University of Otago
Administrative and Topic Review

Guidelines (internal): 2021

CONTENTS

Electronic versions of this handbook and accompanying appendices are available from the
Quality Advancement Unit (QAU) website:
http://www.otago.ac.nz/quality/reviews.html

Six things you need to action

1. Select your panel members and contact them to confirm availability (see section 2 The Review Proposal).

2. Set the review dates and <u>confirm</u> with your panel members (they will need to arrive in time for a panel dinner the <u>evening before the review</u>. The Review Secretary will contact panel members to arrange travel). Consider whether any panel members will need to join by Zoom and if so, what the implications are for any time zone differences. Panel members joining by Zoom must have the appropriate working environment to ensure effective participation.

3. Confirm the Terms of Reference for the review.

4. Complete the Review Proposal form.

5. Write the Self Review document.

6. Compile a list of stakeholders who you think would be interested in the review.

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 of which you have control.

3. Start with a careful stock take.

4. Choose people you and your staff respect for the Panel.

5. Involve all staff (academic, research, technical and professional) 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 Self Review.

10. Make sure you work with the Convenor of the Panel in advance.

1   Overview

1.1   Quality Advancement Reviews Policy

http://www.otago.ac.nz/administration/policies/otago029244.html

Category	Administration and Management
Type	Policy
Approved by	Council, 13 June 1995
Date Policy Took Effect	1 July 1995
Last Approved Revision	12 August 2014
Sponsor	Deputy Vice-Chancellor (Academic)
Responsible Officer	Director, University Quality Advancement
Review Date	12 August 2019

Purpose

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 has been instituted, building on the sequence of reviews begun in 1992.

The purpose of this Policy is define the principles which underpin the University's formal reviews process.

Organisational Scope

This Policy applies University-wide.

Policy Content

(a) In the context of this Policy, 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.

(b) Each aspect of the University's operations will be reviewed at least once every 10 years on a non-negotiable no exceptions basis, with earlier interim and targeted reviews being undertaken as appropriate and the process initiated by the Deputy Vice-Chancellor (Academic) or upon the request of a particular group.

(c) 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.

(d) The starting point for any review is the preparation of self-review materials.

(e) 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.
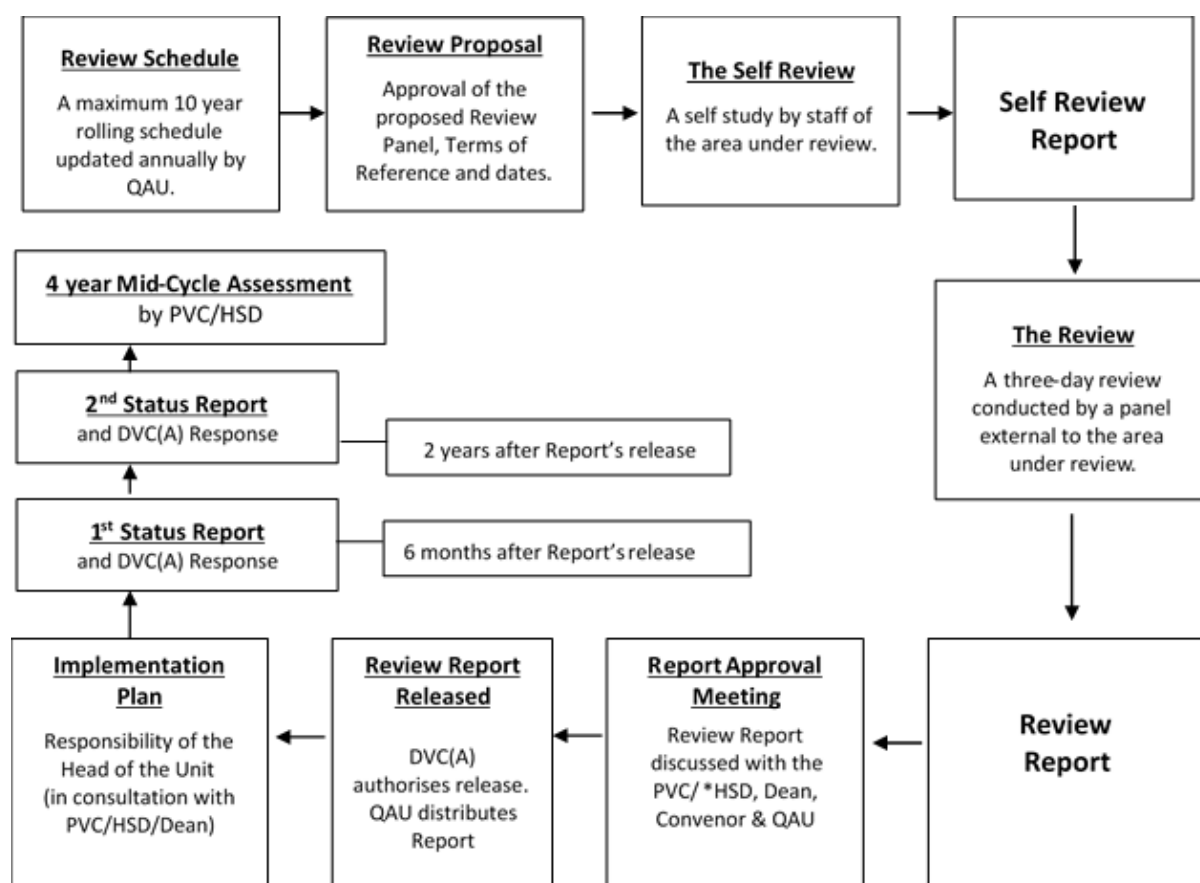
(f) Each such panel will conduct its inquiries on-campus and submit a written report to the Deputy Vice-Chancellor (Academic), who will discuss any recommendations with the Vice-Chancellor.

(g) The University will give serious consideration to a panel's recommendations, implementing all those within its discretion and resources.

Related Policies, Procedures and Forms

- Payment of Review Panel Members Policy
- Quality Advancement Reviews

1.2   Review Cycle

Review Schedule	Review Proposal	The Self Review	Self Review Report
A maximum 10 year rolling schedule updated annually by QAU.	Approval of the proposed Review Panel, Terms of Reference and dates.	A self study by staff of the area under review.	

4 year Mid-Cycle Assessment by PVC/HSD

2nd Status Report and DVC(A) Response — 2 years after Report's release

1st Status Report and DVC(A) Response — 6 months after Report's release

The Review — A three-day review conducted by a panel external to the area under review.

Implementation Plan	Review Report Released	Report Approval Meeting	Review Report
Responsibility of the Head of the Unit (in consultation with PVC/HSD/Dean)	DVC(A) authorises release. QAU distributes Report	Review Report discussed with the PVC/ *HSD, Dean, Convenor & QAU	

HSD = Head of Service Division

1.3   How are the Review Principles implemented?

The Review Principles are implemented through a variety of internal review types, over which the University has control, each with different foci and objectives. A Reviews Framework has been developed to articulate and clarify the different review types and the inter-relationships between them.

Departmental Review	• A Review of an academic department. The foci are the activities, goals and objectives of the Department. It includes an examination of the Department's Teaching and Student Support, Research, External Engagement and Organisational Resources. • Departments in the Otago Medical School that contribute to the MBChB must include the Clinical Insert with their ToR.
Programme Review	• A Review of an entire academic programme (degree or diploma) in the context of; Programme Objectives, Curriculum Design, External Engagement, and Organisational Resource. The primary focus of a Programme Review is the manner in which the range of majors and papers offered (often by many departments) contribute to that Programme.
Combined Departmental/Programme Review	• When a Programme is exclusive to a single Department or School, the Review of that Programme is undertaken in conjunction with the Departmental Review. The standard Terms of Reference for Departmental and Programme Reviews are combined and customised as appropriate.
Administrative Review	• An Administrative Review is a review of a non-academic Division, department, section, unit, or area. The foci are the goals, objectives, core activities and services of the Administrative Unit under Review. It includes an examination of the administrative unit's structure and management, core services and activities, and physical, IT resources and health and safety issues.
Combined Administrative/Programme Review	• Occasionally a programme of study is housed in an academic unit, such as Science Communication or a Research Centre such as the National Centre for Peace & Conflict Studies, the Review of that Programme is undertaken in conjunction with an Administrative Review. The standard Terms of Reference for Administrative and Programme Reviews are combined and customised as appropriate.

Residential College Review	• The foci of a Residential College Review (hereafter referred to as a College) are the goals, objectives, core activities and services of the College under Review. It includes an examination of the College's ethos, management, resident welfare, and core services and activities including physical, IT resources and health and safety issues.
Topic Review	• A 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 reviewers will vary from review to review. Special Topic Reviews may include specific areas or themes.

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, CUAP Graduating Year Reviews). These external reviews are taken into account when the University formulates its review programme each year.

1.4   How are Reviews scheduled?

In its Review Principles, the University made a commitment to review each aspect of its operations at least once every ten years (as of 2015). In order to monitor this commitment, a rolling schedule of reviews has been developed. Called the Review Schedule, it serves as advance notice of those areas due for review. You can view the schedule here.

1.5   How much will it cost?

The QAU is funded for all scheduled reviews using a per-review fixed rate.

Excluded from the central funding:

- the costs of preparing and printing the Self Review (for all members of the panel), which are to be paid for by the unit under review

Air travel and panel size can be the most significant factor in overall review costs; Quality Advancement will monitor expenses and advise if budget limits are being approached.

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 **– Appendix 1 -** is prepared by the Head of the Unit concerned in consultation with the appropriate Pro-Vice-Chancellor (PVC) and Dean or Head of Division. The Review Proposal is submitted to the Deputy Vice-Chancellor (DVC) (Academic) for approval, usually **5 – 7 months before the Panel Visit**.

2.2   What are the Terms of Reference?

The Terms of Reference are submitted with the Review Proposal. The purpose of the Terms of Reference is to give context and focus to the Panel's investigations. Standard Terms of Reference – **Appendix 2** - have been developed to ensure consistency of approach and investigation across Academic and Non-Academic reviews and to align the review process with the University's key strategic documents. Nevertheless, additional amended or bespoke Terms of Reference may be used to take into account a special feature or features requiring investigation.

2.3   What is the composition and membership of the Panel?

The Panel is selected by the unit under Review in consultation with the Division Head or the PVC and Dean (as appropriate), and confirmed by the DVC (Academic). Formal letters of invitation and thanks to Panel Members are issued by the DVC (Academic). 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 unit's stakeholders.

The number of Panel Members will vary depending on the nature, size and scope of the Review and whether the review will need to allow for any panel members to attend remotely. 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 unit under review and preferably from a different division, with experience and expertise in regard to the Terms of Reference.
International	A senior university staff member or similar level counterpart from a relevant area, and/or a senior member of an appropriate industry group, professional association or society.
External	One or two individuals: 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	One or two staff members from the University of Otago. Preferably one from the home division (or, in the case of Health Sciences, the home School e.g. UOC, BMS) and one from another division.
Graduate	A recent (maximum of three years) graduate who has no current relationship with the Unit.
Review Secretary	Either; one of the Quality Advancement Unit's Review Administrators or an appropriately experienced University of Otago General Staff member from outside the unit under review. This person will be appointed by the Reviews Manager, Quality Advancement Unit.
Contact Person	A member of the unit under review who has knowledge of the Review and who is the first point of contact for the Panel via the Review Secretary.

*The Graduate must not be employed by the unit under review e.g. as a tutor/demonstrator/PPF/TF.

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 members
QAU have prepared an information sheet for units under review to send to prospective external panel members that outlines the process, their responsibilities and time commitment should they choose to take on the role. This sheet is available, as a PDF, on the QAU website and included in the Appendices. Refer also to the Policy on Payment for Review Panel Members.

2.3.3 Graduate panel members
QAU have also prepared an information sheet for units under review to send to prospective graduate panel members that outlines the process, their responsibilities and time commitment should they choose to take on the role. This sheet is available, as a PDF, on the QAU website and included in the Appendices. Refer also to the Policy on Payment for Review Panel Members.

3 Key participants in the review process: roles and responsibilities

3.1 The Panel

3.1.1 Convenor

The Convenor is the primary point of contact between members of the Review Panel and the PVC/Head of Division/Director. For a key task list, please refer to **Document A.**

3.1.2 Panel Members

Panel Members are expected to serve on the Panel for the duration of the review (normally three full days) and to assist the Convenor in the drafting of the Report. Following the receipt of the Self Review, Panel Members may, through the Convenor, request additional information and provide input into the Panel Visit Programme. For a key task list, see **Document A**.

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 invitations to meet with the Panel, distributing all written materials to the Panel, catering arrangements, attending Panel meetings and interviews, and taking notes during the Panel visit. The Secretary will also provide any other administrative support as required by the Convenor and Panel members.

3.2 The Administrative Unit

3.2.1 Heads of Administrative units

Heads of Administrative units are the immediate leaders of the area under review and will be expected to consult with their PVC/Head of Division/Director on the panel composition and the Terms of Reference for the Review.

Heads also have responsibility for:
- selecting the Panel and confirming availability;
- confirming dates of the Review;
- facilitating the preparation of the Self Review to the Panel (via the Secretary, at least four weeks prior to the Review);
- identifying key stakeholders and individuals who might appreciate an invitation to give a submission to the Review ;
- liaising with the Secretary on administrative arrangements as required.

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

3.3   The University

3.3.1   DVC (Academic)

The Vice-Chancellor (VC) has delegated authority for the overall direction of the University's rolling programme of formal reviews to the DVC (Academic) 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 DVC (Academic), refer to **Document B.**

3.3.2   Heads of Service Divisions

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

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

3.4   The Quality Advancement Unit

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

Members of the Unit are available to provide advice on any aspect of the review process and to liaise with University staff as required.

3.4.1   Review Secretary, Quality Advancement Unit

This person will be appointed by the Reviews Manager, QAU. The QAU has two Dunedin-based Review Administrators who normally carry out the role of Review Secretary. Adjunct Review Secretaries are appointed as required.

3.4.2   Reviews Manager, Quality Advancement Unit

The QAU Reviews Manager is the main point of contact between QAU and the unit under review, and is responsible for the coordination of the Review Process and advising the unit under review and the Panel, as required. The Reviews Manager is responsible for appointing the Review Secretary, provides the DVC (Academic) 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 Panel have access to a great deal of material during a Review. The Panel must treat as confidential any personal information, commercially sensitive material and intellectual property provided to it.

Beyond the production of the Self Review, all aspects of the review process are confidential to the Members of the 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.

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 asked to supply the names of individuals or organisations that have an interest in the unit 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 written submissions and notes from oral submissions will be destroyed at the end of the Review Process.

4.2   Review Programme and Interviews

The Panel Visit Programme is confidential to the Panel. Units under Review are not entitled to this information. Enquiries made during the Review are to be directed to the Review Secretary or Convenor.

4.3   Self Review

The Self Review is confidential to the unit that produced it and the Review Panel although it is expected that the unit will provide the PVC/Director (and Dean if appropriate) with a copy of the Self Review at the time of submission. Neither QAU nor the Review Panel will share this information with others without prior permission from the unit who produced it.

4.4   Review Report

The Final Report will become a public document within the University Community. The Report is confidential to the 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 (Academic). Following consultation with the Convenor, PVC/Head of Division and the QAU Reviews Manager, the DVC (Academic) will authorise distribution of the 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 the authorisation of the DVC (Academic).

As 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 identifiable (due to their position), the Panel should provide the individual with an opportunity to discuss the matter with a member of the Panel, and ensure that issues in contention are resolved before publication of the Report.

4.5   Confidential Matters - Beyond the Scope of the Review

Panels can be challenged by matters of a confidential and/or personal nature or financial concerns which are generally beyond the scope of the Terms of Reference and the Review Panel's brief. The Panel have the authority to submit a confidential letter to the DVC (Academic) 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 Panel Visit Programme, drafts of the Report, notes taken during the review, electronic files) are to be confidentially disposed of, or returned to the 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. The responsibility for preparing the Self Review material may be delegated by the Head of the Unit to a Self Review Committee, led by a Self Review Manager (often the Head of the Unit under Review). Garnering input from staff is strongly encouraged and staff should have the opportunity to access to the final document prior to the Review.

It is expected that the Self Review document will be completed at least four weeks prior to the Review Panel Visit. This information is confidential to the Unit and to the Review Panel.

5.2 What is the Self Review document?

QAU have examples of Self Review documents available.

The Self Review document forms the basis of the Unit's submission to the Panel. The Self Review needs to include factual information that contextualises the Unit, outlines its structure and management, current status, and anticipated future developments; it should also be considered, thoughtful and analytical. The document should highlight strengths and identify 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 document should reflect the Terms of Reference of the Review with the addition of a brief preamble which provides background information relating to the Unit, and highlights any special characteristics or factors that have influenced development. Major headings for the Self Review are generally taken from the Terms of Reference.

As a general guide, the main document should be approximately 20 – 30 pages in length (including diagrams and flow charts). Additional appendices should support the main document. Refer to **Document C** for suggested content.

Please note:

A PDF version of the Self Review must be provided to the Review Secretary. Please also make available a Word version, which may be required by the Secretary and/or Convenor. A hard copy for each panel member must also be sent to the Review Secretary for forwarding to Panel Members.

6   The Review

6.1   What is the visit programme?

Reviews are normally held over three days. The Panel visit programme is prepared by the Convenor and Secretary in consultation with the Panel Members. In addition to their individual meeting with the Panel, the Head of the Unit should be available for the duration of the Review to provide additional information and answer questions as required. The Panel visit programme includes meetings with staff, students – if appropriate - and other interested parties as arranged by the Convenor and Secretary. A site visit may be required and a senior member of staff will need to be available for this.

The Secretary will liaise with someone in the Unit who will be available for the duration of the Review; in case additional information is requested. Usually this is the Unit's Administrator/Manager or similar.

On the final day of the Review, the Panel will present their preliminary findings to the Head of the Unit. Whenever possible, the Panel should also hold a second presentation open to all of the Unit's staff. This session is often brief and it is not usually a forum for discussion.

6.2   Individual Submissions

Interested parties may make confidential written submissions to the Convenor (via the Secretary) and/or request a personal interview with the Panel during the Panel Visit.

It is the responsibility of the Secretary to publicise the Review, call for and collect submissions for distribution to the Panel.

All staff, including the Head of the Unit, are encouraged to make personal submissions to the Panel prior to their interviews. These may be as simple as several bullet points in an email or a lengthier document outlining any concerns or observations staff may have. Submissions are confidential to the Review Panel and destroyed at the end of the Review process.

6.3   What is the Review Report?

The Review Report is a public document within the University of Otago community including students and can be obtained from the Quality Advancement Unit by any member of the University. It outlines the 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 may highlight areas of good practice.

Preparation of the final Report is coordinated by the Convenor and Secretary of the Panel and written in collaboration with other Panel Members; it is expected to be completed 6-8 weeks after the Review Visit.

7   Post Review

7.1   What happens to the Review Report?

The Convenor will send a copy of the Panel's final report to the Head of the Unit to check for factual inaccuracies. The Head has 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.

Upon final approval from the Panel, the Report is sent by the Convenor to the QAU Reviews Manager, who provides the DVC (Academic) with an executive analysis and a copy of the Report.

The DVC (Academic) convenes a Report Approval Meeting and discusses the Report's key findings with the PVC/Head of Service Division, Dean (if appropriate), the Convenor and the QAU Reviews Manager to reflect on the Review, the Report and the outcomes. Any confidential matters may also be discussed at this meeting. The DVC (Academic) 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 (Academic) 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. **Document D.**

Notice of release of the Report is posted on the QAU website and an all-department email is sent.

7.1.2   How are the recommendations implemented?

Following receipt of the Report it is suggested that an "Implementation Plan" is prepared by the Head of the Unit (and/or the PVC or Divisional Head) for their own use; this will provide a framework for action to be taken in response to the recommendations in the Review Report. For example, the Plan may:

- prioritise the recommendations
- identify steps to be taken on each recommendation
- delegate responsibility for action
- 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 liaise with the relevant parties to discuss what steps or actions are required and develop a timeframe that ensures implementation of the recommendations.

Time Frame: An Implementation Plan should be developed within a month of receipt of the Report.

7.2 How is implementation monitored?

Progress towards implementation of the Review recommendations is monitored through the submission of two Status Reports to the DVC (Academic) by the PVC or Divisional Head and the Head of Unit.

The Status Report is a detailed report on the progress made towards 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 their 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 submitted to the DVC (Academic).

For those recommendations targeted to areas or individuals other than the area reviewed, such as Property Services or ITS, it is expected that the Head of Unit will contact the relevant group to obtain an update in order that they can report on progress.

Two formal reports are required during the follow-up phase:
- the first Status Report: to be submitted to the DVC (Academic) after six months; and,
- the second Status Report: to be submitted to the DVC (Academic) after two years.

7.2.1 What format should the Status Report take?

There is no standardised style for reporting on review recommendations; however, the document should record action taken and outcomes to date with respect to each recommendation. It can be useful to produce this report in tabulated form in order to record who or which roles are responsible for oversight of activity related to the recommendation and the timeframe in which action is expected. If a recommendation has not been addressed or has been rejected then a brief explanation of why should be included along with a timeline for any action planned. **Document F.**

7.2.2 When are the Status Reports due?

The First Status Report is due six months after release of the Review Report. The Second Status Report is due two years after release of the Report.

Official requests for the Status Report will be sent by the DVC (Academic) to the PVC or Divisional Head approximately six weeks prior to the due date.

7.2.3 What happens to the Status Report?

The DVC (Academic) responds to the Status Reports via the PVC/Head of Division on progress as appropriate. The DVC (Academic) 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 first Status Report will be supplied to the Convenor for their information.

7.3 Mid-Cycle Assessment

An additional formal report, known as the Mid-Cycle Assessment, is now required at four years. This task is undertaken by the relevant PVC/Divisional Head in consultation with the Head of Unit.

The University norm for departmental, programme, area review is once every 10 years but the University's Quality Advancement Reviews Policy allows for earlier interim and targeted reviews to be undertaken as appropriate. The primary purpose of this Mid-Cycle Assessment is to confirm the next review date for the Unit concerned.

In conducting this exercise, consideration is to be given to any outstanding recommendations and an assessment of the level of commitment to the recommendations; the current status of the area including significant changes; commentary on whether the review has added value to the department/Division; a re-evaluation of the categorisation allocated at the time of the Review Report's release (see below); and, either a recommendation for an earlier review date, a targeted topic review to address particular outstanding issues, or confirmation of the 10 year review date will be required.

DOCUMENT A:

Duties of a Review Convenor

The duties of the Convenor include:

- meeting with the PVC and the Head of the Unit to discuss issues, in the early stages of the review process;

- meeting informally with all staff of the area under review, before the Panel visit, to outline the review process, encourage participation and address any concerns (ideally this would take place at a regularly scheduled staff meeting);

- co-ordinating requests for information additional to the Self Review documentation and forwarding these to the Head of the Unit;

- formally inviting staff and students to meet with the Review Panel as per the Visit Programme and inviting written submissions, via the Review Secretary;

- submitting the Report to the DVC (Academic) within a reasonable time frame (generally 6 – 8 weeks after the Review Visit);

- meeting with the DVC, (Academic) and the sponsoring PVC to discuss the Review findings following submission of the Review Report.

The Convenor may also request the DVC (Academic) 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 Department.

Role of Review Panel Members

Review Panel Members have responsibility for:

- where appropriate, conducting themselves throughout the Review as independently representing their profession/discipline/area of expertise 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 DVC (Academic).

DOCUMENT B:

Role of the Deputy Vice-Chancellor (Academic)

<u>Pre-review</u>

- Approve the Review Proposal prior to issuing official letters of invitation to members of the Review Panel.

- 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 Department.

<u>Post-review</u>

- At the Report Approval Meeting, discuss the Review findings with the Review Panel Convenor and PVC/Head of Division/Chief Operating Officer and suggest possible amendments or clarification as required.

- Acknowledge the contribution of members of the Review Panel following approval of the Review Panel Report.

- Take the lead on matters of a confidential nature beyond the scope of the Review.

- Discuss the outcomes of the Review with the Vice-Chancellor, recognizing that in some cases it may be more appropriate for the PVC/Head of Division to meet directly with the Vice-Chancellor.

- Authorise the release of the Review Report.

- Report, where appropriate, key findings of the Review to various University Committees and individuals.

- Request two Status Reports on progress towards meeting implementation targets from the PVC; six months following the official release of the Review Report and then two years after that same date.

- Respond to the Status Reports in consultation with the Vice-Chancellor as appropriate

- Receive the completed Four Year Mid-Cycle Assessment prior to its submission to the Quality Advancement Committee.

Role of the Pro-Vice-Chancellor

Pre-review

- Advise HODs of the Review Schedule.

- In consultation with the Head of the Department under Review agree and approve the Panel Members.

- In consultation with the Head of the Department under Review, agree and approve the Terms of Reference for the Review.

Post-review

- At the Report Approval Meeting, discuss the Review Report with the Review Convenor and DVC (Academic) and suggest possible amendments or clarification as required.

- In consultation with the HOD, consider the development of an implementation plan based on the recommendations of the Review Report.

- In consultation with the HOD, document progress towards implementation of the recommendations made in the Review Report.

- In consultation with the HOD, prepare Status Reports at six months and two years for submission to the DVC (Academic)

- Complete the Four Year Mid-Cycle Assessment to confirm the next scheduled review date or propose intermediary actions to satisfy any outstanding recommendations.

Role of the Deans (OMS, UOW, UOC, DSM, BMS)

Pre-review

- Approve the Review Proposal Form following discussion with the Head of Department, before submission to the PVC Health Sciences and the Deputy Vice-Chancellor (Academic).

Post-review

- At the Report Approval Meeting, discuss the Review Report with the Review Convenor, DVC (Academic) and PVC at the Report Approval Meeting and suggest possible amendments or clarification as required.

- Contribute to the status reports.

Role of the University Quality Advancement Unit

The QAU Reviews Manager, is responsible for the management and monitoring of the Review process.

- Advise PVCs of the Review Schedule.

- Send annual reminders of forthcoming reviews (covering the next 3 years) to the PVCs.

- Provide information and guidance to University staff on all aspects of the Review process.

- Follow up on all aspects of the Review process as required including Status Reports and the Four Year Mid-Cycle Assessment.

- Draft letters, prepare reports and provide advice to the DVC (Academic) on all aspects of the Review Process.

- Maintain the Reviews web page on the Quality Advancement website from which information and documents relating to the Review Process can be accessed.

DOCUMENT C: Supporting documentation

Refer also to the relevant Review Guidelines available at http://www.otago.ac.nz/quality/reviews/

The Self Review document forms the basis of the Unit's submission to the Panel. The Self-Review needs to include factual information that contextualises the unit, outlines its structure and management, current status, and anticipated future developments; it should also be considered, thoughtful and analytical. The document should highlight strengths and identify areas for improvement. The structure of the Self Review document should reflect the Terms of Reference of the Review.

A range of frameworks[1] and reports are available to support the review process and to enable alignment with the University's Strategic Direction to 2020. The list below outlines what is currently offered to units under review. **Reports** are provided from some University offices to include as appendices. These are listed below and you may wish to comment on these in the Self Review. **Prompt sheets** suggest points for you to consider in relation to a particular strategy, imperative or focus, whilst writing the Self Review.

Māori Strategic Framework	• Prompt sheet
Pacific Strategic Framework	• Prompt sheet
Sustainability Office	• Prompt sheet
Health & Safety	• Health & Safety Audit
Property Services, Asset Management Unit	• Space Assessment Report
Strategy, Analytics and Reporting Office	• EFTS and Headcount data
PBRF & Publications Office	• Research outputs, citation lists and statistics
Research Support Unit	• Bibliometrics
Surveys & Evaluations (QAU)	• A range of student/graduate survey reports and evaluations
Financial Services	• Financial performance indicators (Traffic LIght Report)

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[1] https://www.otago.ac.nz/about/official-documents/index.html#strategicframeworks

Admin and Topic Review Guidelines (internal)

For consideration and/or inclusion in the Self Review document as appropriate:
- Succession planning
- Workload
- Funding environment
- Resources
- Internal and external collaboration
- Promotion
- Enrolments – both undergraduate and postgraduate.

The Self-Review document should also include discussion of:
- Challenges, concerns
- Successes
- Restrictions/Wants or aspirations
- Realities.

Introduction:
- Provide a short history/evolution of the Department/Programme, highlight any special factors that have influenced development.
- What does the Department/Programme want from the review process e.g. Panel ideas, endorsements?

Management/Organisational Structure/Resources:
- Outline the management structure and describe the processes for decision making.
- Academic and general staff profile (names, age profiles, levels) – and comments on the adequacy of the level of support.
- Describe committee structures and key roles e.g. Research Committee.
- Information on opportunities for staff training, development initiatives and associated procedures.
- How is communication handled e.g. to staff/students/wider University/external stakeholders?
- Overview of basic financial position, forecasts and future expectations – including any constraints and/or access to additional resources.
- How is marketing undertaken?
- Discuss Health and Safety aspects.
- Discuss space aspects including, research space, labs, shared spaces, equipment maintenance, etc...

Appendices might include:
- Workload model – including: information relating to the distribution of teaching, research and administrative responsibilities.
- Diagrams, charts or descriptions of the Departmental organisational structure (academic and general staff), details of committee membership and committee Terms of Reference.
- Details of uptake of training, list of conferences attended.
- Biosketches with photos of academic and general staff. **NOTE: CVs are not usually required but staff should be aware that a Panel may request to see electronic copies.**
- Current Health & Safety Report (H&S office).
- Space Register.
- Marketing material.

Strategic Focus:
- Detail the key areas that directly support the University's strategic aims.
- Discuss compatibility between the University's and Division's strategic aims and those of the Department/Programme.
- Discuss how to best achieve all strategic aims.
- Discuss staff related issues. For example: recruitment; current and future staff profile in relation to the strategic direction.
- How is strategic success measured and/or demonstrated?
- Can this be maintained or improved upon?

Appendices might include:
- Copies of Divisional Plan and any other relevant planning documents.

Teaching:
- Give an overview of the curriculum for which the Department/Programme is responsible and the rationale for the focus of the curriculum. Is it relevant? Consider the staff profile in relation to the curriculum. Does the curriculum meet industry needs?
- How is the curriculum structured, e.g. Foundation courses? Co/Pre-Requisites? Summer School?
- Who does the teaching (TFs? PPFs?) How is that organised? Is it shared with other units/campuses? Are guest lecturers utilised? How is international expertise captured? Student placements? Tutorials? Team Teaching or another system? Ensuring teaching is research-informed?
- Consider technological advances, innovative teaching methods and the resources required to deliver and maintain quality teaching, professional development, e.g. HEDC support, IT training. (This may be further covered in a section on IT resources).
- Consider the value of and acknowledgement of student feedback and support, e.g. use of Class Reps and/or survey data.
- Discuss matters relating to external accreditation.
- Discuss departmental relationships with external stakeholders, e.g. industry links, employers (internships, advisory boards etc.)

Appendices might include:
- Information on papers and majors offered – such as examples of paper profiles, teaching and assessment methods, examples of external examiners reports, distance-taught papers and details about the programmes to which they contribute.
- EFTS and Headcount Data – including: enrolment patterns, completion rates, numbers of graduates, postgraduates, international and exchange students, student-to-staff ratios, and academic-to-general staff ratios.
- Information on and an evaluation of graduate profiles and attributes for programmes: adherence to University Key Performance Indicators.
- If available, initial proposals for new programmes and final GYRs submitted to CUAP.
- Graduate and Student Opinion Surveys – including free text comments. Information on teaching evaluations and/or any other informal surveys undertaken by the Department e.g. employer surveys.

Research:

- What are the primary areas of research conducted within the Department/Programme? Describe the research profile and future research directions.
- Access to grants and funding? What is the support for academic staff working on grant applications (particularly for junior staff)?
- Consider research space and access and availability of up-to-date resources.
- Discuss laboratories and standards, if relevant.
- Discuss teaching buy-out and what impact this has and any other methods of meeting research expectations.
- Discuss support for research students including supervision, funding, conference attendance, symposia etc.
- How do research students contribute to the Department/Programme?
- Discuss collaboration e.g. internal/external research centre/cluster/groups?

Appendices might include:

- Evidence of the Department's national and international research standing, including collaborative research and funding, PBRF rating, list of publications (available from Publications).
- Journal contributions – are the appropriate journals being targeted?
- List conference attendances and symposia held.
- Information on any inter- and intra-departmental collaboration across the University.
- Information on departmental relationships with external stakeholders e.g. industry links, commercialisation, employers.

Community Service/Outreach:

- Outline staff contributions to University service on committees/Boards/etc. and consider the pros and cons of this service.
- Discuss Department/Programme outreach to the wider community e.g. media coverage; expertise provided to businesses or the City Council, national or international groups.
- Discuss the profile of the Department/Programme locally/nationally/internationally.
- Discuss vocational links/expectations with relevant industry and the response to industry needs.
- Discuss commercialisation.

Appendices might include:
- Information on professional, consultancy and community service contributions by staff.
- Information on departmental relationships with external stakeholders, e.g. MoUs, industry links, employers.

DOCUMENT D: Quality Advancement report distribution

General Information
Upon authorisation for release by the DVC (Academic), 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 DVC (Academic) 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.

i) Initial distribution:
Upon release by the DVC (Academic), hard copies of the Review Report will be sent to the Head of the Department 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/Head of Division and Convenor prior to release.

ii) 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). 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.

For further information please contact Megan Wilson, QAU Reviews Manager.

DOCUMENT E: Resources and key contacts list

Quality Advancement Unit
Review guidelines and processes
Megan Wilson (Reviews): m.wilson@otago.ac.nz ext. 6528
Refer also to http://www.otago.ac.nz/quality/reviews/index.html

Student/Graduate Opinion Surveys
Romain Mirosa (Surveys): romain.mirosa@otago.ac.nz ext. 8726
Refer also to http://www.otago.ac.nz/quality/surveys/index.html

Student Evaluations
The Evaluation team holds student evaluation of teaching and course data from 2004 to the current year. The team can aggregate ratings to standard questions by department and division to identify multi-year trends in student feedback.

Contact: Allen Goodchild or Julie Samson   evaluation@otago.ac.nz ext 7581

Strategy, Analytics and Reporting (SAR) Office
SARO provide standard data-packs to inform QAU reviews. Requests for clarification or further information should be emailed to planning@otago.ac.nz
The primary contacts for QAU panels are:
- Tracey Neville (Analyst)
- Kevin Maley (Senior Manager)
- David Thomson (Director)

The core tasks of this Office include:

Strategy and Advisory

- Manage and facilitate the development and application of the University Strategic Plan and associated frameworks that support and underpin University operations and decision making.
- Undertake and manage the provision of consistent and integrated strategic and operational planning, review processes for client portfolios, and monitor strategic initiatives throughout the University. Manage or be actively involved in selected initiatives where required.
- Provide the primary contact between the SAR Office and other Divisions, engaging with committees, divisions and departments to facilitate analysis, reporting and advice to assist in the development and achievement of plans.
- Dealing with government departments and agencies and other third parties in regards to strategy, regulations, policy and other matters.

Analytics and Insights
- Conduct institutional research (analysis to inform University operations).
- Coordinate a cross-university institutional research group, to collaborate and share related analytics.
- Gather and analyse marketing intelligence and market research.
- Forecasting of student load (EFTS) and other indicators.
- Combine internal and external information to inform and develop computational models and calculations.

- Coordinate institutional benchmarking (e.g. UniForum and Tribal) and international rankings (e.g. QS, Time Higher Education).
- Coordinate surveys related to SAR operations, in collaboration with the Quality Advancement Unit and other stakeholders.

Reporting and Compliance
- Responsible for the University's compliance with statutory student reporting to the Tertiary Education Commission, including the Single Data Return, Fees-Free reporting, and maintenance of relevant components of eVision.
- Monitoring funding-related student performance.
- Coordinate Government compliance change projects such as the evolution of Fees-Free policy, and a new Single Data Return.
- Provide student numbers (headcount and EFTS) and related reporting for all parts of the University.
- Responsible for, or participate in, the development of other regular reports such as the Triannual Report and the University's Annual Report.

Business Intelligence
- The new SAR office has been charged with leading the further development of the University's business intelligence capability. This will be a multi-year programme of work which will require separate consultation which will be conducted at a later time.
- Business Intelligence is a broad term that encompasses the software, systems, tools, and infrastructure used to facilitate dissemination and analysis of data and information to inform data-driven decision making. BI topics include data governance, data warehouses, online dashboards, predictive analytics, and many other topics.
- In the University of Otago context, this programme of works is envisioned to bring together disparate sources of data, to allow staff throughout the university to easily access a consistent suite of data via an online-self-service dashboard, and to aid analytics teams in conducting more complex analytics.
- Once developed, the University BI capability will help the SAR Office deliver its core operational tasks, and will support data-driven decision making to achieve the University's strategic goals.

PBRF and Publications Office

The PBRF and Publications 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. The office also coordinates the Government's PBRF Quality Evaluation exercise.

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

The publications/outputs are also available for viewing in MyResearch
https://www.otago.ac.nz/myresearch

For information about publications/outputs see:
 https://www.otago.ac.nz/pbrf-publications

Contact:
PBRF and Publications Office: publications@otago.ac.nz
Dr Donna Hendry: donna.hendry@otago.ac.nz ext. 5391
Raewyn Keane: raewyn.keane@otago.ac.nz ext. 3783

Bibliometric Reports – University of Otago Library Research Support Unit

Approximately three months before your QAU review date the Library's Research Support Unit (RSU) will generate and email a bibliometrics report to support your department/centre self-review. A copy of this report will also be sent to the QAU Reviews Manager.

The report is provided in two different formats. The first is an excel spreadsheet with multiple tabs containing the data. Before viewing the data we recommend you first read the tabs titled "Overview" and "Metrics defined". The second is a PDF version of the report with visualisations from the data.

Additional data or features are available on request. This may include benchmarking against a similar department at another University, exploring alternative metrics available, or exploring bibliometrics based on publication sets or topic clusters. The RSU is also available to answer any questions you may have about the metrics in this report.

Contact:
Research Support Unit: library.research@otago.ac.nz

Sustainability Office

The Sustainability Office is responsible for the Sustainability Strategic Framework. The Sustainability Strategic Framework provides direction so that sustainability principles and practices are integrated across all our campuses and throughout all our activities: administration and governance, operations, research, teaching & learning, community engagement and outreach activities.

The Sustainability Strategic Framework is based on 6 interrelated themes: apply a whole systems approach, lead by example through our operations, nurture a culture of sustainability, enhance sustainability research, support education for sustainability, and collaborate and be a catalyst for change.

While a lot of focus is rightly upon environmental issues, sustainability is seen as a much broader and more complex concept that embraces environmental, social and cultural concerns. This is best seen in our commitment to the United Nations Sustainable Development Goals (UNSDGs). The Times Higher Education Impact Ranking is one measure of that commitment (Ranked 23rd in World 2020).

The Sustainability Office provides a range of opportunities to engage with sustainability. This includes student events, a Green Your Scene staff engagement programme, living lab research initiatives, summer student-ships and scholarships, staff excellence awards, and bespoke workshops. We are currently focussed on reducing and offsetting our greenhouse gas emissions to meet our objective of net carbon zero by 2030.

If you would like to discuss how sustainability relates to your department or programme, please do not hesitate to get in touch. We are happy to meet over a coffee (fair trade of course!) or take a more structured workshop approach to help integrate sustainability into your strategy and planning.

Contacts:
Ray O'Brien, Kaiwhakahaere o Toitū Taiao/Head of Sustainability 021766937
sustainability@otago.ac.nz

Refer also to www.otago.ac.nz/sustainability , https://www.otago.ac.nz/otago645054.pdf and https://sdgs.un.org/goals

Asset Management Unit
The Asset Management Unit is the custodian of the University's property portfolio. It drives maintenance and priorities and along with the Campus Development division, sets the strategy for capital development. It includes asset management, property management, space management and quality and systems.

The Asset Management Unit provides a detailed space and asset report to the panel. This includes any space surplus or shortage the group may have, condition and functionality of the spaces, and any utilisation analysis results that may be available. It also touches on future space needs or potential changes, and provides recommendations from an asset management viewpoint.

Contact:
Diana Horn, Senior Space Planner, diana.horn@otago.ac.nz ext 3595

Health & Safety
Andrea McMillan: andrea.mcmillan@otago.ac.nz ext. 7380
Nevan Trotter: nevan.trotter@otago.ac.nz ext. 5389

Information Technology Services
Nicola Walmsley: nicola.walmsley@otago.ac.nz ext. 8568

Financial Services
Michael McAlpine: michael.mcalpine@otago.ac.nz ext. 8222
Jill Hogan: jill.hogan@otago.ac.nz ext. 8199

Office of Māori Development
maori.development@otago.ac.nz ext. 8081

Pacific Development
pacificdevelopment@otago.ac.nz ext. 8081

DOCUMENT F: Post-review status reports

QAU suggest that the Head prepares an "Implementation Plan" for your own use, within two weeks of receipt of the Review Report, to:
- prioritise the recommendations;
- identify steps to be taken on each recommendation;
- delegate responsibility for action;
- and provide a time-line for implementation.

NOTE: The Head is also responsible for following up and reporting on recommendations made external to their unit.

QAU will ask for your Status Reports at the 6-month and 2-year marks, to monitor progress of the implementation plan. There is no standardised format for the status reports but a template is available on request.

Status Reports should include:
- **detailed feedback on the progress of each recommendation;**
- **feedback on those recommendations successfully completed and**
- **the reasons/details as to why recommendations are NOT yet implemented.**

PVC (and Dean for Health Sciences) comment is required before the Status Report is returned to QAU; this may be embedded in the HOD's Status Report or added in a separate document.

BE PREPARED – the DVC (Academic) will comment on your progress, report to the Vice-Chancellor as necessary, and may request further action or ask for additional information.

Mid-Cycle Assessment
An additional formal report, known as the Mid-Cycle Assessment, is now required at four years. This task is undertaken by the relevant PVC/Divisional Head in consultation with the Head of Unit and a template will be provided. Upon completion this will be submitted to the DVC (A) and the Quality Advancement Committee.

Quality Advancement Unit, December 2020
http://www.otago.ac.nz/quality/index.html