

# An introduction to Cycle 6 Academic Audit and self-review

Pilot workshop

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# Topics

- An introduction to Cycle 6 Academic Audit
  - Components and phases
- The Cycle 6 Audit Framework
  - Guideline statements
  - Underpinning elements
  - Scope
- Undertaking a self-review
  - Preface
  - The nature of evidence in Cycle 6
  - Identifying enhancement initiatives
  - The self-review report and narrative



# Cycle 6 Phases

2017	2018	2019	2020	2021	2022	2023	2024
Enhancement theme				Thematic emphasis			Review of cycle
			Self-review	Audit framework (guideline statements)			
Mid-cycle report				Includes report on Cycle 5			



# Audit Phase (2021 – 2023)

- Self-review (2020)
- Cycle 6 Audit Framework developed in consultation with universities
- Audit framework
  - 30 guideline statements across 5 sections
    - Including guideline statements to be confirmed by the Enhancement Theme
  - Looking for evidence of embedded, or systemic, quality
    - ALL students, ALL delivery, ALL staff who undertake or support teaching or supervision
  - Reflect obligations of universities under the New Zealand Education Act



# Cycle 6 Audit Framework

## Cycle 6 Academic Audit Framework:

All students, all delivery, all staff who teach or supervise or support teaching or supervision

### A. LEADERSHIP AND MANAGEMENT OF TEACHING AND LEARNING AND ACADEMIC QUALITY

- GS 1. Planning and reporting: The university gathers and uses appropriate and valid data and information to establish objectives, plan, assess progress and make improvements in its teaching and learning activities.
- GS 2. Student voice: Improved outcomes for students are enabled through engaging with the student voice in quality assurance processes at all levels, and this is communicated to students.
- GS 3. Teaching and learning environments: Teaching and learning activities are supported by appropriate learning environments (infrastructure, spaces, media, facilities and resources).
- GS 4. Academic delegations: Academic delegations support consistent and effective decision making and accountability for teaching and learning quality and research supervision.
- GS 5. Academic risk management: Potential disruption to the quality and continuity of teaching and learning at the university, including risks to infrastructure, is mitigated through effective risk management processes.
- GS 6. Progress on enhancement theme initiatives and activities for Māori students [placeholder]
- GS 7. Progress on enhancement theme initiatives for Pasifika students [placeholder]

### B. STUDENT LIFE-CYCLE, SUPPORT AND WELLBEING

- GS 8. Access: Access to university, including through recognition of prior learning and credit transfer pathways, is consistent, equitable and transparent for students.
- GS 9. Transitions: Transitions for students are supported at all levels of university study, including transitions beyond study and/or to employment and students are well-equipped to contribute in their chosen fields, and more broadly to the economy and society.
- GS 10. Academic advice: Student achievement is supported through consistent and clear academic advice, including course/paper information and programme planning, and guidance for students on completion of requirements.
- GS 11. Academic complaints, appeals and grievances: Academic complaints, appeals and grievances are addressed consistently and equitably. Where appropriate, outcomes of these processes inform improvements.
- GS 12. Learning support: Students have timely and equitable access to appropriate learning support services.
- GS 13. Safety and wellbeing: Student wellbeing is supported through the provision of appropriate pastoral and social support services in safe and inclusive environments.

### C. CURRICULUM, ASSESSMENT AND DELIVERY

- GS 14. Programme approval: Programme standards and relevance are maintained through internal course and programme approval processes that meet national (CUAP/NZQF) expectations and, where appropriate, expectations for other jurisdictions.

## Guideline Statements

- GS 15. Course/paper and programme monitoring: The quality of academic programmes and courses/papers is assured and enhanced through ongoing monitoring and academic management.
- GS 16. Review: Curriculum relevance and quality is assured and enhanced through regular reviews of programmes and courses/papers and which include input from students, staff, and other stakeholders.
- GS 17. Graduate profile: Students are aware of and have the opportunity to achieve the intended attributes in graduate profiles and course/paper learning outcomes.
- GS 18. Assessment: Assessment is appropriate and effective.
- GS 19. Assessment standards: Assessment and outcome standards are appropriately set and moderated.
- GS 20. Academic integrity: Universities promote and ensure academic integrity and demonstrate fairness, equity and consistency in addressing concerns.
- GS 21. Assessment in te reo Māori: Assessment in te reo Māori, where appropriate, is facilitated by the university.

### D. TEACHING QUALITY

- GS 22. Staff recruitment: All staff who teach or supervise, or support teaching or supervision, are appropriately qualified and experienced (including in research as appropriate to role) upon appointment.
- GS 23. Induction and ongoing expectations: New staff who teach or supervise or support teaching or supervision become familiar with academic policies and expectations of the university through effective induction processes and the university has processes to enable all staff to maintain currency with academic policies and expectations.
- GS 24. Teaching development: Staff who teach or supervise, or support teaching or supervision, are supported to take up opportunities to develop their practice, including the use of innovative pedagogy and new technologies.
- GS 25. Teaching quality: The quality of all teaching is appropriate and is enhanced by feedback and other processes. Quality shortfalls are addressed proactively, constructively and consistently.
- GS 26. Teaching recognition: High-quality teaching and is recognised and rewarded.

### E. SUPERVISION OF POSTGRADUATE RESEARCH STUDENTS

- GS 27. Supervision quality: The quality of postgraduate research supervision is ensured.
- GS 28. Resourcing of postgraduate research students: Postgraduate research students are appropriately resourced and supported to undertake their research.
- GS 29. Postgraduate research student progress: Student progress and achievement is monitored and supported through consistent and clear academic advice, and guidance for students on completion of requirements.
- GS 30. Thesis examination: Thesis standards are assured through examination processes that are nationally and internationally benchmarked.

# Underpinning elements

- In addressing the Cycle 6 guideline statements, universities and audit panels will be expected to reflect:
  - university obligations under Te Tiriti o Waitangi,
  - the close interdependence of university research and teaching and most university teaching being undertaken by people who are research-active, and
  - universities' role as critic and conscience of society.
- Options:
  - Explaining how the university addresses each of the underpinning components and therefore how this informs their self-review;
  - Identifying specific guideline statements that encapsulate the university's approach to the underpinning components;
  - A combination of the two approaches.



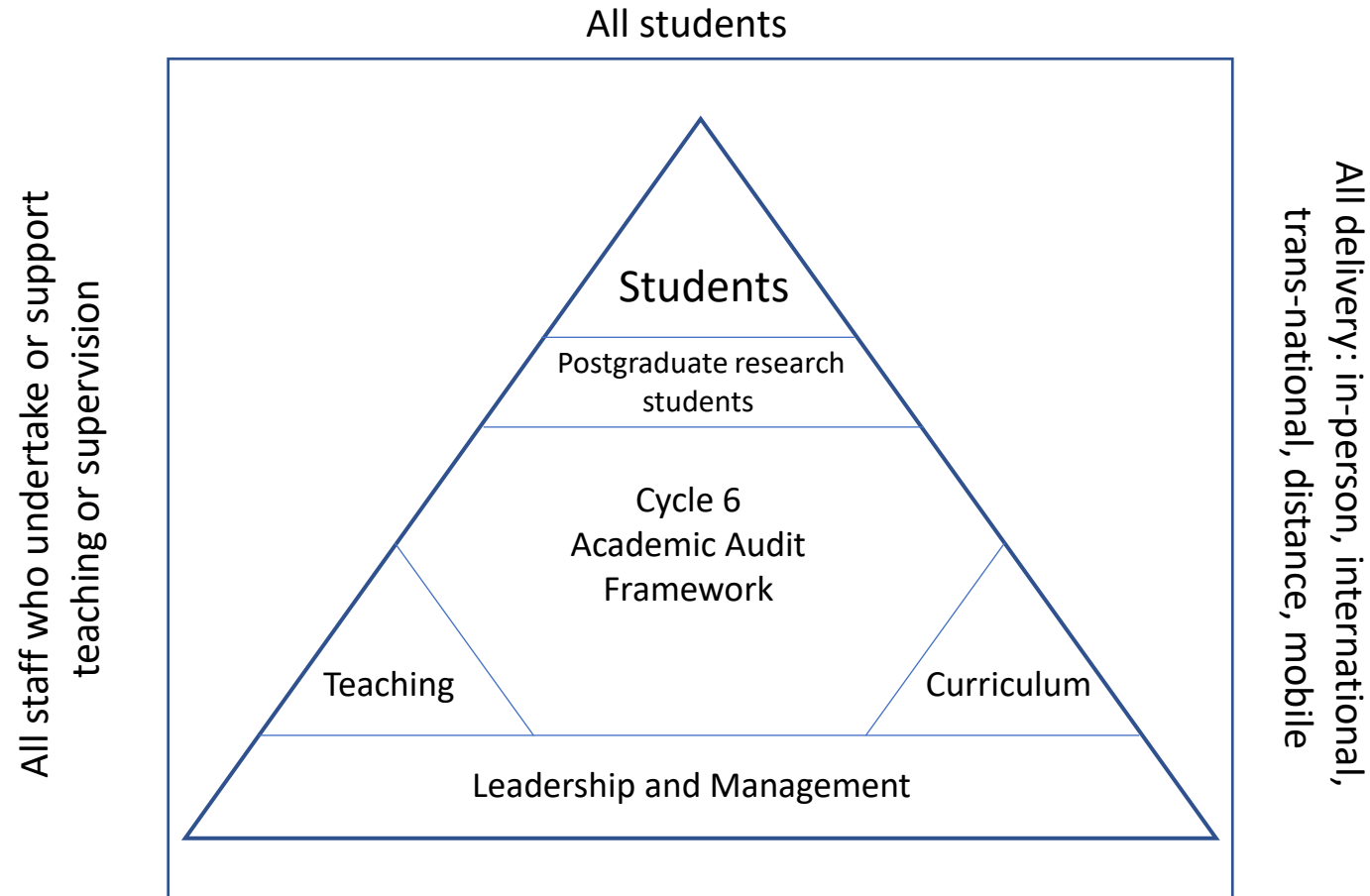
# Scope

- All students, reflecting diversity and inclusivity
- all modes and forms of delivery, including flexible, blended, online, distance, offshore, other campuses, with partner universities or other providers
- all staff who teach or supervise or support teaching or supervision.

Embedded, systemic quality



# Cycle 6 Audit Framework



**Self-review portfolios should reflect:**

**University obligations under Te Tiriti o Waitangi**

**The interdependence of university research and teaching**

**Universities' role as critic and conscience of society**





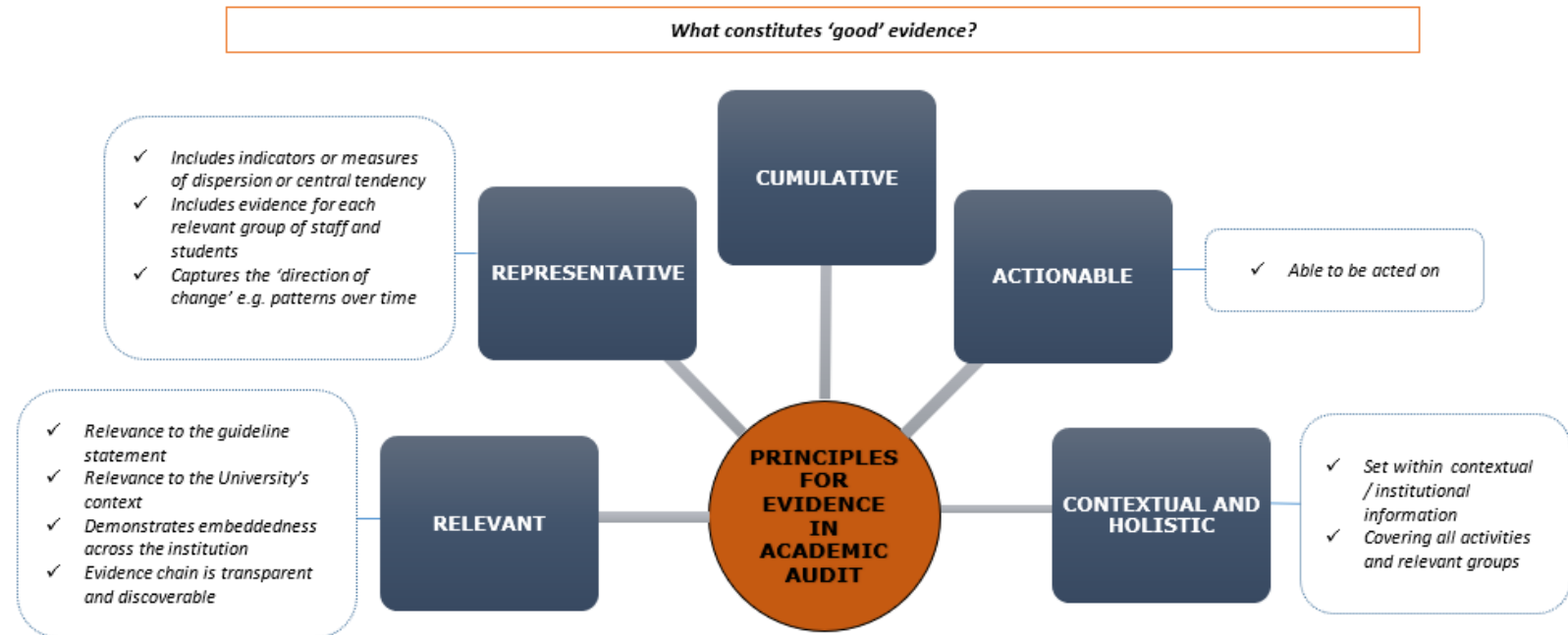
# Exercise 1: Underpinning and scope components

- In groups
  - Address either the underpinning or scope components
  - Discuss what approach to these components is going to work best for your university
  - Summarise 3 key points to guide your approach



# Evidence in Cycle 6 Academic Audit

- Working paper
- Guidelines



CATEGORIES OF EVIDENCE			
<p><b>PRE-EXISTING EVIDENCE</b></p> <ul style="list-style-type: none"> <li>- Main type of evidence used in audit</li> <li>- Evidence created for another purpose needs to be contextualised its appropriateness analysed</li> <li>- Able to be 'triangulated' against other kinds of evidence</li> </ul>	<p><b>BESPOKE EVIDENCE</b></p> <ul style="list-style-type: none"> <li>- Evidence is not usually created for audit purposes (expensive, can be misleading) but can be better targeted to guideline statements</li> </ul>	<p><b>QUALITATIVE AND QUANTITATIVE</b></p> <ul style="list-style-type: none"> <li>- Potentially new focus on learning analytics data</li> </ul>	<p><b>AUDIENCE AND EPISTEMOLOGY</b></p> <ul style="list-style-type: none"> <li>- Who was the evidence generated for?</li> <li>- Appropriateness of evidence based on indigenous knowledge systems</li> </ul>

*Thanks to Heather Merrick for the diagram*



# Evidence criteria

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## Evidence criteria in Cycle 6

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The Cycle 6 audit framework applies to all students, all delivery and all staff who teach or supervise or support teaching or supervision. Universities and audit panels will need to consider how evidence reflects this systemic or embedded nature of academic quality.

The following criteria have been developed to assist in presenting and considering 'good' evidence:

- 1 Evidence in Cycle 6 will be presented in the context of an individual university. What is appropriate evidence for one university may not be for another.
  - 2 Both universities and audit panels should anticipate that most of the evidence presented in Cycle 6 will be pre-existing evidence.
  - 3 Evidence should be explicit and sufficient, relevant, representative, verifiable, cumulative, actionable, contextual and holistic, and able to be triangulated.
  - 4 The most important criterion for evidence is relevance. In Cycle 6 this means relevance of the evidence to the guideline statement and relevance to the embedded or systemic nature of evidence.
  - 5 Evidence can be strengthened by drawing on multiple perspectives and sources from across the university.
  - 6 Tensions are likely to exist between the pre-existing nature of evidence and relevance of that evidence, and universities may need to both explain how the tension has been resolved and use other criteria to determine whether the evidence is indeed appropriate for the guideline statement.
  - 7 Where possible and appropriate, evidence should reflect a longitudinal component so that universities and audit panels can appreciate the direction of change.
  - 8 Universities and audit panels should be open to and expect that evidence may take a variety of forms and some evidence may be based on indigenous knowledge systems.
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# Exercise 2: Guideline statements

- Each group is allocated a section of the audit framework
- Pick a guideline statement to address
- Identify the evidence that the university can use to self-assess whether it meets the guideline statement
  - Appendix 2 for expected evidence summary
- OR identify evidence the university would need and how it could gather or access this evidence
- From what you know so far, is the university meeting this guideline statement?
  - Is the evidence sufficient to be able to assess this?
  - Would you identify any enhancement initiatives?
- Summarise your examination of this guideline statement



# The self-review report

- Context is important - preface to self-review
- Coherent narrative
  - Can combine, split or re-sequence guideline statements
- Review and reflection may identify matters to be addressed
  - Enhancement initiatives



# Exercise 3: Undertaking a self-review

- In groups:
  - suggest 3 pieces of advice for universities undertaking their self-review for Cycle 6
  - What should be your first, next, step?



# Next steps in Cycle 6

- Enhancement theme activities ongoing
  - Conclude March 2020
  - Steering Group develops 2 guideline statements
- Auditor recruitment and training
  - Supplementary auditor guide
  - Application due dates – 19 July, 8 November, February 2020

