

OTAGO POLYTECHNIC ACADEMIC POLICY		Number: AP1201.00
Title:	Self Assessment and Internal Evaluation	
ITPNZ Std:	12 Academic Review and Audit	
Chief Executive Approval:	Approval Date: 20 Sep 10	Effective Date: 20 Sep 10
Previous Policy No:	AP1200	Review Date: as required
Contact Authority:	Director: Quality	Status: Current

Purpose This policy ensures the Polytechnic is maintaining and enhancing its quality practices in line with Self Assessment and External Evaluation and Review.

Background The basis of Otago Polytechnic's reputation and accreditations, both present and future, is the operation of and compliance with a documented quality management system.

Academic Board has recommended or endorsed the necessary activities to enable the implementation of a programme of self assessment and internal evaluation and review. The Director: Quality has been given the delegated authority to conduct the self assessment and internal evaluation and review.

Self assessment activities recognise and promulgate good practice and promote effective quality management throughout the institution.

Definitions

In the context of this policy and Otago Polytechnic's self assessment and internal review process, the following definitions apply:

- Recommendation - A recommendation from the self assessment/internal review applies to individual programmes or sections and recommends to the Head of School/Manager that action on an issue or review of a situation should be considered.
- Requirement – A requirement from the self assessment/internal review provides for specific actions which must be carried out because, in the view of the Review Team and/or the Director: Quality, such actions are necessary for the effective performance of a School or Programme or Service Area.

Statutory Compliance

National Guidelines

Evaluative Approach to Quality Assurance – Policy Framework (NZQA. September 2009)
Using Evaluation to Strengthen Organisational Self-Assessment (NZQA. September 2009)
Policy and Guidelines for the Conduct of External Evaluation and Review (NZQA. September 2009)
Tertiary Evaluation Indicators (NZQA. August 2009)
<http://www.nzqa.govt.nz/for-providers/>

Policy and Procedures

1. Council and Leadership Team will evaluate their effectiveness in supporting educational achievement annually.
2. Each academic area and service area will have ongoing self assessment activities resulting in continuous quality improvement. The Internal



Evaluator will provide advice and guidance around self assessment activities and continuous quality improvement processes.

3. Leadership Team conducts an annual school/programmes and service area evaluative review. (See [Annual Programme Review Guidelines](#), Appendix 2, and [Guidelines for Service Area reviews](#), Appendix 3.)
4. The timetable for the annual programme and service review is established in November for the following year.
5. Objective and subjective data provide the measurements of quality. (See Appendix 1.)
6. Leadership Team will make judgements at the conclusion of the annual programmes and service area reviews. These judgements will be ratings assigned for performance dimensions and self assessment capability along with an overall rating for programmes or service area performance and a rating for programmes or service area capability in self assessment. (See [Annual Programme Review Guidelines](#), Appendix 2, and [Guidelines for Service Area reviews](#), Appendix 3.)
7. Leadership Team will provide a report to each school and service area on conclusion of the review meetings as well as an overall report to Academic Board and to Council.
8. Annual strategy reviews identify focus areas and processes for review and improvement.
9. The Internal Evaluator reviews and evaluates identified focus areas for continuous quality improvement.
10. The Internal Evaluator reviews and audits identified focus areas for compliance (where this is required).
11. Actions to address requirements and recommendations from reviews are incorporated into the area's Business Plan.
12. The Director: Quality is responsible for a summary report of self assessment activities which goes to Leadership Team and Academic Board for discussion and noting each September and is published on the intranet.
13. Matters of relevance arising from self assessment and internal evaluation are reported to Academic Board.
14. The Director: Quality is responsible for any budget requirements for the self assessment/internal review and external evaluation and reviews.
15. The Self Assessment Plan and Report and Internal Evaluation Activities are reported to Council's Audit and Risk Management Committee.

Referral Documents

Otago Polytechnic Continuous Quality Improvement Plan (see Appendix 1 Dimensions of Quality at Otago Polytechnic)

AP0707 Monitoring of Degree and Postgraduate Programmes

Otago Polytechnic Council's Manual of Committee Structure and Delegations

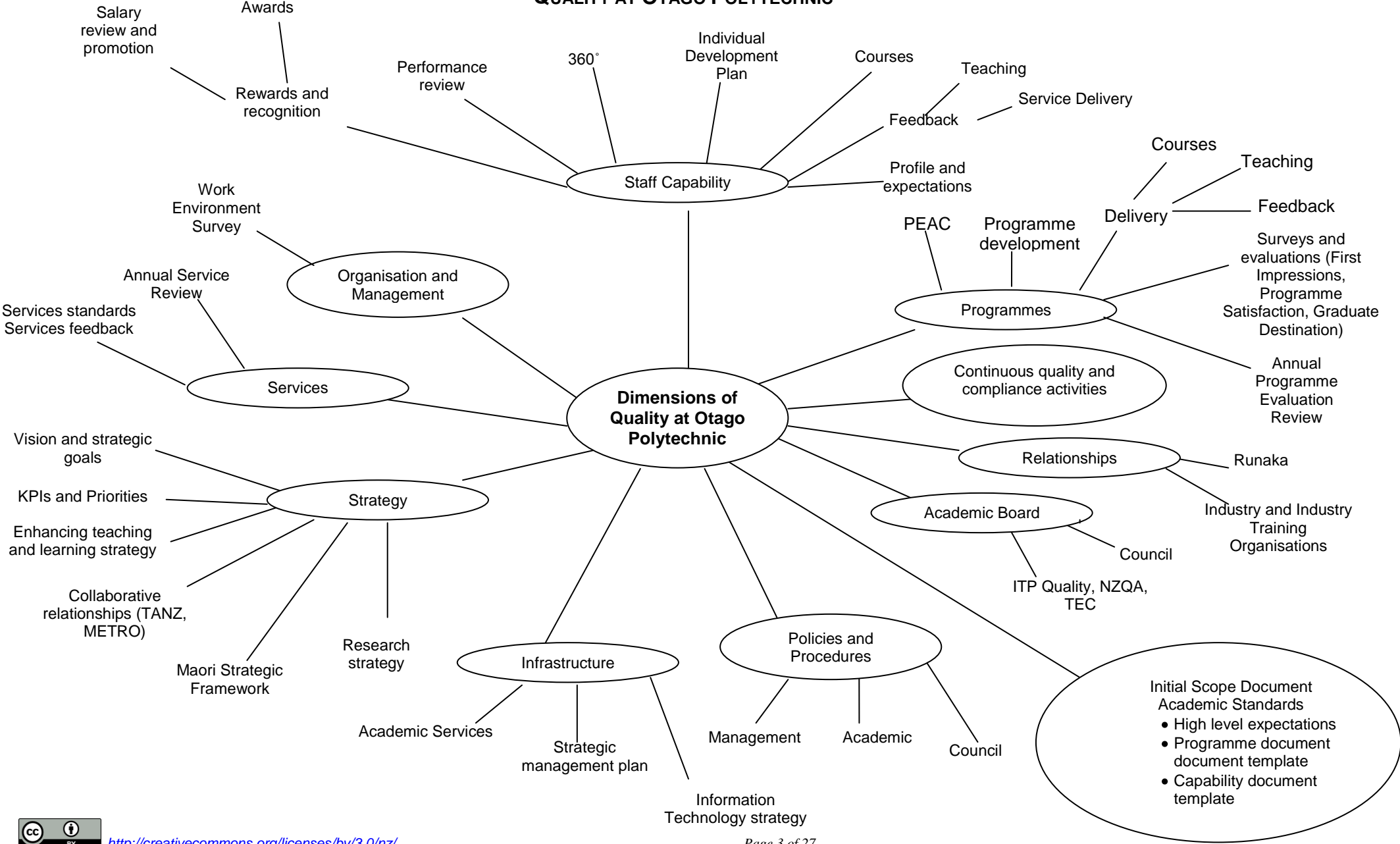
Delegation of Procedures

Approved by Chief Executive

Date: 20 September 2010



QUALITY AT OTAGO POLYTECHNIC



Management of Quality Responsibilities	Responsibilities
Council	<ul style="list-style-type: none"> • Provides effective governance that supports educational achievement • Conducts a self assessment process that evaluates performance in relation to KEQ 6 annually
Leadership Team	<ul style="list-style-type: none"> • Provides effective leadership and management that supports educational achievement • Conducts a self assessment process that evaluates performance in relation to KEQ 6 annually • Creates and fosters an environment that exemplifies the Polytechnic's stated values • Ensures robust self assessment processes throughout the Polytechnic • Conducts an annual internal evaluation and review of schools and service areas • Supports an environment of continuous quality improvement • Actively identifies and implements opportunities for improvement
Heads of School/Service Managers	<ul style="list-style-type: none"> • Ensures all school/service staff are involved in ongoing self assessment structured by six KEQs and strategic priorities resulting in continuous quality improvement • Fosters team environment that exemplifies the Polytechnic's values • Actively identifies and implements opportunities for improvement
Programme Managers	<ul style="list-style-type: none"> • Fosters team environment that exemplifies the Polytechnic's values • Ensures programme team is involved in ongoing self assessment based on six KEQs and strategic priorities
Lecturers	<ul style="list-style-type: none"> • Integrates self assessment, opportunities for improvement and continuous quality improvement underpinned by KEQs in all activities
General Staff	<ul style="list-style-type: none"> • Integrates self assessment, opportunities for improvement and continuous quality improvement underpinned by contribution to learner experience and achievement in all service activities
All	<ul style="list-style-type: none"> • Exemplifies Polytechnic's values



2012 ANNUAL SCHOOL AND PROGRAMMES REVIEW (ASPR) GUIDELINES

The Annual School and Programmes Review report is an integral part of Otago Polytechnic's self assessment and continuous improvement process. Self assessment is expected to focus on the Polytechnic's strategic priorities: teaching and learning, with an emphasis on improving learner achievement, on the quality of the learner experience, implementation of the Maori strategic framework, education for sustainability and on the quality of the working environment.

All schools/programmes are required to have reviewed their previous year's performance and self assessment processes and completed the report in PowerPoint format (using guidelines in "PowerPoint for the process") by 31 March 2012. This PowerPoint presentation/report is to be on the performance portal. Chris Bain will arrange this on receipt of the PowerPoint.

Performance and self assessment dimensions that received a rating of excellent in 2011 are exempt from emphasis in the review meeting unless there has been a subsequent deterioration in performance (See table Appendix 4).

There is a template (Appendix 3) attached to these guidelines to use for rating the schools/programme's performance dimensions and the self assessment processes for each of the performance dimensions as well as recording the school's overall confidence ratings for both performance and self assessment capability.

The review process is intended to:

- be authentic, real and transparent; reflecting the perspectives of all stakeholders
- result in evidence-based judgements
- meet internal and external quality assurance requirements, and
- lead to improved outcomes for learners and other stakeholders.

The annual review is linked to the School/Programme Area's business planning processes. The review team will expect alignment between what the School is actively doing and the objectives which have been set in the business plan; and requirements and/or recommendations arriving from the annual review are expected to be incorporated into the School's business plan.

It is expected that the ASPR is informed by:

- Course success and retention rates as submitted in SDR
- Qualification completion rates
- Programme satisfaction results
- AUSSE results (if students from school's programmes were in the sample group who responded)
- Student feedback on courses and on teaching
- Graduate Destination Survey
- Reports from Permanent External Advisory Committees
- Research and scholarly activity outputs (required for degree and postgraduate programmes, optional for diploma and certificate programmes)
- Staff capability, including tertiary teaching qualifications, current professional development completions/plans, currency with industry, and feedback on teaching.

The review is also about the self assessment process itself: are there robust processes in place for all performance dimensions, consistently followed and most importantly are staff actively participating? The best self assessment processes are those characterised by quality conversations amongst staff, leading to improvement actions based on sound evidence and analysis.



A. PROMPTS TO FOCUS SELF ASSESSMENT ON PERFORMANCE

How well do learners achieve?

Consider:

- successful course completion and retention; and qualification completion rates
- the action plans already in place to improve any individual course which is below 70%
- the learner experience, including the learning environment
- the extent to which graduates are employed and/or engaged in further study (evidence)

How well does each programme meet stakeholder needs?

Consider:

- ongoing stakeholder input and feedback including PEACs, about programme relevance and performance
- feedback from employers of graduates or students on work experience/clinical/co-op education
- development of learner capability and work readiness
- development of literacy and numeracy
- monitors report and any requirements and/or recommendations (degrees only)

How effective is the teaching? How do we know?

Consider:

- student feedback on teaching
- course and programme satisfaction surveys, AUSSE survey
- changes made as a result of feedback and reflections
- teaching and learning strategies, and especially experiential learning

How well are learners guided and supported?

Consider:

- information provided to students re course/programme requirements
- feedback for assessments and work experiences
- monitoring for “at risk” students
- links with student services
- specific school/programme related pastoral care initiatives

What is the value of the outcomes for key stakeholders including learners?

Consider:

- the extent to which learners’ needs are being met
 - graduate satisfaction feedback
 - graduate employment rates
 - capability development/work readiness
- the extent to which learner/community/employer needs are being met
 - feedback from employers

How well is management and leadership contributing to educational achievements?

Consider:

- the processes and systems in place at school level
- the role of managers in observing teaching, leading curriculum development and coaching staff

How well are students being prepared to be sustainable practitioners?

Consider:

- the extent to which programme documents meet OP expectations
- the teaching and learning strategies specifically addressing sustainability
- the assessment of learner capability re sustainability



- the extent to which the school “walks the talk” re operational sustainability

To what extent is the work environment conducive to high performing staff and excellent outcomes for learners?

Consider:

- Latest WES results and subsequent actions to enhance the work environment
 - have priorities for action been identified?
 - are action plans in place?

How well is the School/Programmes progressing with implementation of the MAORI STRATEGIC FRAMEWORK?

Consider:

- Maori student retention, success and satisfaction rates
- Maori knowledge and perspectives in the curriculum
- the learning environment for Maori learners
- support for Maori learners

To what extent are DEGREE programmes supported by an active RESEARCH programme?

Consider:

- research plans
- number of research active staff
- number and quality of research outputs

What is the future focus of the School: where is the School heading and what does it aspire to?

Consider:

- the challenges and influences (internal and external) facing the School and its programmes in the future
- the strategic positioning of the School – vision, strategic goals
- long term plans and the initiatives for implementation of plans
- alignment with OP strategic directions

Good Practices Identified

Consider:

- practices which have been put in place to foster retention and success and/or to address specific issues; and which have been demonstrably successful

B. RATE YOUR SCHOOL’S PERFORMANCE ON EACH OF THE PERFORMANCE DIMENSIONS BELOW (using the template for performance and self-assessment ratings – Appendix 3) (refer to the rubric in Appendix 1).

Performance dimensions:

- **Learner achievement** – achievement targets met/improving
- **Effectiveness of teaching** – student feedback is positive
- **Learner guidance and support** – student satisfaction with guidance and support is high; attrition rates are low
- **Programme value and relevance**
 - experiential learning strategies in place
 - graduates are capable and work ready
 - literacy and numeracy is addressed
- **Effectiveness of educational management and leadership** – active leadership of quality and improvement
- **Education for sustainability** – integrated into teaching and assessment
- **Work environment** – WES targets are met/improving



- **Implementation of the Maori Strategic Framework** – positive learning environment, achievement and satisfaction targets met/improving
- **Research** (degrees only)
 - research plans in place
 - outputs increasing
- **Future focus** – clear strategy in place with high staff buy in

C. RATE YOUR SCHOOL'S SELF ASSESSMENT PROCESSES FOR EACH PERFORMANCE DIMENSION (using the template for performance and self assessment ratings- Appendix 3, the rubric in Appendix 1 and the prompts in section D below.

D. PROMPTS TO FOCUS SELF ASSESSMENT ON SELF ASSESSMENT/CONTINUOUS IMPROVEMENT PROCESSES

- **What systems/processes are in place for self assessment of performance, with a view to improving how well learners achieve and the quality of the learner experience?**
 - Effective self assessment systems/processes are in place – a variety of types and sources of information are used, deployment of processes is consistent
 - Information is analysed and interpreted and evidence based conclusions are reached

Consider processes for:

- progressive and regular monitoring of student performance
- review of courses and programmes
- moderation of assessment
- monitoring and improvement of teaching effectiveness
- handling of complaints from students
- getting feedback from employers

How effective are these self assessment processes?

Consider:

- the extent to which decisions are evidence based
- how staff are engaged in understanding and responding to School/Programme performance metrics
- how learnings are shared amongst staff
- how issues are followed up: action plans formed and implemented
- how improvement initiatives are evaluated for success

Good Practices in Self Assessment

Consider:

- practices which have been put in place to ensure staff are regularly and actively engaged in self assessment and which are demonstrably leading to improvement initiatives.
- as a consequence of self assessment are actioned and monitored for effectiveness

E. REQUIREMENTS AND RECOMMENDATIONS FROM THE 2011 REVIEW

The requirements from the 2011 review should either be completed/achieved or built into the 2012 Business Plan. An update is required on those requirements with particular emphasis on those not yet actioned and/or not completed.

F. OPPORTUNITIES FOR IMPROVEMENT (OFIs)

Consider for all performance areas and for self assessment:

- the OFIs identified in the last review and the extent to which they were successfully implemented
- new OFIs, in light of self assessment activities since the last review



G. SELF ASSESS CONFIDENCE IN PERFORMANCE AND SELF ASSESSMENT i.e. how confident can we be about the future (refer to rubric in Appendix 2)

Performance	Self Assessment
<ul style="list-style-type: none">• Highly confident	<ul style="list-style-type: none">• Highly confident
<ul style="list-style-type: none">• Confident	<ul style="list-style-type: none">• Confident
<ul style="list-style-type: none">• Not yet confident	<ul style="list-style-type: none">• Not yet confident

H. After the review meeting Leadership Team will provide a report which will either confirm the service area's self ratings or have assigned a different rating. Reasons will be provided for the LT rating where it differs from the self rating.

Good practices, OFIs, recommendations and requirements will also be identified in this report (see template Appendix 5)



APPENDIX 1

(1) Judging Performance

For each performance dimension (refer to Page 3) provide a self rating according to the following rubric:

Excellent	Exemplary performance, good practice throughout, all OP expectations being met with no gaps or weaknesses
Very Good	Performance is manifestly better than good but not yet excellent
Good	Generally strong performance, with no <u>significant</u> gaps or weaknesses. Minor gaps/weaknesses have been identified and are being addressed.
Developing	Inconsistent performance; gaps or weaknesses are either not identified or being addressed. Meeting minimum expectations but with actions being taken to address issues.

(2) Judging Self Assessment Process

For each performance dimension (see Page 4), provide a self assessment rating according to the following rubric:

Excellent	Effective self assessment processes are embedded, and are used to gain a full understanding of performance and bring about worthwhile improvements, based on evidence and in a timely way. All staff are fully engaged.
Very Good	Self assessment processes are manifestly better than “Good” but not yet excellent
Good	Self assessment processes are in place and clearly lead to improvement. Gaps or weaknesses in process have been identified and improvement actions are being taken. All staff are participating in improvement processes.
Developing	Attempts are being made to self assess, but deployment is inconsistent and improvements are ad hoc



APPENDIX 2

Judging confidence in future performance and self assessment

Using the following rubric, how confident can we be about School performance (all programmes) and effective self assessment process

A. Confidence in Performance

(Performance targets are the OP targets unless LT has approved a lower target.)

- | | |
|-------------------|---|
| Highly confident | <ul style="list-style-type: none">- All programme performance expectations are being met.- Clear and comprehensive evidence exists that this area has well designed, relevant programmes, is learner focused and purposefully attending to the development of learner capability and an outstanding learner experience. Teaching and learning practices are well aligned with the Polytechnic's expectations, and there is a clear and strong future focus.- A strong learning culture is evident.- Self assessment is realistic, OFIs are appropriate and good practice is evident and good processes are in place.- Clear action orientation: areas for improvement are actively being addressed. |
| Confident | <ul style="list-style-type: none">- Performance expectations are being met, especially successful course completion, retention and qualification completion rates; or are at least 90% of target, are trending up and a robust plan of action is in place; clear action orientation – areas for improvement are actively being addressed; no process deficiencies evident.- Sound evidence that programmes are meeting employer and learner needs and good progress is being made towards meeting the Polytechnic's expectations for the curriculum.- Clear efforts are being made to develop learner capability, but not necessarily in an integrated way across the curriculum. There is a clear focus on improving the learner experience, and attention is being paid to the longer term.- A learning culture is clearly developing. |
| Not yet confident | <ul style="list-style-type: none">- Performance expectations are not being met, especially successful course completion, retention and qualification completion rates, which are below targets and/or declining- There is insufficient evidence that the area is meeting learner needs, and is developing teaching and learning consistent with the Polytechnic's expectations.- The focus on capability development is patchy, as are the efforts to improve the learner experience.- A learning culture is not evident. |



B. Confidence in Self Assessment

Highly Confident

- Robust and effective self assessment processes are well embedded, covering all performance dimensions
- Findings are used insightfully to make comprehensive improvements
- A strong improvement culture is evident, with all staff fully participating in self assessment activity

Confident

- A range of effective self assessment processes are in place for all performance dimensions and any gaps have been identified and are being managed
- Self assessment is purposeful and findings are used to make useful improvements
- A continuous improvement culture is clearly developing and staff are participating in meaningful ways

Not Confident

- Processes are narrow and/or inadequately cover all the performance dimensions
- Findings are patchy and not likely to lead to significant improvements
- Continuous improvement is not yet part of the School culture



APPENDIX 3

2012 Annual Review

Performance and Self Assessment Ratings

School	
Programmes	List programmes here

PERFORMANCE DIMENSIONS	PERFORMANCE	SELF ASSESSMENT
Learner achievement		
Effectiveness of teaching		
Learner guidance and support		
Programme value and relevance		
Effectiveness of educational management and leadership		
Education for sustainability		
Work environment		
Implementation of Māori Strategic Framework		
Research (degrees only)		
Future Focus		

OVERALL RATINGS

PERFORMANCE	SELF ASSESSMENT CAPABILITY



**APPENDIX 4
SCHOOL/PROGRAMMES ANNUAL REVIEW 2012
Focus Dimensions for 2012**

	ABE	ART	COT	CSP#	DES	FOL	HSS	ICT	MID	NAT	NUR	OCC	OISA	SAB/ CLC	SOS	VET
Learner Achievement	Dev	Ex	VG	N/A	VG	VG	VG	G	VG	VG	Ex	Ex	VG	G	G	VG
Effectiveness of Teaching	G	Ex	Ex	N/A	VG	VG	VG	VG	VG	Ex	Ex	G	VG	VG	G	VG
Learner Guidance and Support	G	Ex	Ex	N/A	VG	Ex	G	VG	Ex	Ex	Ex	VG	VG	Ex	VG	Ex
Programme Value and Relevance	VG	Ex	Ex	Ex	VG	Ex	VG	Ex	Ex	VG	Ex	Ex	VG	Ex	VG	Ex
Effectiveness of Educational Management and Leadership	G	Ex	Ex	Good	VG	Ex	G	VG	Ex	VG	Ex	G	Ex	VG	Ex	VG
Education for Sustainability	G	G	Ex	Ex	VG	G	G	Ex	VG	Ex	G	G	G	G	G	G
Work Environment	VG	VG	VG	N/A	G	VG	G	Ex	VG	Ex	G	G	Ex	G	VG	G
Implementation of Māori Strategic Framework	G	VG	G	Dev	VG	G	G	G	VG	G	Ex	G	VG	G	G	G
Research (degrees only)	Dev*	Ex	NA	Good	G	NA	Dev*	Dev	VG	NA	Dev	G	Dev*	G	Dev*	NA
Future Focus	G	VG	VG	Ex	G	G	G	G	VG	G	G	Dev	VG	G	G	VG
OVERALL RATING	C	HC	HC	C	C	HC	C	C	HC	HC	HC	C	HC	C	C	HC
Effective Self Assessment, Systems/ Processes are in Place	G	Ex	VG	Dev	G	VG	G	Ex	Ex	Ex	Ex	G	G	Ex	VG	VG
Information is Analysed and Interpreted and Evidence Based Conclusions are Reached	G	Ex	VG	Dev	G	VG	G	Ex	Ex	Ex	VG	G	G	VG	G	VG
Improvements as a Consequence of Self Assessment are Actioned and Monitored for Effectiveness	G	Ex	VG	Dev	G	VG	Dev	Ex	Ex	VG	VG	G	G	VG	G	VG
OVERALL RATING	C	HC	HC	C	C	HC	C	HC	HC	HC	HC	C	C	HC	C	HC

#New School /New programmes established in 2010 *New degrees in first three year s of implementation



Memo



To: [HoS name]

From: Sue Thompson on behalf of Leadership Team **cc:** Leadership Team

Subject: [School name] Review Report

Date: [date] 2012

Thank you for...

PERFORMANCE DIMENSIONS	PERFORMANCE		SELF ASSESSMENT	
	SELF RATING	LEADERSHIP TEAM RATING	SELF RATING	LEADERSHIP TEAM RATING
Learner achievement				
Effectiveness of teaching				
Learner guidance and support				
Programme value and relevance				
Effectiveness of educational management and leadership				
Education for sustainability				
Work environment				
Implementation of Māori Strategic Framework				
Research (degrees only)				
Future Focus				

OVERALL RATINGS

PERFORMANCE	SELF RATING	LEADERSHIP TEAM RATING	SELF ASSESSMENT CAPABILITY	SELF RATING	LEADERSHIP TEAM RATING

Opportunities for Improvement

1.



Good Practices

1.

Commendations

1.

Recommendations

1.

Requirements

1.

Regards
Sue



2012 ANNUAL SERVICE REVIEW GUIDELINES

The Annual Service Review (ASR) is an integral part of Otago Polytechnic's self assessment and continuous improvement process. All service areas are required to have reviewed their previous year's performance and self assessment processes and completed the report in PowerPoint format (using guidelines in "powerpoint for the process") by 31 March 2012. This PowerPoint presentation/report is to be on the performance portal. Chris Bain will arrange this on receipt of the PowerPoint.

Performance and self assessment dimensions that received a rating of excellent in 2011 are exempt from emphasis in the review meeting unless there has been a subsequent deterioration in performance (See table Appendix 4).

There is a template (Appendix 3) attached to these guidelines to use for rating the service area's performance dimensions and the self assessment processes for each of the performance dimensions as well as recording the service area's overall confidence ratings for both performance and self assessment capability.

The overarching focus of the ASR is on service quality, with an emphasis on the extent to which each service adds to our educational objectives and priorities as set out in our strategy. The ASR meetings are intended to be a robust discussion about the extent to which each service is contributing to the Polytechnic's strategy and is future focussed. Two themes will pervade the reviews, depending on the services being reviewed:

- the opportunities to improve the quality and cost effectiveness of services and/where appropriate
- the contribution the service area makes to an 'outstanding learner experience'

The review process is intended to:

- be authentic, real and transparent; reflecting the perspectives of all stakeholders
- result in evidence-based judgements
- meet internal and external quality assurance requirements, and
- lead to improved outcomes for the customers of the service area

The annual review is linked to the Service Area's business planning processes. The review team will expect alignment between what the Service Area is actively doing and the objectives which have been set in the business plan; and actions arising from this review are expected to be incorporated into the business plan.

It is expected that the ASR is informed by:

- customer feedback on service quality
- appropriate metrics for measuring performance, efficiency, productivity and cost effectiveness

The review is also about the self assessment process itself: are there robust evidence based processes in place for all performance dimensions that are consistently followed and most importantly are staff actively participating? The best self assessment processes are those characterised by quality conversations amongst staff leading to improvement actions based on sound evidence and analysis.



A. PROMPTS TO FOCUS SELF ASSESSMENT ON PERFORMANCE

To what extent are the right services being delivered?

Consider:

- the necessity of providing current services
- any gaps in services that have been raised by customers

To what extent are services meeting customer expectations?

Consider:

- who the customers really are, and how well each group is being serviced
- customer feedback
- complaints, if any
- cost effectiveness of service delivery – performance metrics

To what extent are the services provided contributing to an outstanding learner experience?

Consider:

- the contribution to the learning environment
- contribution made to teaching and learning e.g. hosting students on work experience, guest lecturers, sponsoring student projects

To what extent are services delivered in a sustainable way?

Consider:

- specific practices to minimise waste and environmental impacts
- understanding by staff of sustainable practice
- efficiency and effectiveness of processes used
- the necessity of providing all current services

To what extent is the work environment conducive to high performing staff and excellent outcome for customers?

Consider:

- WES results and subsequent actions
 - have priorities for action been identified?
 - are action plans in place?

How well is the service area contributing to the implementation of the Maori Strategic Framework?

Consider:

- development of staff – understanding of Treaty, of MoU, of practices and protocols appropriate to OP
- contribution to a learning environment conducive to Maori

What is the future focus of the Service Area: where is the Service Area heading and what does it aspire to?

Consider:

- the challenges and influences (internal and external) facing this area in the future
- the strategic positioning of the Service Area – vision, strategic goals
- long term plans
- alignment with OP strategic directions
- initiatives to implement the Service Area strategy



Good Practices Identified

Consider:

- practices which have been put in place to improve the quality of services and to better meet customer needs; and which have been demonstrably successful

B. RATE YOUR SERVICE AREA'S PERFORMANCE ON EACH OF THE PERFORMANCE DIMENSIONS BELOW (using the template for performance and self assessment ratings- Appendix 3 and the rubric in Appendix 1)

- **Service delivery**
 - satisfied customers: survey metrics
 - efficiency and cost effectiveness: productivity and cost metrics
- **Contribution to learner experience** – contributions evident
- **Operational sustainability** – sustainable practice evident
- **Implementation of Maori Strategic Framework** – contributions evident
- **Work environment** – WES targets are met/improving
- **Future focus** – clear strategy in place with high staff buy in

C. RATE YOUR SERVICE AREA'S SELF ASSESSMENT PROCESSES FOR EACH PERFORMANCE DIMENSION (using the template for performance and self assessment ratings- Appendix 3 and the rubric in Appendix 1 and the prompts in section D below.

D. PROMPTS TO FOCUS SELF ASSESSMENT ON SELF ASSESSMENT/CONTINUOUS IMPROVEMENT PROCESSES

What systems/processes are in place for self assessment of performance, with a view to improving service delivery?

Consider:

- processes for getting regular feedback from customers
- receiving and responding to complaints
- recording and analysing performance
- evaluation of projects post completion

How effective are these self assessment processes?

Consider:

- the extent to which decisions are evidence based
- how staff are engaged in understanding and responding to service area performance
- how learning is shared amongst staff
- how issues are followed up: action plans formed and implemented
- how improvement initiatives are evaluated for success

E. REQUIREMENTS AND RECOMMENDATIONS FROM THE 2011 REVIEWS

The requirements from the 2011 review should either be completed/achieved or built into the 2012 Business Plan. An update is required on those requirements not yet actioned and/or not completed.

F. OPPORTUNITIES FOR IMPROVEMENT (OFIs)

Consider for all performance areas and for self assessment:

- the OFIs identified in the last review and the extent to which they were successfully implemented
- new OFIs, in light of self assessment activities since the last review



G. SELF ASSESS CONFIDENCE IN PERFORMANCE AND SELF ASSESSMENT i.e. how confident can we be about the future (refer to rubric in Appendix 2)

Performance	Self Assessment
<ul style="list-style-type: none">• Highly confident	<ul style="list-style-type: none">• Highly confident
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<ul style="list-style-type: none">• Not yet confident	<ul style="list-style-type: none">• Not yet confident

H. After the review meeting Leadership Team will provide a report which will either confirm the service area’s self ratings or have assigned a different rating. Reasons will be provided for the LT rating where it differs from the self rating.

Good Practices, OFIs, recommendations and requirements will also be identified in this report (see template Appendix 5)



APPENDIX 1

A. Judging Performance

For each performance dimension (refer to Page 3) provide a self rating according to the following rubric:

Excellent	Exemplary performance, good practice throughout, all OP expectations being met with no gaps or weaknesses
Very Good	Performance is manifestly better than good but not yet excellent
Good	Generally strong performance, with no <u>significant</u> gaps or weaknesses. Minor gaps/weaknesses have been identified and are being addressed.
Developing	Inconsistent performance; gaps or weaknesses are either not identified or being addressed. Meeting minimum expectations but with actions being taken to address issues.
Not adequate	Does not meet minimum expectations and/or insufficient evidence to draw conclusions. N.B. An absence of evidence will always attract a judgement of inadequate performance.

B. Judging Self Assessment Process

For each self assessment performance dimension (see Pages 3/4) provide a self assessment rating according to the following rubric:

Excellent	Effective self assessment processes are embedded, and are used to gain a full understanding of performance and bring about worthwhile improvements, based on evidence and in a timely way. All staff are fully engaged.
Very Good	Self assessment processes are manifestly better than "Good" but not yet excellent
Good	Self assessment processes are in place and clearly lead to improvement. Gaps or weaknesses in process have been identified and improvement actions are being taken. All staff are participating in improvement processes.
Adequate	Attempts are being made to self assess, but deployment is inconsistent and improvements are ad hoc
Inadequate	Self assessment is ineffective, or has serious weaknesses



APPENDIX 2

Judging confidence in future performance and self assessment

Using the following rubric, how confident can we be about service performance and effective self assessment processes:

Confidence in Performance

Highly Confident

- Clear and comprehensive evidence that this area is delivering the right services, meeting customer needs, is highly responsive to customer feedback. Well aligned with Polytechnic strategy and future focussed.
- A clear and strong service culture is evident

Confident

- Sound evidence that this area is delivering valuable services, customer satisfaction is good and genuine efforts are made to understand and respond to customer needs. Services are consistent with the Polytechnic's strategy but not necessarily future focussed.
- A service culture is clearly developing

Not Confident

- There is insufficient evidence that the service area is meeting customer needs, and that services are necessary in relation to the strategic directions of the Polytechnic
- A service culture is not evident

Confidence in Self Assessment

Highly Confident

- Robust and effective self assessment processes are well embedded, covering all aspects of teaching and learning, and in relation to all OP expectations
- Findings are used insightfully to make comprehensive improvements
- A strong improvement culture is evident, with all staff fully participating in self assessment activity

Confident

- A range of effective self assessment processes are in place and any gaps have been identified and are being managed
- Self assessment is purposeful and findings are used to make useful improvements
- A continuous improvement culture is clearly developing and staff are participating in meaningful ways

Not Confident

- Processes are narrow and/or inadequately cover the key elements of teaching and learning and other OP expectations
- Findings are patchy and not likely to lead to significant improvements
- Continuous improvement is not yet part of the area culture



APPENDIX 3

2012 Annual Review

Self Assessment Ratings

Service Area	
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PERFORMANCE DIMENSIONS	PERFORMANCE	SELF ASSESSMENT
Service delivery		
Contribution to learner experience		
Operational Sustainability		
Implementation of Māori Strategic Framework		
Work environment		
Future Focus		

OVERALL RATINGS

PERFORMANCE	SELF ASSESSMENT CAPABILITY



APPENDIX 4

SERVICE AREAS ANNUAL REVIEW 2012 Focus Dimensions for 2012

	ACADEMIC SERVICES	CAMPUS SERVICES	CAPABLE NZ	CUSTOMER SERVICES	FINANCE AND CONTRACTS	FOOD SERVICES	HUMAN RESOURCES	INFORMATION SYSTEMS AND SUPPORT	MARKETING, COMMUNICATIONS AND CUSTOMER RELATIONS	STUDENT SERVICES
Service Delivery	Very Good	Very Good	Very Good	Very Good	Very Good	Good	Excellent	Excellent	Very Good	Very Good
Contribution to Learner Experience	Very Good	Very Good	Very Good	Very Good	Good	Very Good	Excellent	Excellent	Very Good	Very Good
Operational Sustainability	Very Good	Very Good	Good	Very Good	Good	Good	Very Good	Very Good	Very Good	Very Good
Implementation of Māori Strategic Framework	Very Good	Developing	Good	Good	Developing	Developing	Very Good	Good	Developing	Good
Work Environment	Excellent	Good	Good	Very Good	Very Good	Developing	Excellent	Very Good	Very Good	Good
Future Focus	Developing	Developing	Good	Good	Good	Good	Very Good	Very Good	Good	Very Good
OVERALL RATING	Highly Confident	Confident	Confident	Highly Confident	Confident	Confident	Highly Confident	Highly Confident	Highly Confident	Highly Confident
Effective Self Assessment Systems/ Processes are in Place	Very Good	Developing	Good	Good	Good	Good	Very Good	Very Good	Developing	Very Good
Information is Analysed and Interpreted and Evidence Based Conclusions are Reached	Very Good	Developing	Good	Good	Good	Good	Very Good	Very Good	Good	Good
Improvements as a Consequence of Self Assessment are Actioned and Monitored for Effectiveness	Excellent	Developing	Good	Good	Good	Good	Very Good	Very Good	Good	Good
OVERALL RATING	Highly Confident	Confident	Confident	Confident	Confident	Confident	Highly Confident	Highly Confident	Confident	Confident



Memo



To: [Service Area Managers name]

From: Sue Thompson on behalf of Leadership Team cc: Leadership Team

Subject: [Service Area name] Service Area Review Report

Date: [date] 2012

Thank you for.....

PERFORMANCE DIMENSIONS	PERFORMANCE		SELF ASSESSMENT	
	SELF RATING	LEADERSHIP TEAM RATING	SELF RATING	LEADERSHIP TEAM RATING
Service delivery				
Contribution to learner experience				
Operational Sustainability				
Implementation of Māori Strategic Framework				
Work environment				
Future Focus				

OVERALL RATINGS

PERFORMANCE	SELF RATING	LEADERSHIP TEAM RATING	SELF ASSESSMENT CAPABILITY	SELF RATING	LEADERSHIP TEAM RATING

Opportunities for Improvement

1.

Good Practices

1.

Commendations

1.

Recommendations

1.

Requirements

1.



Regards
Sue



Key Evaluation Questions (KEQs)

- KEQ 1 How well do learners achieve?
- KEQ 2 What is the value of the outcomes for key stakeholders, including learners?
- KEQ 3 How well do programmes and activities match the needs of learners and other stakeholders?
- KEQ 4 How effective is the teaching?
- KEQ 5 How well are learners guided and supported?
- KEQ 6 How effective are governance and management in supporting educational achievement

