



Administrative Review

Appendices to Guidelines (internal): 2021



Appendices for Review Guidelines

All the documents listed below are available at:

<http://www.otago.ac.nz/quality/reviews/>

Appendix 1 Framework and Standard Terms of Reference

Appendix 2 Māori Strategic Framework Guide

Appendix 3 Pacific Strategic Framework Guide

Appendix 4 Sustainability at Otago

Appendix 5 Information for prospective Panel Members

Appendix 6 Information for prospective Student/Graduate Panel Members

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Appendix 15 Frequently Asked Questions

Appendix 16 Timeline of Action Points

This information was provided by the Office of Māori Development (updated Oct 2019).

Background to the MSF

In June 2017, the University Council endorsed the institution's second Māori Strategic Framework (MSF), which presents a cohesive approach to Māori strategy across all campuses of the University of Otago. It also provides a greater sense of responsibility and accountability among both staff and students for the support and progression of 'things Māori'¹ at the University. Subsequently, the Vice-Chancellor's Advisory Group (VCAG) formally endorsed divisional responses to the MSF, which supports divisions and departments to develop their own plans as to how they will support and achieve the MSF goals. . Since then, and in actuality, prior to, divisions have been working diligently to progress their objectives and actions outlined in their plans.

MSF Prompts for Departmental Reviews

1. Do you know what the six goals of the University's MSF are?
2. Have you seen your own Divisional response to the MSF?
3. In what way does your department contribute to your Divisional MSF Plan?
4. What range of initiatives, projects and/or activities currently exists in your department which contribute directly to any of the six MSF goals?
5. The University's commitment to the Treaty of Waitangi is largely expressed in the MSF's second goal, partnership. What does this mean in practice for your department?
6. What are some opportunities for your department to contribute to in the future?
 - Leadership
 - Relationships/partnerships and community engagement
 - Māori research
 - Growth and development (staff and students, professional development etc.)
 - Quality programmes/Curriculum development
 - Language and culture.

Office of Māori Development:

Tel: 03 479 8081

Email: maori.development@otago.ac.nz

¹ In the context of the Māori Strategic Framework, 'things Māori' includes: Māori development, Te Ao Māori, te reo me ngā tikanga Māori, kaupapa Māori foci etc.

This information was provided by the Director, Pacific Development.

Background to the Pacific Strategic Framework

The University of Otago Pacific Strategic Framework 2013-2020 (PSF) was endorsed by the University of Otago Council on December 2012. It marked a significant milestone in the University's longstanding commitment to meeting the needs of Pacific Peoples¹. The Pacific Strategic Framework identifies six over-riding goals, supported by strategies and planned activities. It encompasses the University's engagement with all Pacific peoples, locally and regionally, with a focus on equity. The Pacific Strategic Framework supports the further development of activities that promote improved rates of access, retention and qualification completion among students of indigenous Pacific descent. The Framework will also catalyse further activities and measures in support of University of Otago Pacific staff.

PSF Prompts for Departmental Reviews

1. Do you know what the six goals of the University's PSF are?
2. What is the Divisional response to the PSF?
3. In what ways does your department contribute to your Divisional PSF Plan?
4. What range of initiatives, projects and/or activities exists in your department which contribute directly to any of the six PSF goals?
5. What are some opportunities for your department to contribute to in the future?
 - Leadership
 - Growth and development of Pacific students and Pacific staff
 - Pacific research
 - Curriculum development
 - Professional development in Pacific cultural awareness and cultural competencies
 - Relationships / partnerships and Pacific community engagement
 - Dedicated marketing and promotions.

Contact:

Tel: 03 479 8834

Email: pacificdevelopment@otago.ac.nz

¹ The term 'Pacific Peoples' used here is as defined by Statistics NZ Census Guidelines for Ethnicity identification.

This information was provided by the Sustainability Office (see below for contact details).

Sustainability has emerged as one of the largest challenges of the 21st century, with the agenda gaining prominence across the tertiary sector. Unsustainable practices mean that we are increasingly confronted with examples of deepening environmental degradation, social inequality, and restricted quality of life.

The University of Otago is committed to developing leadership through our response to the sustainability challenge, and will act in an ethically, socially and environmentally responsible manner. We are taking a holistic approach to sustainability, embedding it as part of the core ethos of working and studying at the University. Every person has a part to play in helping to ensure that the University operates in a way that is environmentally sound, socially just and economically viable.

The University's vision of excellence extends to sustainability¹. We recognise that as a research-led university we are uniquely placed to take a leadership role, not only by applying our research nous and responding appropriately to complex challenges posed by sustainability, but through educating future leaders who will be equipped to manage such challenges effectively. This is articulated in the University's Sustainability Strategic Framework.²

The University has recently launched the initiative, Green Your Scene which enables staff and students to actively take on sustainable practices in their workplace and residential college. This programme ensures teams are recognised for their efforts and are supported along the way.

A number of groups across the University are already working to identify and progress context-specific goals relating to sustainability. Some questions are listed below to assist you in considering not only the current and future impact of your research, teaching and learning, engagement, and operational activities, focusing on the unique contribution that you can make to support the University's sustainability transition.

Further support is available, so please do not hesitate to make use of it (refer to Resources & Key Contacts List).

Sustainability Prompts for Reviews

1. Do you know what the University's commitment to sustainability is?
2. What does sustainability mean within the context of your area?
3. Have you considered the relationship between your core activities and the broader commitment?
4. Beyond considering the sustainability impact of your current and future activities, have you established goals and begun measuring progress towards them?
5. Climate change is perhaps the biggest challenge we face. Have you considered how you incorporate climate action into your operational decisions such as travel, or your academic activity such as course content?
6. What initiatives, projects or activities currently exist within your department that directly support the University's sustainability transition?

¹ As outlined in <http://www.otago.ac.nz/otago053226.pdf>

² <https://www.otago.ac.nz/otago645054.pdf>

7. How do leaders within your department enable other staff to act upon their values of sustainability?
8. Are you aware of the Green Your Scene Programme that has launched here at the University to help you and staff integrate sustainable practices into your workplace?
9. Is it obvious to (new & current) staff and students that you support the University's sustainability initiative, and their involvement in sustainability-related activities?
10. Can you identify other opportunities for your department to contribute to the sustainability transition across the University's seven key strategic imperatives¹:
 - a. excellence in research
 - b. excellence in teaching
 - c. outstanding student experiences
 - d. outstanding campus environments
 - e. commitment as a local, national and global citizen
 - f. strong external engagement
 - g. sustaining capability?

Contacts:

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

www.otago.ac.nz/sustainability , <https://www.otago.ac.nz/otago645054.pdf>
<https://sdgs.un.org/goals>

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

The Role of Reviews

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

The Review

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

The process begins with a Self-Review written by the Unit under review. The review is then advertised and stakeholders are invited to make oral and written submissions. Standard but amendable "Terms of Reference" give context, focus and consistency to all aspects of the Review Panels' investigations. The review itself is usually held over three days. The Panel submit the final report to the Deputy Vice-Chancellor (Academic) 6–8 weeks after the review. When released by the Deputy Vice-Chancellor (Academic), the Report becomes a public document within the University.

The Commitment Required

Prior to the review visit you are expected to read the review documents (self-review report is usually sent out at least 4 weeks prior to the review). For the review visit itself you should plan to arrive in Dunedin the day before the review begins. You may be expected to attend a pre- review dinner on the evening before the scheduled review and you will be required to stay through to the end of the review. Your involvement in drafting of the report may continue for several weeks after the review until the final review report is submitted to the University.

Confidentiality

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

Costs

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

For information on honorarium payments and eligibility criteria, refer to the 'Policy on Payment'.

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

Megan Wilson, Reviews Manager, Tel: 03 479 6528 m.wilson@otago.ac.nz

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

Pete Dulgar, Reviews Administrator, Tel: 03 479 8861 pete.dulgar@otago.ac.nz

Further information is available at

www.otago.ac.nz/quality/reviews

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

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

Why do we have reviews?

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

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

The role of the graduate representative

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

If you are not enrolled at Otago you may be eligible for an honorarium payment. Please refer to the 'Policy on Payment' at http://www.otago.ac.nz/quality/reviews/panel_members.html

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

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

Professional development

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

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

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

The Review process

1. The Self Review report

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

The Review Secretary will be your main point of contact for the Review and will send you any necessary information. All material relating to the review is **confidential** to the review panel.

2. Submissions

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

3. The Review Visit

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

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

4. After the review

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

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

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

Megan Wilson, Reviews Manager, Tel: 479 6528 m.wilson@otago.ac.nz

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

Pete Dulgar, Reviews Administrator, Tel: 479 8861 pete.dulgar@otago.ac.nz

Introduction

The programme of internal reviews forms the basis of the University of Otago's quality assurance framework. The University is committed to the transparency of the processes surrounding the reviews and wishes to recognise formally the work of Convenors and Secretaries of Review Panels and Panel members.

Objective

This policy has been developed to provide a framework for the recognition of the expertise provided by review panel members through an appropriate scale of remuneration across the University.

Levels of Remuneration

Internal Otago Staff Members (excluding review secretary)

The University recognises the work undertaken by staff who serve on review panels through the Academic Promotion and Progression criteria for academic staff and the Performance Development Review for general staff, so there is no remuneration.

Staff Members of Other Tertiary Institutions

Service on a review panel by staff members of other tertiary institutions is generally recognised by their home institution, and therefore there is no remuneration.

University of Otago Graduates enrolled at another tertiary institution¹

For graduate panel members who are enrolled at another tertiary institution the University of Otago provides an honorarium of \$2000.

Retired Staff from Otago and Other Tertiary Institutions

The University of Otago recognises that the expertise of retired staff members can make a valuable contribution to the reviews process. Retired staff will be paid an honorarium of \$2000 for panel members and \$5000 for panel convenors for a standard three day review; panel convenors will receive an additional \$1000 per day for reviews that exceed three days.

¹ For Otago postgraduates your role is seen as Professional development, therefore there is no remuneration.

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

Panel Members from Outside Tertiary Education

For panel members from outside Tertiary Education, including former students, the University of Otago provides an honorarium of \$2000.

Review Secretaries

The University of Otago recognises that review secretaries provide an invaluable support to convenors and other panel members. Staff who take on this role in addition to other employment within the University are provided with a one-off payment of \$750 for each full review they undertake.

Review secretaries are not eligible for time off in lieu or overtime for the work of the review. (This section does not apply to the permanent review secretaries within the Quality Advancement Unit.)

Graduating Year Reviews

For Graduating Year Reviews (GYRs) the levels of remuneration are as detailed above. However, as the amount of work is less than in a full review, the honorarium for retired staff acting as panel members is \$250 per GYR and for retired staff acting as convenors is \$500 per GYR. External discipline specialists will be paid an honorarium of \$171.25 for each GYR.

Process and Taxing of Remuneration

Remuneration of panel members and secretaries is managed and administered by the Quality Advancement Unit. Like all review expenses, this remuneration is funded by the Divisions.* Payment to convenors and panel members is via the "Schedular Payment Request form" and payment to secretaries is via the "Review Secretary Payment Recommendation Form". All reviews remuneration is subject to tax: honoraria are schedular payments subject to withholding tax and review secretary remuneration is subject to PAYE. NZ payees must submit (or have on file with Payroll Services) an IR330 Tax Code Declaration. Questions regarding remuneration should be directed to the Quality Advancement Unit.

Variations

The Deputy Vice-Chancellor (Academic) may, in exceptional circumstances, approve a payment arrangement which does not comply with this policy.

* Some exceptions apply.

Applicability

This policy applies to Panel Members undertaking air travel for participation in the University of Otago Internal Reviews process.

Purpose

To ensure that reviews travel is cost effective and consistent with the University of Otago Travel Policy¹.

Policy

Air travel is usually² arranged and booked by the Review Secretary.

Air travel is to be booked through the Mandatory Travel Agents or an approved on-line booking system. All air travel is to be Economy Class.

Notes:

This policy covers all air travel, both domestic and international.

Where an invited Panel member requests to travel First Class, Business Class or Premium Economy, they may do so only when:

(a) the Traveller specifically agrees (prior to making the booking) to pay the difference between the Economy airfare and the First Class, Business Class or Premium Economy airfare;

And

(b) an external organisation or individual has agreed to pay, or reimburse the University, for a panel member to travel at a class above economy, either by paying the full cost of the travel or the full cost of the upgrade, the panel member must provide evidence of this before the travel is confirmed.

Where a Panel member wishes to change confirmed flights for personal reasons they will be liable for any additional costs incurred as a consequence of that change.

Travel Insurance: International travel will be insured through the University's travel insurance plan. Review Secretaries are to submit a "Travel Insurance Application for International Review Panel Members" for each international traveller to the University's Insurance and Assets Officer. Insurance coverage will then be on file but no insurance cards will be issued.

¹ <https://www.otago.ac.nz/administration/policies/otago025562.html>

² If a Panel member has complicated arrangements or is travelling with others, it is usually preferable for the Panel member to make their own arrangements and obtain reimbursement for their own airfare. Reimbursement would be for an Economy fare as quoted by the University Travel Agent and in line with the University Travel Policy.

Food and drink

The cost of meals will only be reimbursed or provided during the period that the Panel Member is on Review business. Original GST receipts must be provided in order to obtain reimbursement.

Generally the cost of meals (including non-alcoholic drinks) paid by the University of Otago should be in the mid-range, both in respect of the eating establishment concerned and in respect of the menu of the eating establishment. As a guide they should not exceed \$65 per head for dinner and \$45 per head for lunch.

In keeping with other University of Otago policy, alcoholic drinks paid by the University of Otago should normally only be purchased to accompany an evening meal. Alcohol sufficient to provide one standard drink per participant is acceptable. The alcohol provided should be mid-range and must not include spirits.

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/College's submission to the Panel. The Self Review needs to include factual information that contextualises the Unit/College, 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.

The Self Review document should also include discussion of:

- Challenges, concerns
- Successes
- Restrictions/Wants or aspirations
- Realities.

Matters for consideration and/or inclusion are:

Introduction

- Provide a short history/evolution of the Unit/College, highlight any special factors that have influenced development.
- Provide a short summary of changes made since the previous Unit/College Review e.g. recommendations enacted and resultant outcomes, etc...
- What does the Unit/College want from the review process e.g. Panel ideas, endorsements?

Management/Organisational Structure/Resources Outline

- The management structure, key roles and describe the processes for decision making.
- Staff profile (names, age profiles, levels) – and comments on the adequacy of the level of support.
- 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 the promotion or marketing of activities/services undertaken?

Appendices might include:

- Diagrams, charts or descriptions of the Unit's/College's organisational structure.
- Biosketches with photos of staff. CVs are not normally required. Job descriptions should be made available.

- Details of uptake of training.
- Space Register.
- Marketing material.

Operations

- Describe *what* the area actually does e.g. the service delivery aspects and why it is done.
- Describe *how* this is done e.g. the administration side and professional development.
- Describe H&S practice within the Unit/College.
- Describe the Unit's/College's Space, IT and Resources.
- Describe the Unit's/College's culture and ethos.
- Identify what it does well and what could be improved e.g. a SWOT analysis.
- Identify potential solutions/quality improvements.

Appendices might include:

- Current Health & Safety Report (H&S office) and Security Audit (from the Deputy Proctor).
- Handbooks/Procedures Manuals/Policies
- KPI measures and achievements
- Survey - documents and summaries
- Financial data (if necessary)
- Headcount/Work flow data

Project ToR/Parameters (if in project underway)

Strategic Focus (as appropriate)

- 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 Unit/College.
- Discuss how to best achieve all strategic aims. Identify short- and long-term goals, with links to the University's current strategic plan, challenges, new targets, objectives.
- 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? Benchmarking?
- Can this be maintained or improved upon?

Appendices might include:

- Copies of Divisional Plan and any other relevant planning documents

Resident Experience

- Pastoral Care – links to on and off campus supports; Te Whare Tapa Wha model
- Residential Assistants
- Tutorials
- Student/Resident Council/Committee
- Community development and events

Community Service/Outreach

- Outline staff contributions to University service on committees/Boards/etc. and consider the impact of this service on the unit/college.
- Discuss Unit/College outreach to the wider community.

FACTUAL CHECK OF REVIEW REPORTS POLICY

Revised 4 February 2011



Prior to finalisation of a Review Report by the Panel, the Convenor will send a copy of the Report to the Head of the Unit to check for factual inaccuracies. The Head will have two weeks from receipt of the Report to reply with any factual corrections. If no corrections are received within the two weeks, it will be assumed that the Report is factually accurate and the Report will go forward “as is” to the Report Approval Meeting.

Notes:

The Review Report reflects the views of the Review Panel only.

No response by the Head does not constitute “approval of” or “agreement with” the Report in any way other than to accept its factual accuracy.

The Status Reports provide the Unit with an opportunity to respond to the Review Report and its recommendations as well as to provide information about any implementation steps taken and/or planned.

Confidentiality Reminder: Until formally released by the DVC (Academic), this Report remains confidential to the Review Panel and the Head of Unit only. Although limited consultation to verify factual accuracies may be required, the Report has not yet been finalised and is not to be shared or circulated with others.

Review Report

The Review Panel produces a formal report of its findings, commendations and recommendations following the Review. Once released (see below) the Report is a public document within the University and can be obtained from the Quality Advancement Unit (QAU) by any member of the University community.

Time Frame: Reports are expected from the Panel within two months of the Review and are generally released for general distribution approximately one month later.

What happens to the Review Report?

Prior to finalisation by the Panel, the Convenor forwards a copy of the Review Report to the Head of the Unit who has two weeks to check for factual inaccuracies. The Report is then sent by the Convenor to the Deputy Vice-Chancellor (Academic). The DVC (Academic) holds a Report Approval meeting and discusses the Report's key findings with the relevant Pro-Vice-Chancellor, Dean (for Health Sciences), Convenor of the Review Panel and the QAU Reviews Manager, reflecting on the Review, the Report and the outcomes. The DVC (Academic) also discusses the Report's key findings with the Vice-Chancellor as appropriate.

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

When will the Review Report be released?

The DVC (Academic) normally authorises release of the Review Report at the conclusion of the Report Approval Meeting. QAU then distributes the Report, initially to those directly involved in the Review, then broadly across the University, as per QAU distribution procedures. Notice of the Reports release is posted on the QAU website and an all-departments email sent.

Time Frame: Distribution usually begins the day following the Report Approval Meeting.

How are the recommendations implemented?

The Review process requires two formal reports in the follow-up phase, followed by a Four Year Mid-Cycle Assessment to determine the date of the next Review. Further details relating to this process is discussed in the next section.

Prior to the status reports and immediately following receipt of the Review Report it is suggested that an "Implementation Plan" is prepared by the Head of the Unit (and/or the Pro-Vice-Chancellor or Divisional Head). This plan does not need to be submitted to QAU - it is for the unit's own use and will provide a framework for action to be taken in response to the recommendations in the Review Report. The Plan can then be updated and used as starting point for the formal status reports which must be submitted. The Plan may, for example:

- prioritise the recommendations
- identify steps to be taken on each recommendation
- delegate responsibility for action
- provide a time-line for implementation.

A guideline for the Implementation Plan is available on the QAU website.

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

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 2 years.

What format should the Status Report take?

There is no standardised style for reporting on review recommendations; however, the Status Report 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 each 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.

(See 'Tips for Status Reports' below)

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 Reports will be sent by the DVC (Academic) to the PVC/Divisional Head approximately six weeks prior to the due date.

What happens to the Status Report?

The DVC (Academic) responds in detail to the Status Reports and reports back to the Vice-Chancellor 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 Status Report will be supplied to the Review Convenor for their information.

Conclusion of the process

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

Mid-Cycle Assessment

As a consequence of the extension of the Review cycle, 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 reported on using the following template.

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.

Heads of Unit and PVCs/Divisional Heads are requested to complete a pre-populated template for the Mid-Cycle Assessment; this will be submitted to the Quality Advancement Committee for discussion and approval.

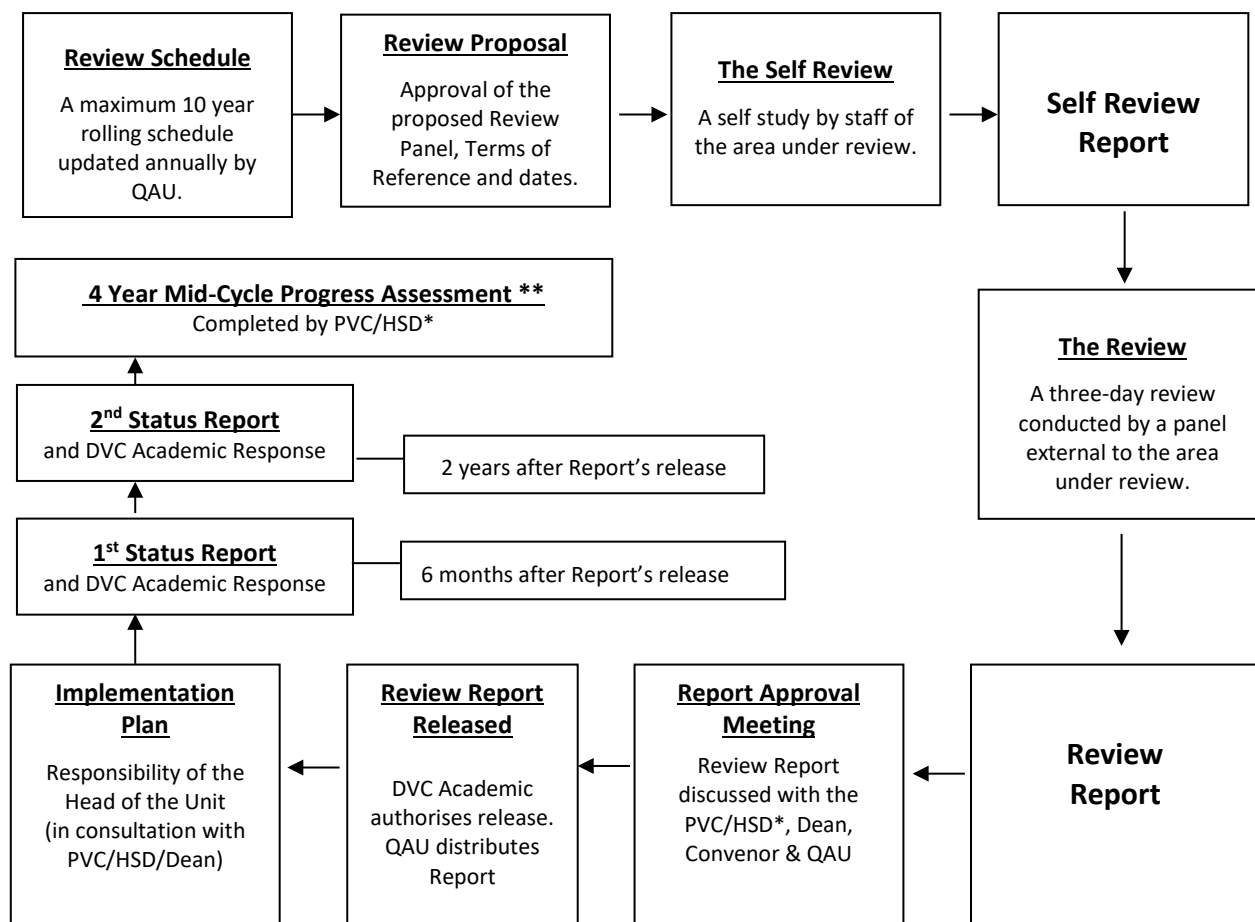
<i>Category A</i>	Business as usual, where a satisfactorily functioning department is the subject of a well-run review process. The review report comes to the conclusion that all is well, but as would be expected puts forward a number of suggestions (recommendations) for how a good department or program can become even stronger.
<i>Category B</i>	Describes an area that at the time of the review required transformation or restructuring, with those involved asking for outside assistance. These reviews may lead to substantial changes, whether to governance or teaching/research etc.
<i>Category C</i>	Refers to reviews where no major problems are expected but substantial problems emerge. Hence, the end result in the form of the review report is substantially different from what was envisaged before the review commenced, leading to recommendations for major change. Circumstances such as these cannot generally be predicted.

Further information

For further information about the internal review process please contact:

Megan Wilson, Reviews Manager at the Quality Advancement Unit
m.wilson@otago.ac.nz, ext. 6528
or consult the QAU website at www.otago.ac.nz/quality.

Overview of the Review Process



*HSD = Head of Service Division

** Submitted to Quality Advancement Committee

Tips for Status Reports

The Head prepares an "Implementation Plan" for their own use, within a month 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 request Status Reports at the 6-month and 2-year marks to monitor implementation of the recommendations.

Status Reports should include:

- detailed feedback on the progress of each recommendation, including who or what role has oversight of activity, indicative timeframe for actions;
- feedback on those recommendations successfully completed and
- the reasons/details as to why recommendations are NOT yet implemented and an indicative timeframe for action.

PVC/Dean comment is required before the Status Report is returned to QAU, and this may be embedded in the HOD’s Status Report or added in a separate document.

BE PREPARED – as 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.

There is no standardised format for responding to Review recommendations, however a template is available on request. Alternatively, the following examples may be considered for the Status Report structure:

1.

Recommendation written in full	6-month Status report	2-Year Status report
	Comments from HOD	Comments from HOD
	Comments from PVC	Comments from PVC
Recommendation written in full	6-month Status report	2-Year Status report
	Comments from HOD	Comments from HOD
	Comments from PVC	Comments from PVC

2.

<p>6-Month Status Report</p> <p><i>Recommendation 1:</i> cut and paste from Report</p> <p>Comments on progress PVC/Dean response</p> <p><i>Recommendation 2:</i> Cut and paste from Report</p> <p>Comments on progress PVC/Dean response</p> <p>Etc...</p> <p>2-Year Status Report</p> <p>Repeat for each Recommendation as above...</p>
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POLICY ON PROVISION OF STATUS REPORTS TO REVIEW CONVENORS

Updated January 2016



In the interest of providing Review Convenors with follow up information on the Review they convened, the Quality Advancement Unit will provide Convenors with a copy of the Unit's first Status Report. The Status Report will be confidential to the Convenor and must be destroyed once read.

Notes:

The Status Report is provided to Convenors as a courtesy and is for the Convenor's information only. The Convenor has no role in the Status Report process or any other aspect of the Review follow up.

Convenors will be provided with the first (6 month) Status Report prepared by the Unit only; any additional reports and/or comments submitted by the PVC, Dean and/or Director will not be included. Second Status Reports will be provided on request.

The Status Report is strictly confidential to the Convenor personally and must be destroyed appropriately by the Convenor once read. Convenor's who wish to provide fellow Panellists with follow up information may *advise* them of the contents of the Report but may not copy or circulate the Status Report itself.

The substance of this Policy will be communicated to Convenors in a covering memo along with a copy of the Post Review information flyer to ensure understanding and transparency of this procedure.

1. A review is your opportunity to make progress, effect change or consolidate.
2. Success is all in the preparation – this is the only bit of the process you have control over.
3. Start with a careful stock take.
4. Choose people you and your staff respect for the Panel.
5. Involve all staff, academic, technical and 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 review document.
10. Make sure you work with the Convenor of the Panel in advance.

1. Identify the major issues facing the Department/Programme in the next 5-7 years and clearly state these in your Self Review.
2. Propose possible strategies to deal with each of these issues (Don't expect the Panel to do this for you).
3. Identify a 'wish list' of goals or targets for achievement over the next 5-7 years and include these in your Self Review, or in a written submission to the Panel.
4. Approach the Review positively as an opportunity for Departmental self-assessment, and to seek confirmation and advice in developing and strengthening the Department or Programme over the next 5-7 years. Imbue staff with the same attitude.
5. Provide, as Appendices to the Self Review or as 'on-call' supporting documents, the evidence needed to support 1. and 3. (e.g. numbers of research students and their subsequent employment over the past 5-7 years; PBRF scores for a Department/ Programme in the last 2 rounds, etc.)
6. Alert the Convenor, in confidence and before the Panel meets, to any personnel issues, including relationships among staff in the Department that might constitute a conflict of interest, or cause embarrassment during interviews and discussions.
7. Choose a graduate representative on the Panel who has experience, maturity and confidence to contribute to the Review.
8. In the Self-Review, provide a list of ALL acronyms that appear in the Review with their full title; provide a separate list for relevant taught papers with acronym and number.
9. In the Self Review, provide brief descriptions of the role of each staff member in teaching, research and administration of the Department or Programme, accompanied by a recent photograph; include title and contact details.
10. Be open, frank and fair in discussions with the Panel.

Who selects the Review Panel?

The Review Panel is selected by the Unit under Review; this may be done in consultation with the relevant PVC and/or Dean. Once the Panel has been selected the Review Proposal Form is submitted to the DVC (Academic) for final approval (in the case of Reviews in the Operations Group the Chief Operating Officer also approves the Review Proposal Form). The DVC (Academic) may challenge Panel Members or recommend changes and/or additions to a Panel.

QAU can also provide a list of academic and general staff that have expressed interest in participating in Reviews.

Who sets the dates of the Review?

The dates of the Review are decided by the Unit under Review. This may be done in consultation with the Unit's proposed Convenor and Panel Members.

Does QAU invite the prospective Panel Members or do I?

The Unit under Review makes initial contact with the prospective Panel to confirm their willingness to participate and their availability. At this time the Unit under Review must also confirm with the Panel Members the three days over which the Review is to be held. Panel Members must be aware that the commitment is for three full days. The Panel normally meets at 8:30am on the first day of the review so Panel members should ensure they arrive in Dunedin the day before.

Once all of the proposed Panel have agreed to participate the Review Proposal Form should be completed and sent to the PVC/Director/Dean as required for authorisation. Following authorisation by the DVC (Academic) an official letter of invitation from the DVC (Academic) will be sent to the Panel Member with the confirmed Review dates, information pertaining to the Review and their role on the Panel.

What value does a Graduate Panel Member have?

The graduate member of the Panel is the only person who has an intimate knowledge of the unit under Review. If this is a departmental review they have often been through a programme and experienced the teaching and research environment of the department. As a graduate they are also in the unique position of knowing how prepared they felt when they entered the workforce.

We prefer a recent graduate rather than a student as there can be issues raised during a Review that it is difficult for a student to hear or for staff to feel comfortable speaking about freely and candidly in front of a student. Consistent with this, we prefer that the graduate member is not employed by the Unit, even in a part-time capacity nor should they be supervised (if they are postgraduate students in another department) by any staff members in the unit under review.

How many Panel Members should I have?

Although we do not require you to fill all seven positions available there are key roles that must be filled such as the Convenor and an External Representative. The number of Panel Members that the Unit selects will reflect what the Unit wishes to achieve in the Review. Each position has a distinct focus in terms of expertise that can be utilised by the Unit.

Who sets the Terms of Reference?

QAU has generic Terms of Reference for all styles of review but we strongly recommend that the Unit being reviewed amend these in order to make the Review as relevant as possible to them. If there are specific matters that the Unit would appreciate advice on or they wish to focus the Panel's attention on then add these to the Terms of Reference. Although QAU would recommend that the Unit retains the Framework for the Review the Unit may simply write Terms of Reference as a short list of points for investigation.

What about the Self Review?

The Self Review is a confidential document produced by the Unit and provided to the Panel. We strongly encourage staff to contribute to this document and, regardless of who produced this document, all staff should have the opportunity to view the final version of the Self Review prior to its submission to the Review Panel. There is no requirement to provide a copy of the Self Review to the PVC/Director of the Unit being reviewed; however, a Unit may choose to do this if they wish to.

Timeline of action points prior to the Review Visit

