



## Important notes for completing Form 1S and Form 1 proposals

### *Form 1S Indicative Proposal and Form 1 Proposal for a New Qualification, Major Subject, Endorsement or Minor Subject (where no major subject exists)*

For any questions regarding the proposal process, please contact Academic Committees and Services ([academic.committees@otago.ac.nz](mailto:academic.committees@otago.ac.nz)).

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The Form 1S and Form 1 templates each contain small font instructions. The text below does not repeat those instructions or cover all of the subheadings in those forms but instead provides background information and a wider context. Given that Section B of Form 1 is the same as the Form 3 for a new paper proposal, there is some overlap between these notes and *Important Notes for Completing Forms (in particular Form 3/Section B of Form 1)*.

#### **1) Indicative Proposal (Form 1S)**

Please note that the full proposal on a Form 1 should only be completed once an Indicative Proposal (Form 1S) has been given approval from the DVCs/PVCs' Advisory Group, and Board of Undergraduate Studies (BUGS) or Board of Graduate Studies (BoGS) to proceed. The first step is the Indicative Proposal in which you need to explain clearly the purpose of the proposal, and supply a justification for its introduction, and its strategic importance for the University. Include information on the need for such a programme, consultation with key stakeholders, and an indication of the numbers likely to enrol.

The Indicative Proposal (Form 1S) should provide information about the level of demand for the new programme, an estimate of the resources and costs involved, and include any relevant information from a Divisional Sustainability Assessment or Business Plan.

The Indicative Proposal should also summarise the structure of the programme (e.g. Length? Progression? What are the core papers required? What existing papers will be included? What new papers will be introduced? Will there be a research project?). Care needs to be taken to ensure compliance with CUAP definitions of programme type (refer to [Section 5 of the CUAP Handbook](#)). For new 180 point Coursework Masters' Degree programmes please refer to the [Guidelines for the Introduction of Coursework \(180 point\) Masters' Degrees](#).

Please consult the Strategy, Analytics and Reporting Office ([planning@otago.ac.nz](mailto:planning@otago.ac.nz)) to request a 'Strategic Assessment'. The Strategic Assessment will assess the

proposal's alignment with University, Divisional and Government strategic priorities; reviewing the fidelity and cohesiveness of proposed regulations (against standard CUAP definitions and existing Otago structures); and, discussing the robustness of the proposal's commentary around anticipated student and market demand, resourcing implications, and such.

***This Strategic Assessment needs to be attached to the Form 1S prior to being considered by your Division, and is also provided to BUGS/BoGS and the DVCs/PVCs' Advisory Group.*** Please note that the Strategic Assessment is intended to assist in evaluating whether the programme should go ahead, and should not be used to 'improve' the Indicative Proposal; in other words, the assessment should be attached to the version of the Form 1S that is to be considered by the wider University.

The Indicative Proposal should be submitted first to the relevant School or relevant Board of Studies (if applicable) and then to the appropriate Divisional Board, consulting with another Divisional Board if the programme involves another Division in a major way.

If the Division approves the Indicative Proposal, that Division submits it to either BUGS or BoGS for wider consultation across the Divisions. The Secretary to BUGS or BoGS will also send the Indicative Proposal to the DVCs/PVCs' Advisory Group for consideration of whether the initiative is consistent with the strategic direction of the University and for consideration of the resources involved. In the event of concerns being raised about the Indicative Proposal, the department initiating the proposal will be contacted to discuss the issues.

Once the Indicative Proposal is approved, you can develop the Form 1 'full' proposal, which should respond to any issues arising from the Division, BUGS/BoGS, or the DVCs/PVCs' Advisory Group.

Staff within the Division of Health Sciences should contact the Division's Specialist, Academic Committees and Services prior to completing any proposals ([tosh.stewart@otago.ac.nz](mailto:tosh.stewart@otago.ac.nz)).

## **2) Definitions**

The new programme must conform not only to the University's internal processes but also to the processes of the Committee on University Academic Programmes (CUAP). The University of Otago's approval processes dovetail and comply with those of CUAP. Staff drafting proposals need to make sure that the proposal for a new programme complies with CUAP's definitions of Qualifications and Levels of Study, as outlined in the [CUAP Handbook at Section 5](#). The Handbook also sets out the criteria CUAP will use for approval and the application of the criteria (Sections 3 and 4), and CUAP's procedures in detail (Section 6). The Form 1 has been developed with a view to making sure the CUAP criteria for approval are addressed.

Please note that the Academic Committees and Services (ACS) office administers the CUAP submission and review process for the University. ACS will receive a

copy of any relevant proposal from BUGS or BoGS and contact the proposer listed on the form if any action is needed by the proposer in relation to CUAP following approval at BUGS or BoGS.

The Handbook can be accessed on CUAP's web site at: <https://www.universitiesnz.ac.nz/quality-assurance> .

### **3) General comments regarding resources required for running the programme**

Consideration should be given to the resources that will be necessary to introduce and maintain the new initiative. It is expected that the University's resource constraints will become even more limited in the coming years. By submitting a proposal to the BUGS or BoGS, the department introducing the proposal, and consequently the Division, is, on behalf of the University, confirming the capacity of the organisation to support sustained delivery of the course, in all delivery modes, with regard to appropriate academic staffing, teaching facilities, physical resources and support services.

A programme may be resourced by more than one Division. There are an increasing number of cross-divisional programmes. Please note that where resources are derived from more than one Division, or where the consequence of the new programme is of significant resource or has financial impact on more than one Division, both the Indicative Proposal and full proposal must be approved by *all relevant Divisional Boards* before being sent to BUGS or BoGS.

By signing the full proposal, consideration of resources including library resources, equipment and staff (human resources) is confirmed and approved. The proposal should be signed by the Pro-Vice-Chancellor upon approval by the Divisional Boards. Care should be taken not to underestimate the resources required and overestimate the income that will be generated.

### **4) Funding for the programme**

It is important to note that approval of the new programme by the University and CUAP does not necessarily guarantee that the programme will be funded by the Government. Before approving Government EFTS funding for a new qualification, major subject or endorsement, the Tertiary Education Commission (TEC) will assess the information given in the proposal before determining whether or not to fund the programme.

This is done in terms of the tertiary education priorities of Government as articulated in the Tertiary Education Strategy (see <https://www.tec.govt.nz/focus/our-focus/tes/>).

The proposal should also show good integration with the strategic direction of the academic Department, Division and University as a whole (see [http://www.otago.ac.nz/about/official\\_documents.html#strategicdirection2020](http://www.otago.ac.nz/about/official_documents.html#strategicdirection2020)). The proposal should also include evidence of student demand for the programme.

For advice on Government funding, please contact the Strategy, Analytics and Reporting Office ([planning@otago.ac.nz](mailto:planning@otago.ac.nz)).

## 5) Form 1 Full Proposal - Who is the proposal for?

Form 1 is a proposal form drafted with the intention of seeking approval for the new initiative. The academic proposal also provides crucial information for a number of people for various purposes. These include the following:

- Student Experience staff, including Timetables, Information Collection, Student Development and Student Administration;
- ITS Information Systems, Applications Support;
- the University Calendar;
- the Guide to Enrolment;
- other relevant publications or prospectuses;
- the Schools' Liaison team;
- the University website;
- Marketing Services
- Communications Services;
- the International Office;
- the relevant Divisional Board(s);
- the Board of Undergraduate Studies (BUGS)/Board of Graduate Studies (BoGS);
- the Senate and the Council (the proposals themselves are not circulated as a matter of course but are available on request)
- CUAP and relevant academic staff at all of the other New Zealand universities;
- the Tertiary Education Commission.

Because the proposal form provides information for such a wide audience and multitude of functions, it is important that the proposal is comprehensive, of a high standard and is technically absolutely accurate.

The Form 1 is divided into Section A and Section B. Section B is the equivalent to Form 3, the proposal for a new paper. Section B is required by the University's approval process but is not submitted to CUAP unless specifically requested during the peer review process. ***Therefore Section A of Form 1 should not make references to Section B/Form 3 (i.e. do not refer to Section B/Form 3 or include statements such as "see section B/Form 3").***

## **6) The steps in the approval process for the Form 1**

The academic staff member drafts the proposal in consultation with the Divisional Specialist, Academic Committees and Services and/or Associate Dean, Academic and relevant colleagues;

- (i) the proposal is considered and approved by the relevant School or Board of Studies, where applicable, and then the Divisional Board. Please note that some proposals will need to be received, and possibly approved, by more than one Divisional Board if the proposal has cross-divisional academic or financial implications;
- (ii) the proposal is considered and approved by either the Board of Undergraduate Studies (BUGS) or the Board of Graduate Studies (BoGS);
- (iii) the proposal is approved by the Senate;
- (iv) the proposal is approved by the Council;
- (v) the proposal is submitted to the CUAP peer-review process;
- (vi) the proposal is submitted to the TEC.

## **7) Children's Act Compliance**

If the programme involves students working with children then it is possible the Children's Act will apply. This must be stated in a Form 1 (programme) and Form 3 (paper). If so, under the Act, safety checking of students planning to enrol in the programme will be required if this is not already covered at the individual paper level.

Please review information regarding the University's commitment, policy, and requirements regarding the Protection of Children:

<https://www.otago.ac.nz/administration/vulnerable-children/>

## **8) Plans for Monitoring Programme Quality (Form 1)**

Form 1 asks proposers to describe their plans for monitoring the quality of the programme. These plans need to detail the processes that will monitor the extent to which the programme's objectives are being achieved and that will enable departments to progressively develop programmes and their constituent papers where monitoring demonstrates that the programme's objectives are not being achieved. It is expected that programmes are monitored/evaluated from the first year they are offered.

There are several methods that may be used, these include:

- Annual course or paper evaluations: the processes are described on the [HEDC](#) and [Quality Advancement Unit](#) websites.
- Similar evaluation processes are described on the [Teaching and Learning in Health Sciences](#) webpage.
- Use of feedback from Examination Boards and the views of External Moderators.
- The Graduate Opinion Survey (GOS) may be undertaken annually and includes a section on the development and application of graduate attributes/ generic learning outcomes. The Survey can also provide some information on education and employment pathways.
- The Student Opinion Survey (SOS) may also be undertaken annually (assesses the satisfaction and perceptions of students enrolled on all levels of a programme). Although not as specific as the annual course or paper evaluations, the survey can provide an indication of perceived areas of strength and weakness for a programme.

Both the GOS and SOS are administered by the Quality Advancement Unit:

<https://www.otago.ac.nz/quality/surveys/index.html>

Please describe in Form 1 any other process used by your department to monitor programme quality in detail. Further advice may be found in the document [Evidence for the Achievement of the Graduate Profile – Best Practice Guidelines](#).

(Also see Section 15 below, Annual Programme Reporting (APR) and the Graduating Year Review.)

## 9) Timing and Deadlines

Introducing a new programme is much more time consuming than most staff realise. There are only two meetings each year when CUAP considers proposals for new qualifications and new major subjects, endorsements, or minors where a major doesn't exist. The closing dates for receipt of proposals at CUAP are 1 May and 1 August. A Form 1 proposal can only be submitted to CUAP once it has been approved by the University's internal processes. The Academic Committees and Service office administers the submission of proposals to CUAP and the peer review/correspondence round. Normally, Form 1 proposals from Otago will only be considered in Round One of CUAP in order to meet the deadlines for the Guide to Enrolment, the Calendar and to be entered on the University's system to accept enrolment for the following year. Form 1 proposals should, ideally, be going to the November Divisional Board two years prior to the intended introduction of the programme (i.e. November 2020 for introduction in 2022) in order to allow time for any necessary changes to the proposal. The March Divisional Board is the absolute deadline for CUAP Round One proposals and June Divisional Board for CUAP Round Two proposals. Submission to CUAP Round Two from Otago will occur under only exceptional circumstances, prior approved in advance by the DVC (Academic) or when CUAP approval is being sought more than one year prior to the new programme's intended year of introduction.

The following University-wide Deadlines were approved by the Senate (31 August 2016):

- a) For the introduction of new papers (Form 3) and minor amendments to schedules and regulations (Form 2) for the following academic year, the deadline for all departments within the four academic divisions is as follows:
  - the May meetings of the Divisional Boards;
  - June meetings of the Board of Undergraduate Studies and the Board of Graduate Studies;
  - June Senate.
  
- b) For the introduction of new qualifications and new major and minor subjects (Form 1) and significant amendments to existing programmes (Form 2) requiring CUAP approval for introduction in the following year to ensure their inclusion in the *Guide to Enrolment*, the deadline for all departments within the four academic divisions and is as follows:
  - the March meetings of the Divisional Boards;
  - April meetings of the Board of Undergraduate Studies and the Board of Graduate Studies;
  - April Senate.

## 10) Treaty of Waitangi Statement

All University of Otago proposals should be consistent with the University of Otago's commitment to the principles of the Treaty of Waitangi. A statement must be provided which sets out how the new programme is consistent with the University's commitment to the principles of the Treaty of Waitangi. Also, please note the following:

The University adopted a Māori Strategic Framework in 2007 and established the Office of Māori Development. The Office of Māori Development provides leadership to both academic and service divisions and assists the University to develop a deep understanding of and maintain a strong commitment to the principles of the Treaty of Waitangi. The Office of Māori Development manages the University's Treaty partnerships, primarily with Ngāi Tahu by way of the Memorandum of Understanding signed with Te Rūnanga o Ngāi Tahu and its ongoing relationship with local Rūnanga, Te Rūnanga o Ōtākou, Te Rūnanga o Moeraki and Kāti Huirapa Rūnaka ki Puketeraki.

A statement needs to be provided which explains how new academic proposals at the University of Otago are consistent with this Memorandum of Understanding, the Māori Strategic Framework and the principles of the Treaty of Waitangi.

*If your paper or programme initiates the need for consultation with Ngāi Tahu and/or the Office of Māori Development, please outline the issues arising at this point.*

*For more information on the Māori Strategic Framework please view the Office of Māori Development's website at <https://www.otago.ac.nz/maori/index.html>*

## 11) Graduate Profile

A Graduate Profile is required in the Form 1 Proposal. One of the first steps in introducing a new programme is to set out the attributes the graduates of the programme will have upon completion. This should be done in the Graduate Profile which is the prime driver for curriculum design. The Graduate Profile is a statement of the expected outcomes or attributes that graduates should achieve from the programme. The Profile would normally incorporate all of the attributes from the Otago Graduate Profile, contextualised for the discipline, as well as any programme-specific knowledge, skills and values. What is requested in the Graduate Profile section is in effect the descriptions of proposed graduate “outcomes”. The framework for graduate outcomes may well vary from degree to degree. However, whatever the framework adopted, attention should be given to the development in graduates of lifelong learning skills so that graduates are prepared to go on learning after graduation.

The University of Otago has developed generic Graduate Profiles for Undergraduate Qualifications and Postgraduate Research degrees.

You can access these documents at the following link: <http://www.otago.ac.nz/staff>

Please see the [University of Otago Teaching and Learning Plan and the University of Otago Graduate Profile for the Generic Undergraduate Profile](#) and the [Generic Graduate Profiles for an Honours Graduate and a Research Master’s Graduate](#).

## 12) Education and Employment Pathways

Such statements are required in the Form 1 proposal. Please also note that the Education and Employment Pathways are important for international students, and form one of the checks for approval of a student visa. These are also fed into letters of offer to international students.

## 13) New Papers

If you are introducing new papers as part of the new programme (rather than using existing papers), you will need to submit a Form 3 (Section B) for the new papers. The Form 3 (Section B) may be requested by CUAP during the peer review process. For this reason please provide sufficient information about Proposed Teaching/Delivery Methods, Proposed Prescriptions for New Papers and the Assessment and Moderation Procedures in Section A to curtail requests during the CUAP peer-review stage from other Universities to see Section B. Please also state its NZQF level equivalence. You may wish to consult the Specialist, Academic Committees and Services within your Division or Associate Dean, Academic for advice.

Learning outcomes (aims and objectives) for individual papers can be described in a range of styles and should indicate what learners are able to do on successful completion of the paper. Assessment tasks should be aligned with these aims and



objectives. *Descriptions of learning aims and objectives must be provided to students in their more detailed Course Outlines.*

Setting out aims, objectives, the course outcome and assessment for papers that include a considerable research component (i.e. 480/490 papers) poses particular challenges. A resource document is available to assist staff in that process (<http://www.otago.ac.nz/administration/academiccommittees/proformas.html> ).

#### 14) Calendar references

Ensure that ALL Calendar references to the new programme, including the introduction of new papers, are addressed as consequential amendments. Do other programme regulations need to be amended? Are there any changes necessary to the Schedules including Schedule A, Schedule B and Schedule C? Are any General Regulations affected? Will any papers be deleted as a consequence of the introduction of new papers? If so, have the consequential amendments as a result of the deletion(s) been addressed? Please note that if new papers are being introduced as part of a new programme and Form 3 is accompanying Form 1 (Section B of Form 1), then Form 3 does not have to repeat changes to regulations, Schedules, etc. as these have already been provided in Form 1 under Proposed Regulations. Please also note that you do not need to provide changes to the Programme Information that is or will be in the Guide to Enrolment. These will be updated editorially.

#### 15) Annual Programme Reporting (APR) and the Graduating Year Review (GYR) (required once CUAP conditional approval received)

##### *Graduating Year Review (GYR)*

The above monitoring processes (see Section 8 above, Plans for Monitoring Programme Quality (Form 1)) and the Annual Programme Report (see below) help to prepare for the programme's **Graduating Year Review (GYR)**, as a range of data and descriptions of processes are required at this stage. The GYRs are an external requirement of CUAP and are the final stage of gaining full approval for a new programme. **GYRs are scheduled by CUAP within three years of graduation of the first cohort of students.** The purpose of the GYR is to ensure that the programme is meeting the aims and objectives of the original proposal, to assess any major changes that have been made to the programme since its introduction, and to ensure that the programme is viable both in terms of student numbers and in relation to the needs and expectations of relevant academic, industrial and professional bodies. The monitoring of the programme and the achievement of the graduate profile and its attributes forms part of the University's GYR processes. The University is expected to indicate to CUAP whether a programme is to continue or be discontinued. The full details of the requirements of the GYR process are outlined in [Section 6.10 of the CUAP Handbook](#). For further information about this process please contact the Academic Committees and Services office or view the [Proformas for new proposals and resources for academic approval website](#).

### ***Annual Programme Reporting (APR)***

An Annual Programme Report (APR) has been developed to assist coordinators to prepare for and feed into the GYR. An APR must be submitted to your Division each year from the year following intended commencement of the programme until the GYR. The template is found on the website at:

<http://www.otago.ac.nz/administration/academiccommittees/proformas.html#Annualprogrammereporting>

The department needs to ensure that appropriate records are kept and are accessible for the Programme Coordinator in order to support the upcoming GYR. Departments are encouraged to keep track of the destinations of their graduates, gather evidence that graduate attributes are being met, gain student feedback on the papers and programme and ensure evaluations are undertaken to identify the strengths and weaknesses of their programme.

[Best practice guidelines for the Evidence of the Achievement of the Graduate Profile can be found at the following link:](https://www.otago.ac.nz/administration/academiccommittees/proformas.html#Annualprogrammereporting)

<https://www.otago.ac.nz/administration/academiccommittees/proformas.html#Annualprogrammereporting>

Under the **Review of the Programme** Section of the Form 1 *in addition to any other monitoring information relevant to your new programme* add the following wording:

- Once approved the programme will submit an Annual Programme Report to the Division and Board of Undergraduate Studies/Board of Graduate Studies each year up following the year of introduction until the Graduating Year Review.
- A Graduating Year Review will be scheduled by CUAP within three years of the graduation of the first cohort of students.

Please note that Academic Committees and Services will keep track of the years in which APRs and GYRs are due for new programmes, and Programme Coordinators may expect a message in January or February each year informing them if an APR or GYR is due for their programme later that year.