach activities. A Review is conducted by a Panel consisting of members both internal and external to the University. Traditionally, Departments within the University have volunteered the time of staff members to service reviews, and staff recruited to fill the Convenors role have regarded the responsibility as an opportunity to widen their knowledge and understanding of the University, and to further their own professional development. Although the role is a demanding one, most staff who have been Convenors to Reviews, have found the experience to be thoroughly rewarding.

This handbook has been developed to guide Review Convenors, especially those who are new or unfamiliar to the role, through the administrative responsibilities involved in convening a Review. It is a companion to the Review Guidelines. The Quality Advancement Website (www.otago.ac.nz/quality/reviews) provides additional Review information, including current review guidelines, review proposal forms and standard Terms of Reference. The webpage also provides a schedule of forthcoming reviews, a schedule of past reviews and a list of past convenors. Information specific to convenors can be found at <http://www.otago.ac.nz/quality/reviews/convenors.html>.

This handbook is intended as a general guide only. There are some variances in the duties of convenors, depending on the type of review being convened, but the principles are the same.

If you have any questions about your role or the review process in general, please contact Megan Wilson, Reviews Coordinator, m.wilson@otago.ac.nz ext 6528, at the Quality Advancement Unit.

1. Prime Function of Review Convenors

- The Convenor is the main point of contact between members of the Review Panel and the Pro-Vice-Chancellor or Head of the Service Division;
- The Convenor must coordinate the drafting of the Review Panel Report and ensure the final Report is endorsed by the Review Panel before submission.
- The Convenor must ensure that the members of the Review Panel are aware of the Review process and understand the confidentiality of the Panel until the Report is authorised for release by the Vice-Chancellor.

2. Key Responsibilities of Review Convenors

The Convenor has responsibility for:

Preliminary Duties

- Meeting with the Pro-Vice-Chancellor / Head of the Service Division / Director and the Head of the Unit, together or individually, to discuss issues in the early stages of the review process;
- Meeting informally with the staff of the Unit to be reviewed before the Panel convenes to discuss the review process and any concerns that the staff may have;
- Convening any preliminary planning meetings or discussions with the Review Panel members in order to discuss key issues arising from the Self Review Report and to clarify the role and contribution of individual Panel members in relation to the Review (i.e. responsibility for a particular heading within the Terms of Reference, lines of questioning in the Review Visit, and drafting blocks of text for the Review Report);
- Co-ordinating requests for information additional to the Self Review documentation and in consultation with the Secretary forwarding these to the Pro-Vice-Chancellor / Head of the Service Division / Director for actioning, or delegating to the Head of the Unit;
- Consulting with the Review Secretary on the placement of review advertisement in publications (other than the Staff Bulletin), consulting with the Head of the Unit as appropriate;
- Preparing the Visit Programme in consultation with the Review Secretary;
- Formally inviting staff and students to meet with the Review Panel as per the Visit Programme via the Review Secretary;
- Advising members of the Review Panel on the protocols relating to the treatment of any personal or commercially sensitive review material;
- 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.

Review Panel Visit

- Ensure that no Panel Members dominate questioning, or puts forward a good practice procedure & practice in his/her own Department/University;
- Ensuring that confidentiality of submissions is maintained;
- Ensuring that the programme of meetings keeps to time;
- Have verbal feedback session on final day of the Review;

- Make sure that all the major recommendations are agreed upon before the end of the visit.

Review Report

- QAU have a template for the report should you require it and this can be found on our web site.
- Ensuring that all of the Terms of Reference are covered notwithstanding the fact that some issues will require more investigation than others;
- Co-ordinating or writing the draft of the Review Panel Report, in consultation with the Panel members;
- Use commendations as well as recommendations and identify areas of good practice that may benefit the wider University.
- Overseeing how the Review Report is written and ensuring that is a coherent document, regardless of who wrote individual sections;
- Ensuring that confidentiality of submissions is maintained in the report. All written and oral submissions to the Panel must remain confidential to the Panel. This includes the submissions and names of those who have made submissions and should not be listed in the report. These submissions will not be attributed or connected to any individual or source in the final report. A brief paragraph could be included, stating how the Review was advertised, the number of written submissions received and the number of students and staff the Panel met with.
- The Review visit programme should also remain confidential and should not be listed as an appendices other than a generic version.
- Sending a draft of the Review Report to the Head of the Unit to ensure accuracy of data;
- Ensuring the final Report is endorsed by the Review Panel as a group before submission to the Deputy Vice-Chancellor (Academic & International);
- Submitting the Report to the Deputy Vice-Chancellor (Academic & International) within 6-8 weeks of the Review visit;
- Meeting with the Deputy Vice-Chancellor (Academic & International) and the sponsoring Pro-Vice-Chancellor / Head of the Service Division to discuss the Review findings following submission of the Review Report;
- Making any changes that may be required to the Review Report before public release of the document is authorised.
- 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.

Not all review reports are received favourably by all staff in the unit under review. Should any subsequent issues arise following either the preliminary presentation or the release of the report, that are uncomfortable for the Convenor, the Convenor should contact the Quality Advancement Unit.

3. Functional Relationships of Review Convenors

- The Review Secretary and other members of the Review Panel
- Academic and General Staff of the Department/Programme/Administrative Unit being reviewed
- External stakeholders if appropriate

Sample Timeline for Review Process/Critical Path

The following is a timeline that was developed for a Department Review and offers a one method of organising time and tasks in preparation for the Review. The Timeline is valuable in showing the overlap of tasks. As discussed, Review Convenors will have to judge how best to use these guidelines in accordance with the individual demands/nature of the Review they are convening.

The timeline below was initiated by receipt of the official letter of appointment and slots all the required tasks into the weeks leading up to the Review.

<p>1. Preliminary Paperwork</p> <ul style="list-style-type: none"> • Official letter of appointment as Convenor to the Review Panel received from the Deputy Vice-Chancellor (Academic & International). The following documents were enclosed: list of names and contact details for members of the Review Panel, Terms of Reference of the Review, a copy of the Review Guidelines. • Review Secretary will contact you to arrange a meeting. 	
<p>2. First meeting with the Review Secretary</p> <ul style="list-style-type: none"> • Have first meeting with the Review Secretary to discuss preliminary issues such as review venue; review process and schedule, meeting with Head of Dept, tasks and duties of Secretary before, during and after the review; pre-review dinner venue. 	<ul style="list-style-type: none"> • Preferably within two weeks of official invitation being received or at least 3 months prior to review
<p>3. Introduce yourself to the Panel Members</p> <ul style="list-style-type: none"> • Send an introductory letter/email to panel members initiating contact and arrangements for the Review; letter could cover the following matters: <ul style="list-style-type: none"> - Review process: ask panel members to indicate which of the major headings from the Terms of Reference they would like to take particular responsibility for, if appropriate, with regard to lines of questioning and drafting of blocks of text; advise the responsibilities of the Convenor and Secretary; scheduling of planning meetings for Dunedin-based Panel Members, if required. <p>(Secretary to send their own introductory email to Panel members)</p>	<ul style="list-style-type: none"> • After meeting with Secretary • Note: it may be helpful to talk to the student/graduate rep to ensure that they understand their role and what is required of them.
<p>4. Meet with PVC/Dean/Director/Department Staff</p> <ul style="list-style-type: none"> • It may be beneficial to meet with the PVC/Dean/Director prior to the review to discuss issues at an early stage • Convenor to meet with Head of the Department being reviewed to discuss general matters relating to the review process. Review Secretary 	<ul style="list-style-type: none"> • Preferably six weeks before the Review

<p>to attend. (An additional informal meeting with other Department staff may also be appropriate, at a regular staff meeting for example, just as an introduction and to reassure them of the process).</p> <ul style="list-style-type: none"> • Head of Department asked to provide list of names and contact details for people the panel might invite to make submissions. List to be provided to Secretary – <i>the Secretary may find it helpful to have this information at the earliest opportunity.</i> • Head of Department asked to advise whether there is a need to place an advertisement in any publications other than the Staff Bulletin. • Confirm that Self-review is ready for dispatch to the Review Secretary (if not already received). 	
<p>5. Submissions list and advertising the Review</p> <ul style="list-style-type: none"> • Discuss the proposed submission list provided by the Head of Department with the Review Secretary. Do you wish to invite all the people suggested by the Head of Department to make a submission? Oral or Written? Are there any obvious gaps? • In consultation with the Review Secretary finalise the list of people to invite to make a written submission to the Review Panel. • Secretary to organise advertising of the Review and sending out letters/emails. • Identify key people for the Panel to meet with so that the Secretary can book them in early. 	<ul style="list-style-type: none"> • Commence six weeks before the review complete no later than 4 weeks before the review. Submissions deadline should be 2 – 3 weeks prior to the review.
<p>6. Distribution of the Self-Review document</p> <ul style="list-style-type: none"> • Secretary to circulate Self Review and Supporting documents to Review Panel members. 	<ul style="list-style-type: none"> • Preferably six weeks before the Review
<p>7. First planning meeting, if required</p> <ul style="list-style-type: none"> • for Dunedin-based panel members 	<ul style="list-style-type: none"> • After the Self-Review has been received
<p>8. Visit Programme</p> <ul style="list-style-type: none"> • Discuss draft Visit Programme with Secretary; who might be invited, any particular order, individual or group meetings? Student groups? 	<ul style="list-style-type: none"> • One month before the Review

<p>9. Written submissions circulated</p> <ul style="list-style-type: none"> • Review Secretary circulates submissions received 	<ul style="list-style-type: none"> • Two weeks before the Review
<p>10. Second planning meeting if required</p>	<ul style="list-style-type: none"> • Two weeks before the Review
<p>11. Finalise Review Visit Programme</p> <ul style="list-style-type: none"> • Secretary to circulate to Panel members 	<ul style="list-style-type: none"> • One week before the Review
<ul style="list-style-type: none"> • REVIEW WEEK 	
<ul style="list-style-type: none"> • Post Review: • Confirm report writing process and time-frame with the Panel • Oversee writing of the report • Ensure final approval of all Panel Members prior to submitting the report to the DVC (Academic & International) 	<ul style="list-style-type: none"> • Final report to be submitted within 6 – 8 weeks after the Review

Overview and sample timeline for review preparation

Week	Requirement	Checklist number
	Receive official letter from DVC (Academic & International) Review Secretary will contact you to arrange a meeting	1
As soon as possible or at least 3 months prior	Meet with the Review Secretary Arrange with the Secretary to meet with unit being reviewed Introduce yourself to panel members	2 2 3
Six weeks before the Review.	Meet with Dept/Programme/Unit Head – obtain list of people to invite submissions from Review advertised Self-Review material distributed Planning meeting for Dunedin based panel members if required	4 5 6 7
Commence at least four weeks before.	Prepare visit programme	8
Two weeks before.	Written submissions circulated Planning meeting if required	9 10
One week before	Finalise Review visit programme	11
Post-Review	Oversee writing of report	

Sample Visit Programme - Departmental Review

A Visit Programme for a departmental review may look something like the following model:

Note that this will vary depending on the type of review and number of interviews. Interviews would normally run for 20 mins, allowing a full half hour in the programme. HoDs/Managers may require up to 45 minutes.

Day 1 typically would involve senior staff. Day 2 may involve other staff, class reps, tutors and postgraduates, general staff. Day 3 might involve other stakeholders.

EXAMPLE

Departmental Review

Date

Venue

Sunday		Pre-review Panel Dinner 7.00pm, Venue
Monday	8.30am	Panel convene
	9.00 – 10.00am	HoD
	10.15 – 10.45am	PVC
	10.45 – 11.00am	Morning tea
	11.00 – 11.20am	Interview
	11.30 – 11.50am	Interview
	12.00 – 12.20pm	Interview
	12.30 – 1.30pm	Lunch – with student group?
	1.30 – 2.00pm	Panel time
	2.00 – 2.20pm	Interview
	2.30 – 2.50pm	Interview
	3.00 – 4.00pm	Tour of Department
	4.00 – 4.15pm	Afternoon tea
	4.15 – 4.35pm	Barry MacKay, Director, Property Services (Property Services are required to meet with Departmental Review Panels and some Administrative Panels)
		Panel debrief
		Dinner, own arrangements
Tuesday	8.30am	Panel reconvene
	9.00 – 9.20am	Interview
	9.30 – 9.50am	Interview
	10.00 – 10.20am	Interview
	10.30 – 10.45am	Morning tea
	10.45 – 11.05am	Interview
	11.15 – 11.35am	Interview
	11.45 – 12.05pm	Interview

12.15 – 12.30pm	Panel time
12.30 – 1.30pm	working lunch/with group/panel discussion (Post-graduate students/tutors?)
1.30 – 2.00pm	Panel time (if needed)
2.00 – 2.20pm	Interview
2.30 – 2.50pm	Interview
3.00 – 3.20pm	Interview
3.30 – 3.45pm	Afternoon tea
3.45 – 4.05pm	Interview
4.15 – 4.35pm	Interview
	Panel debrief
	Own arrangements for dinner

Wednesday	8.30am	Panel reconvene
	9.00 – 9.20am	Interview
	9.30 – 9.50am	Interview
	10.00 – 10.20am	Interview
	10.30 – 10.45am	Morning tea
	10.45 – 12.30pm	Call back slots/spare time
	12.30 – 3.30pm	working lunch & prepare preliminary findings
	3.30 – 4.00pm	Present preliminary findings to HoD and any Staff he/she wishes to attend
	4.00 – 5.00pm	Panel debrief, discuss next steps.

Register of Review Convenors 2011

Review	Convenor
1. Aquinas College	Emeritus Professor Gil Barbezat
2. Disability Information & Support	Professor Mark Henaghan
3. Dept. of Media, Film & Communication	
4. Dept. of Psychology	
5. Te Tumu	
6. Dept. of Economics	
7. Dept. of Geology	Professor Bob Knight
8. Te Hūka Mātauraka – the Māori Centre	Professor Nicola Peart
9. Master of International Studies Programme	Professor Lyall Hanton
10. Dept. of Microbiology & Immunology	Professor Doug Booth
11. Dept. of Music	Associate Professor Pat Langhorne
12. Postgraduate Programmes in Public Health	Emeritus Professor Carolyn Burns
13. PhD Programme	Professor Paul Roth
14. School of Surveying	Professor Geoff White
15. Toroa College	Professor David Baxter
16. Dept. of Tourism	Associate Professor Allan Blackman
17. Uniprint	Professor Barbara Brookes
18. University Information Centre	Associate Professor Donna Buckingham
	Dr Ken Deans

See the QAU website for a list of Convenors from previous years.

Resources and Key Contacts List

Review Guidelines and Processes

**For clarification of Review Processes*

*Refer also to <http://www.otago.ac.nz/quality/reviews/index.html>

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Student Charter

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University Calendar

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Calendar Editor

Admissions and Enrolment

Academic Services

Phone 03 479 8392

Employer Liaison Matters

**For enquiries*

Employee Relations Manager

Human Resources Division

Phone 03 479 8092

Student/Graduate Opinion Surveys, including Course Experience Questionnaire (CEQ)

**For clarification and explanation of data*

Quality Surveys Coordinator

Phone 03 479 8726

Health and Safety

**For enquiries*

Health and Safety Manager

Human Resources, Health and Safety

Phone 03 479 7380

University Mediator

**For confidential advice*

University Mediator

Human Resources Division

Phone 03 479 5679