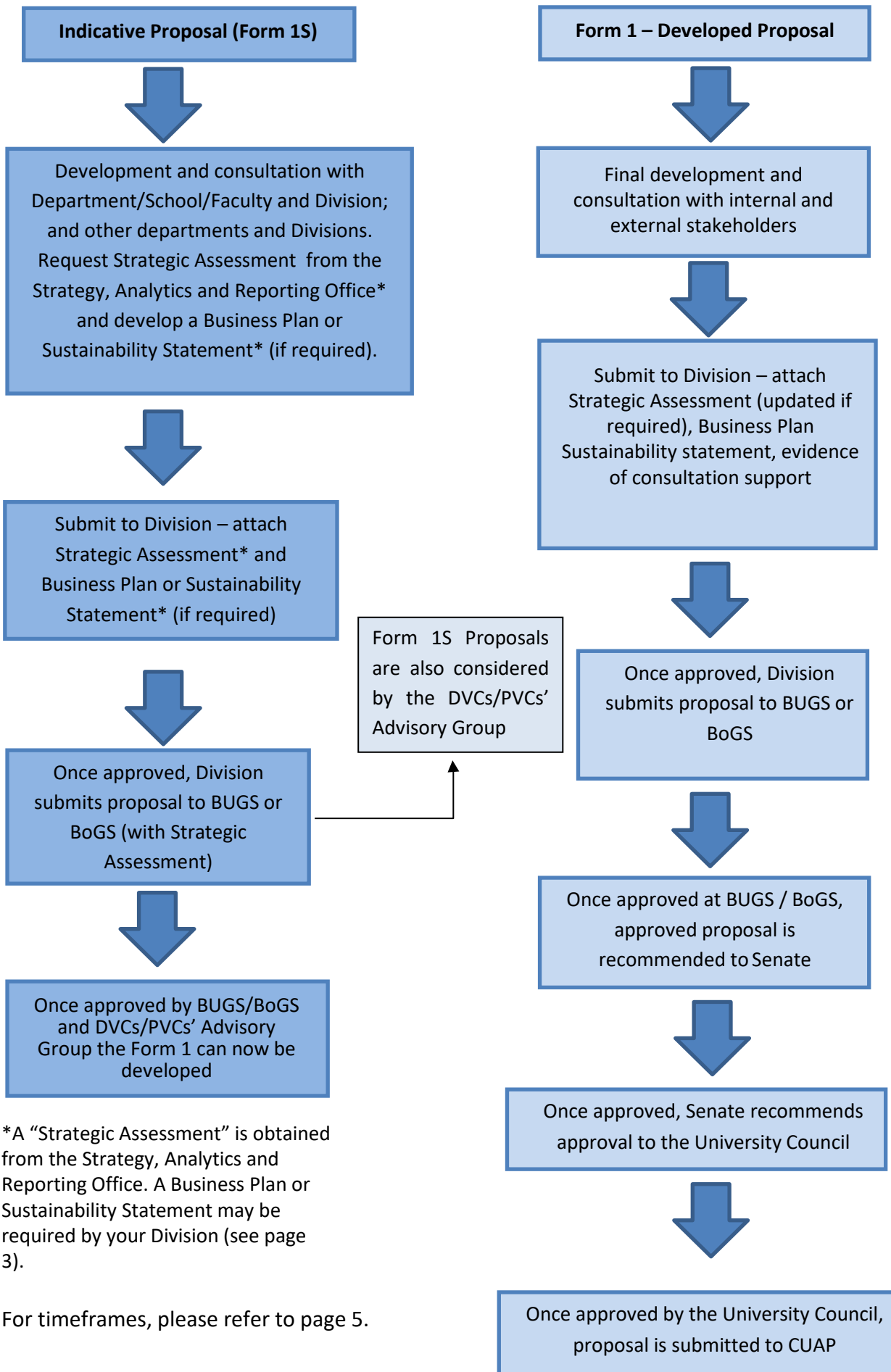


WORKFLOW FOR PROPOSALS FOR NEW MAJOR SUBJECTS, QUALIFICATIONS, ENDORSEMENTS OR NEW MINORS WHERE THERE IS NO EXISTING MAJOR



CONCEPT DEVELOPMENT – THE INDICATIVE PROPOSAL (FORM 1S)

1. If you are considering developing a new major subject, qualification, endorsement or new minor where there is no existing major, you need to outline your proposal formally on the **Form 1S**. The full set of Proposal Forms or “Proformas” and their guiding notes, in particular the *Form 1S and Form 1 Important Notes* document, is found on the [Proformas for New Proposals webpage](#).
2. The first step is to formulate clearly the idea you are proposing so you can provide enough detail on the forms and during the consultation. A one-page summary document is recommended for preliminary consultation. Preliminary discussion should occur within your Department and School/Faculty to ensure there is broad support from your internal colleagues and within your Academic Division. Key things to consider during the concept phase include:
 - How would this proposal benefit the Department/School/Faculty?
 - Are there any opportunities for collaboration with other staff, departments or Divisions?
 - Would this proposal be duplicating content covered in other papers or qualifications offered at University of Otago?
 - Does your Department/School/Faculty have the resources and demand to sustain this? (Your Division may require a Business Plan or “SustainabilityStatement”.)
3. Please consult your **Specialist, Academic Committees and Services or Associate Deans** ([Humanities](#), [Sciences](#), [Health Sciences](#), or [Commerce](#)) to ensure you fulfil your Division’s requirements. Please also view the University of Otago’s [Strategic Direction to 2020](#).

Health Sciences staff should refer to their Division’s [Academic Administration Information](#). New ideas need to show clearly how they align with the strategic direction of the Department, School/Faculty, Division and the wider University.

4. The strategic alignment section should also provide a brief analysis of national/international demand to show how the proposed initiative will make a unique contribution within New Zealand's tertiary sector.
5. It may pay to consider at this point how the proposed paper(s) or qualification fulfils the University of Otago’s commitment to the Treaty of Waitangi (see [Form 1S and Form 1 Important Notes](#)). The Form 1 will ask for comment in this regard. Do you need to undertake consultation with the Office of Māori Development or Iwi? Or is your proposal “neutral”, relying on the background context of the University’s overall commitment to the Treaty of Waitangi?
6. It is important to seek feedback from all relevant internal and external stakeholders who may be impacted by your proposal, within and outside of your own area. When consulting, key considerations should include:
 - Does the idea fit within your Department, School of Faculty and the Divisional Strategic Plans?
 - Are there already similar papers or qualifications being taught within the School/Faculty or elsewhere within the Division or University?
 - What resourcing will be required to develop and deliver the new paper(s), endorsement or qualification?
 - What are the key benefits to the Division and/or profession?
 - What are potential barriers to success?
 - What activities, if any, will be reduced as a result of this new initiative (e.g. would this just shift EFTS from one area to another)?
 - Comments from key stakeholders such as professional organisations, regulatory bodies, government and health agencies, criteria set out by external funding agencies, along with alignment with any internal University strategy. *Please request formal letters from external agencies, in particular professional and regulatory organisations, joint partners, etc., to attach to the proposal.*

Key people to consult include:

- Head of Department/Dean
 - Department Financial Manager/Administrator
 - Undergraduate or Postgraduate Curriculum or Research Committees
 - Divisional Associate Dean (Academic) or Divisional Associate Dean (Postgraduate) (strategic alignment)
 - Specialist, Academic Committees and Services (process)
 - Strategy, Analytics and Reporting Office (funding implications and Strategic Assessment)
 - ITS Information Systems, Applications Support team for potential impact on the Student Management System (eVision)
 - Professional associations, health boards, community organisations and other relevant external stakeholders.
7. Before your Indicative Proposal Form is submitted to your Division for formal approval, you must contact **the Strategy, Analytics and Reporting Office** to obtain a Strategic Assessment. *Please discuss the timing of this step with your Specialist, Academic Committees and Services.* Please do not ask for the Strategic Assessment *before* your Indicative Proposal Form is finalised. Any suggestions for amendments arising from comments in the Strategic Assessment should be included in the full proposal (Form 1). For more information please read the [Form 1S and Form 1 Important Notes](#) document found on the Proformas' webpage.
8. All proposal forms need to be approved by your Department (and where applicable, Dean) before proceeding for consideration by the Division.
9. Before submitting your Indicative Proposal to the Divisional Board for approval, please attach:
- your Business Plan or Sustainability Statement (and/or whatever is required by your Division),
 - the Strategic Assessment from the Strategy, Analytics and Reporting Office, and
 - evidence of consultation.

The preferred format is a table outlining who was consulted, the issues raised, and the changes that resulted. Please see the Consultation Record template (under [Forms for Academic Proposals](#)).

Approval from Boards of Undergraduate Studies (BUGS) or Board of Graduate Studies (BoGS)

10. Once approved by the Division, the proposal is submitted to BUGS or BoGS. In addition, the proposal is considered by the DVCs/PVCs' Advisory Group. Approval may or may not be given to go to the next stage of developing the full proposal (Form 1).

Staff who are responsible for the Indicative Proposal need to be prepared to be available to attend Divisional, BUGS or BoGs meetings.

DEVELOPMENT AND APPROVAL OF THE FORM 1

1. The Form 1 contains more detail and includes the requirements of the [Committee on University Academic Proposals \(CUAP\)](#), the external approving body. Please refer to the current [CUAP Handbook](#) for more information. At each step of the Indicative Proposal (Form 1S) process, feedback may have been provided and will need to be addressed when developing the full proposal (Form 1). The revisions requested may be quite extensive and could involve additional consultation, which should be added to the consultation table.
2. The Form 1 should be provided for consultation to your identified internal and external stakeholders. Letters from *key* stakeholders are required by CUAP.

Approval from the Division and BUGS/BoGS

3. All proposal forms need to be approved by your Department/School/Faculty (as required) before proceeding for consideration by the Division. Once approved by the Division, the proposal is submitted to either BUGS or BoGS. Please note the Strategic Assessment from the Strategy, Analytics and Reporting Office and the Business Plan or Sustainability Assessment or equivalent required by each Division for the Indicative Proposal is NOT required to accompany the Form 1.

It is important to consider the tight timeframes for revision of proposals in between Divisional Boards and BUGS and BoGS and then Senate and CUAP deadlines. Staff who are responsible for the full proposal (Form 1) need to be prepared to be available to attend meetings and work on revisions as required.

Approval from Senate, Council and CUAP

4. Following detailed consideration and review by BUGS and BoGS, the proposal is recommended for approval at Senate.
5. Senate then recommends that the University Council approve the proposal.
6. All proposals for new programmes, qualifications, major subjects, minor subjects where there is no existing major, and significant amendments to regulations (refer to the [CUAP Handbook](#) for guidance) must proceed to CUAP for approval. There are two meetings each year, in July and October. The CUAP process involves an intense period of peer review and correspondence with reviewers at the other seven New Zealand Universities (see detail on page 5).
7. Following "conditional approval" by CUAP, the Tertiary Education Commission then gives final funding approval.
8. New programmes approved in CUAP Round 1 will be included in the University Calendar and will normally be offered to students in the following year. However, new programmes considered in CUAP Round 2 in October will not normally be available for the next year. Any advertising of the new programme cannot occur until after CUAP approval, unless it is accompanied by the clause "subject to CUAP approval".

Note: Proposals for new papers do not normally require CUAP approval, unless they are submitted as part of a new programme.

9. New programmes are then subject to a **Graduating Year Review (GYR)** within three years after the first cohort of students complete the course. Only after a successful GYR can the new programme be considered fully approved. It is important that a monitoring group be established for the new programme as early as possible to start gathering data from course and paper evaluations, feedback from examination boards and external examiners, graduate opinion surveys and so on from the first year the programme is offered. An Annual Programme Report (APR) is required by the University each year (reporting to the Division and BUGS/BoGS), up until the GYR. The APRs leading up to the GYR form the building blocks for completing a successful GYR. CUAP sends notification of which new programmes are due to have their GYR each year, and Academic Committees and Services keep a record of when new programmes should expect to submit a GYR. The Review process is coordinated by both Academic Committees and Services and the Quality Advancement Unit in conjunction with the Division.

WHAT HAPPENS AT CUAP?

Timeframes

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, 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. However, a proposal can only be submitted to CUAP once it has been approved by the University's internal processes (BUGS/BoGS, then Senate, etc.) and is submitted via the Academic Committees and Services Office.

Ideally, proposals should be considered in CUAP Round 1 in order to be offered in the following year and to be included in the *Guide to Enrolment* and the *Calendar*. Otago does not normally submit proposals to CUAP Round 2 for introduction in the following year, but submitting in Round 2 may allow extra time for preparation and marketing when proposing a programme more than a year in advance of introduction.

Form 1 proposals should, therefore, ideally, be going to the November Divisional Board – or earlier – **two years prior** to the intended introduction of the programme (e.g. 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 1 proposals and June Divisional Board for CUAP Round 2 proposals. Round 1 ends with a CUAP meeting in mid-July. Round Two ends with a CUAP meeting in mid-October. Please remember that CUAP approval at this point is only conditional approval, dependent on a successful Graduating Year Review (GYR) being completed within three years of the first cohort of graduates from the programme.

The dates and deadlines for BUGS and BoGS meetings are found on the website:

- [Board of Undergraduate Studies \(BUGS\)](#)
- [Board of Graduate Studies \(BoGS\)](#)

The Peer Review/correspondence round

Just before the beginning of each round, all University of Otago proposals are uploaded into the CUAP online database by Academic Committees and Services. Each university has an administrator who provides proposals to peer reviewers at their university and then facilitates the flow of comments and responses between peer reviewers and proposers (the departments proposing the new programme).

Comments from the peer reviewers are emailed to Academic Committees and Services, which forwards these comments to proposers and asks for a response. A response could include providing additional documentation, additional background information or justification, answering questions and agreeing to make revisions or corrections if required. The responses from Otago proposers are uploaded to the database, where they are visible to the peer reviewer and any other university. It is in our interests to respond as quickly as possible to comments from reviewers.

If the peer reviewer is satisfied with the response, their university will sign off the proposal. Otherwise, further questions can be asked until the peer reviewer is satisfied with the information provided and agrees to sign off. Once all universities sign off, the proposal is considered conditionally approved, pending the GYR, and the Tertiary

Education Commission is notified. If the peer reviewer remains unsatisfied, their university can flag the proposal for discussion at the CUAP meeting. This means that the University of Otago representative to CUAP (currently Associate Professor Tim Cooper) must defend the Otago proposal at the CUAP meeting. In this case, Tim will need additional support and resources from the proposing department to mount a defence at the meeting.

Academic Committees and Services will keep you notified of any important developments regarding your CUAP proposal.