

Auckland University of Technology

Te Wānanga Aronui o Tamaki Makau Rau

Academic Audit Report

Cycle 4 August 2011



New Zealand Universities Academic Audit Unit

Te Wāhanga Tātari

Monitoring and enhancing academic quality in New Zealand universities since 1993

**Auckland University of
Technology**
**Te Wānanga Aronui o Tamaki
Makau Rau**

Academic Audit Report

Cycle 4

August 2011

This audit report is the sixth report of Cycle 4 academic audits to be administered by the New Zealand Universities Academic Audit Unit - Te Wāhanga Tātari during the period 2008-2012.

Cycle 4 academic audits are whole of institution reports, and follow Cycle 1 audits on whole of institution in 1995-1998; Cycle 2 audits on research, research students, and research-teaching nexus in 2000-2001; and Cycle 3 audits on teaching quality, programme delivery, and the achievement of learning outcomes in 2003-2006.

The hardcopy printed version of this report is the version authorised by the NZUAAU Board.

An electronic version of the report is posted on the NZUAAU website as a portable document format (PDF) file.

Postal address

P O Box 5787
Lambton Quay
Wellington 6145
New Zealand

Location

Level 9
Allied Nationwide Finance House
142 Lambton Quay
Wellington
New Zealand

Website

www.nzuaau.ac.nz

ISBN 978-0-9582872-6-5

© 2011 New Zealand Universities Academic Audit Unit -Te Wāhanga Tātari

Preface

Background

The New Zealand Universities Academic Audit Unit was established in 1993 to consider and review New Zealand universities' mechanisms for monitoring and enhancing the academic quality and standards which are necessary for achieving their stated aims and objectives, and to comment on the extent to which procedures in place are applied effectively and reflect good practice in maintaining quality.¹ Since its establishment, the NZUAAU has administered three complete cycles of academic audit:

- Cycle 1 academic audits were full institutional audits of the then seven universities; they were conducted during the period 1995-1998.
- Cycle 2 academic audits focused on research policy and management, the research-teaching nexus and the support of postgraduate students, as well as a theme specific to each university; they were conducted during the period 2000-2001. In 2001, a full institutional academic audit was conducted at the eighth New Zealand university - the newly-created Auckland University of Technology.
- Cycle 3 academic audits focused on teaching quality, programme delivery, and the achievement of learning outcomes; they were conducted during the period 2003-2008.

The audits in the present cycle, Cycle 4, are full institutional audits, and are being administered over the period 2008-2012.²

The Process of Audit

The process of audit requires a self-assessment which informs an audit Portfolio (structured with respect to the Cycle 4 indicative framework as set down in the NZUAAU 2007 *Academic audit manual*) in which the university evaluates its progress towards achieving its goals and objectives related to the focus of the audit, identifies areas for improvement, and details intended plans, strategies and activities with respect to enhancement initiatives.³ After examining the Portfolio, and seeking further information if necessary, the Audit Panel conducts interviews during a site visit to the university to seek verification of materials read, and to inform an audit report which is structured in accordance with the indicative framework. The report commends good practice and makes recommendations intended to assist the university in its own programme of continuous improvement of quality and added value in the activities which are the focus of Cycle 4 audit.⁴

Soon after the publication of the audit report, the Panel Chair and NZUAAU Director discuss with the university the preferred procedures to be used in the follow-up to audit and the monitoring of follow-up activities.

¹ See *Appendix 3* for NZUAAU terms of reference, vision and objective with respect to academic audit.

² See *Appendix 4* for the framework for Cycle 4 academic audits.

³ John M. Jennings *Academic Audit manual for use in Cycle 4 academic audits by the New Zealand Universities Academic Audit Unit, Te Wāhanga Tātari*. NZUAAU, Wellington, 2007.

⁴ See John M. Jennings *Handbook for auditors* NZUAAU, Wellington, 2010.

Auckland University of Technology Academic Audit

Auckland University of Technology submitted its self-review Portfolio on 2 March 2011. The Panel appointed to carry out the academic audit of the University met in Wellington on 28 March and 16 May for preliminary meetings during which it evaluated the material it had received, and determined further materials required. The Chair of the Panel and the NZUAAU Director undertook a Planning Visit to the University on 2 May 2011 to discuss the supply of the further materials requested as well as arrangements for the site visit. A four-day site visit by the whole Panel to Auckland University of Technology in Auckland City took place on 14 - 17 June 2011 hosted by the Vice-Chancellor, Derek McCormack. During the site visit, the Panel interviewed 153 people – members of Council, staff, students and stakeholders.

The findings of the Panel as expressed in this report are based on the written information supplied by the University and from material publicly available on the University's website, and on the information gained through interviews conducted during the site visit.

Acknowledgement

The Board of NZUAAU and the Panel for the audit of Auckland University of Technology would like to acknowledge the contribution of the Chancellor, Sir Paul Reeves, who was interviewed during the site visit but who died on 14 August 2011, before this audit report was finalised.

Dr Jan Cameron
Director
August 2011

Contents

Preface	1
Summary	4
Commendations, Affirmations and Recommendations	9
1. Introduction	13
2. Governance and Management	16
3. Quality Assurance and Enhancement	23
4. Teaching and Learning and Student Support.....	28
5. Research Environment	36
6. Te Tiriti o Waitangi.....	43
7. Pacific Peoples.....	49
8. Staff: Academic, Management and Professional Support	53
9. Community Engagement.....	57
10.External Academic Partnerships and Collaborations	60
Acknowledgements.....	62
Audit Panel.....	62
Appendix 1: Auckland University of Technology Statistical Overview 2010.....	63
Appendix 2: Auckland University of Technology - Progress Required.....	65
Appendix 3: New Zealand Universities Academic Audit Unit Te Wāhanga Tātari.....	68
Appendix 4: Cycle 4 Focus - The 2007 Indicative Framework.....	69

Summary

Governance and Management

Auckland University of Technology	Auckland University of Technology has a main campus in Auckland and offers programmes from three other locations across the Auckland region – in Manukau (opened 2010) and two campuses based on the North Shore. There is a smaller site dedicated to the activities of the University's Centre for Refugee Education at the Mangere Refugee Reception Centre in South Auckland.
Strategic Framework	The University's Mission is to foster excellence, equity and ethics in learning, teaching, research and scholarship, and in so doing serve its regional, national and international communities. The University's current Strategic Plan focuses on its role in the Auckland region in particular, and on being the university of choice for Māori and Pacific peoples.
Planning	Auckland University of Technology's planning documents form a coherent set which reflect a clear articulation of the institution's transformation and the core values which underly the University's activity. The Panel was impressed by the consultation processes underpinning plan development.
Management	The management structure is similar to that of most New Zealand universities. Faculty Deans also have pan-university responsibilities. The Panel concluded that staff commitment to, and understanding of, recent changes stemmed from the extensive and meaningful consultation undertaken by management.
Governance	Council appears to provide strong support for the University management and is proactive in providing leadership on strategic initiatives.

Quality Assurance and Enhancement

Quality Assurance System	The formalisation of processes for policy development, dissemination, monitoring and review was considered by the Panel to be commendable quality assurance practice. Annual programme reports and feedback on reviews provide opportunity for wide discussion of common issues. The Panel noted that such reviews are seen by staff as enhancement (rather than compliance) activities.
Teaching, Learning and Student Engagement	The University participates in the Australasian Universities Survey of Student Engagement, AUSSE. It conducts standard surveys of teaching and courses, though students reported some unevenness in the administration of such surveys. Auckland University of Technology runs its own graduate destination survey.
Benchmarking	The University engages in a range of formal and informal benchmarking

activities in its different spheres of activity. The Panel believes the University would benefit from taking a more strategic and coherent approach to benchmarking.

Risk Management Both Council and Senior Management address risks the University might face; a Strategic Risk Framework facilitates quarterly reporting. The Panel considered the University might benefit from extending its risk management to include more comprehensive documentation, especially related to risk assessment and mitigation.

Teaching and Learning and Student Support

Learning and Teaching Plan The University's Learning and Teaching Plan and its Learning and Teaching Framework are comprehensive and ambitious. The objectives and strategies are underpinned by principles and values which emphasise student focus and the flexibility to meet a range of learning and teaching styles.

Distinctive Learning Opportunities Auckland University of Technology emphasises work-integrated learning and has a strong focus on developing programmes which reflect community need. The University is aware of a need to improve alignment of administrative, funding and academic processes so that more flexible curriculum pathways can be offered.

Research-informed Teaching The extent to which teaching is influenced by research is somewhat uneven and constrained at present. The University is aware of the need to consolidate research and is applying itself energetically to this task.

Teaching and Learning Facilities The University has made significant investment in infrastructure, including space development, learning technologies, internet and audio-visual facilities. A new building incorporating flexible learning spaces is under construction. Auckland University of Technology sees the use of applied technology as a major feature of its distinctive learning environment.

Student Support Students praised their teachers and the University for the accessibility of advice and the range of services available to assist students. The University is commended, in particular, on its programmes for first year students and for its initiatives in encouraging students who might not otherwise consider a University education to be a possibility for them.

Research Environment

Research Plan A new Research Strategic Plan is under development. The University is focussed on increasing research activity, enhancing research reputation and ensuring that its research is sustainable. Interdisciplinary and transdisciplinary research and applied and policy-informed research are intended to be the hallmarks of Auckland University of Technology's

research profile.

Research Capability	Auckland University of Technology has made a significant investment in building research capability since the Cycle 3 audit. This includes changing staff contracts and providing opportunities for research development, recruitment of senior staff who provide leadership, increasing postgraduate numbers as part of a “grow our own” strategy, and maximising opportunities to gain consultancies and research income.
Research Infrastructure	Research Office and faculty research staff provide advice and support to staff. The Panel noted that the links between the University’s research institutes and its Strategic Plan are not always clear and understands this reflects the different origins of the institutes. The review of criteria, funding and performance which is under way is supported by the Panel.
PhD Student Support and Supervision	The University has a number of strategies to support the growing number of research students, including a Graduate Assistant Programme. The Panel foresees the concurrent growth in numbers of PhD supervisors as being a challenge. Further effort is needed to ensure students fully understand the procedures regarding supervision, ethical approval and intellectual property issues.

Te Tiriti o Waitangi

University Vision	Auckland University of Technology intends to be the “university of choice” for Māori. It is expected that all staff take responsibility for meeting the University’s commitments related to Māori.
University Culture	The Panel was impressed by the extent to which kaupapa Māori is embedded in University activity. Staff and students have the opportunity to learn te reo Māori at nil fee.
Māori Students	Auckland University of Technology has a range of activities intended to lift the educational aspirations of potential and current Māori students. The University marae is a crucial element in provision of support for students. The University’s annual surveys show a consistently high level of student satisfaction with the services provided.
Māori Staff	As a response to the shortage of qualified Māori academics nationally, Auckland University of Technology has embarked on a strategy of developing its own Māori leaders, particularly by supporting Māori staff and postgraduate students.
Māori Research	The University expects that curriculum and research developments related to Māori must fit with an actual need. Auckland University of Technology hosts Te Ipukarea: The National Māori Language Institute and also promotes, in particular, research in Māori Health and in Māori Innovation and Development.

Pacific Peoples

University Vision	Auckland University of Technology is committed to being the “university of choice” for Pacific Peoples and endeavours to have a “culture of inclusion” to support students from the diverse cultures in its region.
Pacific Staff and Students	The University interacts with potential Pacific students at an early stage of secondary school, with “touch points” along the way to enrolment at university. Pacific students reported a high level of satisfaction with support services and with programmes of study. Support for Pacific staff was also reported to be strong; attention is drawn to the village model of support and the small learning communities which facilitate staff development. Studentships enable postgraduate students who aspire to academic positions to receive work experience and mentoring.
Pacific Research	Initiatives in Pacific research include a wide range of projects which not only serve Pacific community needs but also build academic and allied staff capability. Auckland University of Technology has appointed a Foundation Chair in Pacific studies with cross-institutional responsibilities in relation to Pacific research and postgraduate study.
Engagement with the Community	Consultation with Pacific communities, along with Māori communities, has been particularly important in the development of the Manukau campus.

Staff: Academic, Management and Professional Support

Staffing Strategy	A major challenge for the University has been the transition of teaching-only staff to full academic pathways which include research. The majority of staff are now on new contracts which meet this requirement. The University has undertaken strategic recruitment of senior staff to provide leadership, in particular in developing research.
Staff Appraisal and Professional Development	An Individual Development Plan is a fundamental part of staff appraisal and professional development planning. Several schemes are offered to staff to facilitate professional development, including a Leadership and Management Enhancement programme. The Panel supports the University’s intention to revise its promotions process.

Community Engagement

Auckland University of Technology in the Auckland Region	The University’s engagement with secondary schools pays particular attention to groups traditionally under-represented at University. It also provides a support service for Chinese students and runs an on-arrival education programme for refugees at the Mangere reception centre.
--	--

Stakeholder Engagement	Auckland University of Technology has a history of working with industry and the professions. It is particularly concerned with responding to the interests of the potential employers of its graduates. Stakeholders are enthusiastic about the University. The Panel supports the University's intention to review processes for gaining and using stakeholder feedback
------------------------	---

External Academic Partnerships and Collaborations

Auckland University of Technology in Manukau	The establishment of the Manukau Campus in 2010 was a strategic initiative resulting directly from community engagement in the South Auckland area. Senior staff refer to the campus as a "resource for the community".
Other Tertiary Providers	Auckland University of Technology has various collaborations with other universities, some polytechnics/institutes of technology and with Te Wānanga o Aotearoa.
Internationalisation	The University's International Strategy is being revised. An interim plan outlines objectives which will enhance the University's recognition internationally, and will facilitate staff and student mobility. The Panel supports the University's intention to review agreements with international partners.
International Collaborations	International research collaborations reflect the normal arrangements of universities in New Zealand.

Commendations, Affirmations and Recommendations

Key: C = Commendations R = Recommendations A = Affirmations

NOTE: The words 'the University' in each recommendation are intended to refer to the agency within Auckland University of Technology that the University itself deems to be most appropriate to address the recommendation.

2. Governance and Management

- | | | |
|----|-----|---|
| C1 | P17 | The Panel <i>commends</i> the University on the extent to which the ethical dimension of its Mission is widely understood by staff as a central Auckland University of Technology value, and on the manner in which it is embedded in university activity. |
| A1 | P19 | The Panel <i>affirms</i> the University's ongoing attention to striking an appropriate balance between devolved and centralised responsibilities, and its determination to ensure consistent and efficient decision-making and minimal operational duplication. |
| C2 | P20 | The Panel <i>commends</i> Auckland University of Technology Senior Management and Council on their responsiveness, agility and leadership in developing and implementing strategies which further the University's mission. |
| R1 | P21 | The Panel <i>recommends</i> that the University brings together more systematically the variety of risks identified across all University activity, to enable a more comprehensive risk identification, assessment, management and mitigation system to be implemented. |

3. Quality Assurance and Enhancement

- | | | |
|----|-----|--|
| C3 | P23 | The Panel <i>commends</i> the University on its systematic policy development and policy management framework and in particular for the ways in which coherence with strategic priorities is ensured. |
| C4 | P25 | The Panel <i>commends</i> the development and use made of the Annual Programme Reports and in particular notes the characterisation of these by staff as continuous improvement rather than compliance documents. |
| R2 | P27 | The Panel <i>recommends</i> that the University formalises and extends its benchmarking activity, both nationally and internationally, in order to assess and monitor progress towards achievement of its goals of excellence in teaching, scholarship, research, administration and community engagement. |

4. Teaching and Learning and Student Support

- C5 P29 The Panel *commends* the University for its comprehensive, wide-ranging, and ambitious Learning and Teaching Framework and Plans, in particular noting the underpinning Principles and Values which drive a clear vision for future-focussed learning and teaching developments.
- C6 P29 The Panel *commends* Auckland University of Technology for the contributions made by the non-faculty administrative units to the strategies which are intended to give effect to the University Learning and Teaching Plan.
- C7 P32 The Panel *commends* the University for the strong emphasis it places on the development of learning spaces and advanced technologies along with the extensive support provided to ensure these are deployed in ways which focus on enhancing the student learning experience.
- A2 P32 The Panel *affirms* the approach being taken by Auckland University of Technology to integration of a broad mix of teaching and learning technologies which recognises the value of both traditional and cutting-edge teaching techniques.
- R3 P33 The Panel *recommends* that the University remains vigilant for instances of academic dishonesty, continues to develop its educative processes about academic integrity and ensures all teaching staff, and thesis supervisors in particular, are familiar with strategies for reducing, detecting and addressing plagiarism.
- C8 P34 The Panel *commends* the University for its initiatives to support first-year students and students who are first-in-family to attend university. In particular the Panel commends the First-Year Experience and the Student Mentor Programmes.

5. Research Environment

- C9 P37 The Panel *commends* the ongoing and wide-ranging efforts the University is making to develop its research culture. These include, for example, changes to staff employment contracts, research support, promotion and workload criteria and pan-University student research colloquia.
- A3 P37 The Panel *affirms* Auckland University of Technology's approach to research strategic planning as being consultative, proactive and building on existing areas of academic strength, aligned with the vision of the University.
- C10 P38 The Panel *commends* the proactive role played by the Research Office and faculty research support staff in supporting and enabling staff new to a research environment to take advantage of external and internal research opportunities.

A4	P38	The Panel <i>affirms</i> the University's changes to staff employment contracts and the development of statements of workload setting out expectations of staff (variable by department) and staff expectations of support and assistance. The Panel notes Auckland University of Technology's commitment to developing the research capability of its staff, and the policies, funding opportunities, recruitment strategies and mentoring arrangements in place to encourage and support staff in this process.
R4	P39	While the Panel acknowledges the processes and practices the University has put in place for ensuring high-quality postgraduate supervisory arrangements for its current students, it <i>recommends</i> that Auckland University of Technology gives greater consideration to how it will ensure adequate numbers of postgraduate supervisors and examiners with the necessary experience and depth of knowledge as the University's postgraduate student numbers grow.
C11	P39	The Panel <i>commends</i> the University on the expansion of the Graduate Assistants programme and on the way in which these students and early career academic staff are actively supported and mentored within departments.
A5	P40	The Panel <i>affirms</i> the appointment of a Dean of University Postgraduate Studies and other planned enhancements designed to provide appropriate support and services for postgraduate students (Enhancement 5.2).
R5	P40	The Panel <i>recommends</i> that the University further develops ways to ensure that procedures relating to intellectual property and ethical approval are widely understood by students.
R6	P40	The Panel <i>recommends</i> that the University further develops its postgraduate student procedures to ensure Research Supervision Agreements (including intellectual property agreements) are in place, where appropriate, for all postgraduate research students.
R7	P40	The Panel <i>recommends</i> that the University advances its plans to review and streamline its processes for ethical approval.
C12	P41	The Panel <i>commends</i> the University's approach to the annual and strategic planning of research institutes, particularly the requirement of succession planning.
R 8	P42	The Panel <i>recommends</i> that, as part of its plan to review research funding, Auckland University of Technology, (1) explores ways of increasing funding available for research across the University, and (2) clarifies the criteria by which research institutes are established and monitored.

6. Te Tiriti o Waitangi

- | | | |
|-----|-----|--|
| A6 | P47 | The Panel <i>affirms</i> the various activities provided by Auckland University of Technology to support Māori postgraduate students. |
| A7 | P47 | The Panel <i>affirms</i> the University's strategy for balancing its targeted recruitment of Māori staff with equally proactive initiatives for developing Māori academic leaders, in particular by its support for staff and postgraduate students. |
| C13 | P48 | The Panel <i>commends</i> the entire University community for the embedded ethos of support for the aspirations of Māori and for the manner in which kaupapa Māori is integrated with institutional activity. The panel also notes the efforts the University makes to ensure its research activity and curriculum initiatives reflect the needs and aspirations of Māori. |

7. Pacific Peoples

- | | | |
|-----|-----|---|
| C14 | P52 | The Panel <i>commends</i> the maturity of approach taken by Auckland University of Technology to supporting and encouraging Pacific staff and students and in its commitment to Pacific research. The energy and enthusiasm of Pacific staff in advancing the University's commitment are also noted. |
|-----|-----|---|

8. Staff: Academic, Management and Professional Support

- | | | |
|-----|-----|---|
| C15 | P54 | The Panel <i>commends</i> the University on its holistic approach to addressing the various impacts of the conversion of staff to research-based contracts. |
| A8 | P54 | The Panel <i>affirms</i> the work of the Academic Work Executive Group and their identification of issues, including their recent progress on academic workload models (Enhancement 7.1). |
| C16 | P56 | The Panel <i>commends</i> the University on the progress it has made in building its human infrastructure capacity and capability in its staff, especially its Māori and Pacific staff. |

9. Community Engagement

- | | | |
|-----|-----|---|
| C17 | P59 | The Panel <i>commends</i> the University on its initiatives in developing the Manukau campus, on its MEN (Males in Education Now) project initiative, and on its responsiveness to existing and emerging communities of engagement. |
|-----|-----|---|

1

Introduction

1.1 Auckland University of Technology – Te Wānanga o Aronui a Tamaki Makau Rau

The Auckland University of Technology was established in 2000 with a legacy of over 100 years of providing vocational and professional education.⁵

The University is located on four sites in Auckland: the main City Campus; the North Shore Campus at Akoranga (where the Faculty of Health and Environmental Sciences and the School of Education are based); another site at Albany on the North Shore at which is based the Millennium Institute for Sport and Health (a joint venture run under the auspices of the Auckland University of Technology Millennium Ownership Trust); and the Manukau Campus in South Auckland. A smaller site is dedicated to the activities of the University's Centre for Refugee Education at the Mangere Refugee Reception Centre in South Auckland.

The University offers a broad range of programmes in Applied Science, the Arts, Business, Communication Studies, Mathematical and Computer and Information Sciences, Creative Technologies, Dance, Design, Education, Engineering and Engineering Technology, Health Science, Hospitality, Tourism, Law, Māori Development, Medical Laboratory Science, Sport and Recreation and Visual Arts. Fifty-two new qualifications at bachelor's, graduate and postgraduate levels have been developed since 2006. The number of diploma and certificate programmes has decreased by 23% over that period. Programmes are delivered from five faculties, each of which is headed by a Dean.

The numbers of students enrolled at Auckland University of Technology has increased since the previous audit by 21%, from 15,522 EFTS in 2006 to 18,787 in 2010. The most significant changes in the pattern of enrolments have been the increase in both numbers and proportion of postgraduate enrolments and a decrease in enrolments in certificates and diplomas. The percentage of students in full-time study rose from 75% in 2006 to 84% in 2010.

The Manukau Campus in South Auckland opened at the beginning of 2010. The Panel was told that currently South Auckland has the poorest university participation rates in New Zealand. The Manukau campus was established on an existing corporate site, with sufficient support funding to manage operations until 2012. In its first year the campus has just over 600 EFTS and is expected to reach the 1000 target EFTS (separate from other Auckland University of Technology EFTS) by 2012. The University notes that 50% of its students are Pacific people and 15% are Māori. Currently programmes from each faculty are offered with an expectation that Education, Nursing and

⁵ The original Auckland Technical School opened in 1895, renamed Auckland Technical College in 1906 and later Seddon Memorial Technical College in 1913. The polytechnic division of the College was renamed the Auckland Technical Institute in 1963. <http://www.aut.ac.nz/about-aut/aut-timeline> downloaded 27.06.11.

Midwifery, Sports and Education are likely to grow. The site is served by a shuttle bus between Manukau, City and North Shore campuses.

1.2 Response to Cycle 3 Academic Audit

The Cycle 3 audit of Auckland University of Technology took place in 2006. In 2007 the University provided NZUAAU with a report on its current or planned activities in response to Cycle 3 recommendations.

An account of key developments at Auckland University of Technology since the Cycle 3 audit was very helpful in taking the Panel forward in the University's development.⁶ In particular, the Panel noted the different aspects of campus development, including the new learning spaces under construction. It also noted the considerable effort being made to build research capability (see Chapter 5).

The Self-review Report includes a very thorough response to the Cycle 3 recommendations.⁷ While some areas identified during Cycle 3 still require attention, it is clear that the University is aware of these challenges. Two areas which emerge again during Cycle 4 are the challenges associated with a mixed centralised/devolved organisational model, and further possible initiatives related to benchmarking. However the University has made considerable progress in response to the majority of recommendations. The Panel is satisfied with the manner in which the University has reported on these and with what it has achieved to date.

1.3 Cycle 4 Academic Audit

For its self-review Auckland University of Technology adopted the Indicative Framework provided by NZUAAU for the Cycle 4 audit.⁸ This framework suggests that universities identify their commitments, strengths and progress, challenges, monitoring and enhancements for key areas listed under:

- Teaching and learning
- Research environment
- Te Tiriti o Waitangi
- Academic and support staff
- Institutional quality assurance
- Management and administrative support
- Community engagement
- External collaboration.

Universities are free to develop the structure of their Self-review Report to reflect their specific priorities, provided that the broad themes within each of the above key areas are addressed. In Auckland University of Technology's case the sections related to "academic" and "support" staffing were not separated into different chapters. The Panel found that this was consistent with the University's ethos which does not privilege one group of staff over another. The Panel considered that the Self-review Report understated the strength and maturity of Auckland University of Technology's interaction with its Pacific communities. Any such omission in the Self-review Report

⁶ Self-review Report pp7-9.

⁷ Self-review Report pp19-23.

⁸ Appendix 4.

however is likely due to the emphasis of the Indicative Framework. The designation of a specific chapter of this audit report to Pacific Peoples better reflects the actual emphasis of the University.

The Panel congratulates Auckland University of Technology on its Self-review Report and the supporting documentation it produced. Beyond that, the Panel believed that diligent up-dating of material after the report had been submitted reflected the institution's overall commitment to ongoing quality enhancement.

The Self-review Report addresses the areas outlined in the Indicative Framework. In many instances the Panel was satisfied that the commitments, monitoring, evidence and enhancements were appropriate. This audit report thus tends to focus on areas which the Panel considered were critical to interrogate for a range of reasons. In some cases the Panel had concerns or required further clarity on matters identified from its reading of the portfolio material prior to the site visit. In other cases the Panel wished to explore areas especially crucial to the University's future development or areas which the Panel considered to be potential exemplars of good practice.

The University itself identified seventeen challenges and proposed enhancements, some with multiple actions suggested. The Panel did not disagree with any of these. However in some cases the Panel wished to add emphasis or extend enhancement suggestions. These are detailed in the audit report.

2

Governance and Management

2.1 The University's Vision and Strategy

Auckland University of Technology's mission is

"To foster excellence, equity and ethics in learning, teaching, research and scholarship and in so doing serve our regional, national and international communities".⁹

In giving effect to its mission the University expresses a determination not to lose its distinctiveness, which refers to a focus on student experience; access for and support of groups of potential students customarily under-represented in university education; and an emphasis on the integration of theory, practice and applied knowledge in research, curriculum and employment of graduates. "A combination of theoretical and practical responses to resolving the current economic, social and environmental issues facing New Zealanders today is central to the University's ethos, and a distinctive contribution to university education in New Zealand."¹⁰

The Strategic Plan differentiates the University's reputation (what it will be known for) from its Strategic Themes (how it will achieve its development) and its Critical Success Factors (how it will know the Plan's intentions are being fulfilled). In particular, the Strategic Plan is intended to determine Auckland University of Technology's "points of difference" from other New Zealand universities.¹¹

Auckland University of Technology intends to be known for:

- Being the best place to learn in New Zealand, producing graduates who are in strong demand.
- Being a university with an emphasis on interdisciplinary and applied research that advances professional practice and the social and economic development of New Zealand.
- Being forward thinking, relevant, responsive, contemporary and connected.
- Serving Auckland, New Zealand and the Pacific, with strong engagement with Māori, Pasifika and new settler communities.
- Being internationally focused, recruiting staff and students internationally and including an international dimension in our teaching and research.¹²

⁹ Strategic Plan 2007-2011 p3.

¹⁰ Self-review Report p7.

¹¹ *Ibid.*

¹² Strategic Plan 2007-2011 p5.

2.2 Excellence, Equity and Ethics

The University's mission statement provided a framework for much of the Audit Panels' investigation, in particular as to how the University gave effect to fostering "excellence, equity and ethics". While "excellence" and "equity" are standard objectives for New Zealand universities, in the Panel's experience the explicit inclusion of "ethics" added a distinctive dimension.¹³

The Panel explored the ethical dimension with a range of interviewees. The Panel heard a wide understanding of the relevance of ethics to the core activities of the University, ranging from the ways in which the University deals with sponsorship and gifts to its openness with regard to documentation and administrative practices. "Ethics" was described as a "cultural thread", an umbrella term for doing things properly, honestly and transparently, an expected cultural practice which goes considerably beyond conventional understandings of educational ethics which are to do with, for example, intolerance of plagiarism and requirements for ethical approval of research topics. It was pointed out to the Panel that "equity" and "ethics" go together – fostering equity is ethical behaviour. Staff talked about "modelling" ethical practice to their students; they talked about ethical supervision interactions. In addition, all of the major programmes taught at Auckland University of Technology have an applied ethics aspect, whether as specialist papers (eg in Business, Communications and Law) or integrated into existing papers (eg in Health) and two of the recent winners of the teaching awards were teachers in applied ethics.¹⁴

If "ethics" is taken to encompass values of transparency and commitment then a notable demonstration of this came to the Panel through its interviews. The willingness of staff to share their views, their own accounts of openness within the University and their commitment to reflective practice in their different spheres of work all provided evidence of collegiality and commitment to the institution. The Panel also heard that the next iteration of the Strategic Plan will pay more explicit attention to addressing the values dimension of university activity. The Panel is confident that as the University moves to become more research intensive and new ethical issues arise, the scope of 'ethical' consideration will be extended to encompass these.

C1. The Panel commends the University on the extent to which the ethical dimension of its Mission is widely understood by staff as a central Auckland University of Technology value, and on the manner in which it is embedded in University activity.

2.3 Distinctiveness

Several groups referred to the University's previous role as an institute of technology as providing the foundation in establishing a distinctiveness which has carried over into its direction as a university. Foremost from that legacy is the provision of opportunity to gain a university education to those who might be educationally disenfranchised.

Access for under-represented and sometimes disadvantaged groups has long been part of Auckland University of Technology's mission. The University's desire to be "the university of choice" for Māori and Pacific people is discussed in later chapters. The under-represented groups identified are not only specific ethnic or cultural groups but also new settlers, refugees and those who come from educationally underprivileged backgrounds. The University's developments at Manukau in South Auckland are consistent with this aspect of its strategic role in serving its communities. As evidenced

¹³ See Chapters 3, 4, 5 and 6.

¹⁴ See Chapter 3.

in the consultation documents, this was a community which wanted to have access to a university.¹⁵ The Panel heard that a cross-section of the Manukau community does in fact use the site. However the constraints imposed by the current university funding model have reduced the capacity of the University to offer pre-degree bridging programmes and this has posed challenges to Auckland University of Technology's strategies for facilitating wider access to university study.

While the University no longer teaches "trades subjects", its academic programmes are strongly linked to established vocational and professional fields – health, design and hospitality for example. Work-place learning also assists in ensuring employability of graduates – several students spoke of the opportunities to gain employment as a consequence of practica with employers. The University's Investment Plan 2011-2013 reinforces this aspect of Auckland University of Technology's distinctiveness, identifying as outcomes "graduates who are *advanced practitioners*, highly sought after and who will make an impact" and "research that is valued for advancing *and applying knowledge and professional practice*".¹⁶

Several of the students interviewed by the Panel volunteered aspects of student-centredness as a distinctive characteristic of the Auckland University of Technology – in some cases comparing this University with other institutions they had experienced.

In the time it was on site at Auckland University of Technology the Panel heard of many instances which confirmed that the University is maintaining and developing its distinctiveness in the directions it desires. At least three interview groups commented that "AUT walks the talk", a comment which also reflected the involvement of staff in the changes which have been made and are yet to be made. The Panel also interrogated the activities underpinning the five major themes of the Strategic Plan which pertain to excellence, community engagement and responsibility, and sustainability. These themes and the parallel characteristics of distinctiveness are developed further in the following chapters.

2.4 Management and Organisation

The University's management structure comprises an Executive Management Team (EMT) of:

- Vice-Chancellor
- Deputy Vice-Chancellor
- Five Faculty Deans, who are also Pro Vice-Chancellors, including Pro Vice-Chancellor (Māori Advancement) and (Learning and Teaching), Pro Vice-Chancellor (International) and Pro Vice-Chancellor (North Shore)
- Pro Vice-Chancellor (Research)
- Pro Vice-Chancellor (Innovation and Enterprise)
- General Manager Finance and Estates
- General Manager Corporate Services
- General Manager University Relations.

A feature of the EMT is the pan-University responsibilities of the faculty Deans, whose portfolios are intended to ensure their roles do not become focussed solely on each Dean's faculty and that Deans take a global view of management and development at the University. It was noted that the Pro

¹⁵ See Manukau Campus Community Consultation Report 2009

¹⁶ Investment Plan 2011-2013 pp10-11, *emph. added*.

Vice-Chancellor (North Shore) designation refers to the University's relationships with the North Shore community, not to that Dean's responsibility for the North Shore campus.

The academic structure of Auckland University of Technology is centred on five faculties:

- Applied Humanities;
- Business and Law;
- Design and Creative Technologies;
- Health and Environmental Sciences;
- Te Ara Poutama (Māori Advancement).

Faculties vary in their internal organisation, with some (Applied Humanities and Design and Creative Technologies) having schools with their own administrative structures while others (Business and Law and Health and Environmental Sciences) have more centralised administration and leadership. The academic structure is made slightly more complex by the satellite programmes: one satellite campus serves a single school and one faculty (School of Education and Faculty of Health and Environmental Sciences at North Shore Akoranga campus), while other sites are designated as teaching centres, rather than campuses (Sport Science at the Millenium Institute and a range of programmes at Manukau).

The Panel explored how consistency of operation was ensured given this diversified organisational arrangement. Administrative consistency is facilitated by the appointment of some key posts to faculties (eg in marketing, human resources and accounting). In academic matters pan-University committees assist in developing policies which apply across all faculties. Senior Management is aware that the balance between devolution and centralisation needs regular monitoring. No particular difficulties resulting from organisational structure or administrative arrangements were reported.

A1. The Panel *affirms* the University's ongoing attention to striking an appropriate balance between devolved and centralised responsibilities, and its determination to ensure consistent and efficient decision-making and minimal operational duplication.

2.5 Planning

The University's Strategic Plan 2007-2011 is currently the over-arching institutional planning document, alongside the complementary Investment Plan required by TEC for compliance purposes. The University has also recently had two suspensory loans with associated reports and KPIs.

Instead of more usual quantitative KPIs, the Strategic Plan lists a series of "Critical Success Factors" for each of its ten intended Outcomes. Progress towards specific targets is recorded in the University's Annual Report. The Investment Plan also reports to specific KPIs under the five themes of the Strategic Plan. There is thus a coherence between these three documents, with differences in language and reporting primarily reflecting the documents' different purposes.

A limited number of other plans was made available to the Panel: the Learning and Teaching Plan and Framework; International Strategic Plan 2011-2013; Research and Development at AUT University, the next ten years (2009) and the Research Directorate Business Plan 2011-2013. The Panel heard that the planning process itself is changing, with the new Strategic Plan which is under development also including a Research Plan. While the Panel did not view any consultation drafts, it heard that the new Strategic Plan will have a much more deliberate explication of the core values which drive the University.

A notable feature of the planning process of which the Panel became aware was the consultative nature of plan development. Staff referred to having “plenty of opportunity” for input.

2.6 Governance

The Panel spoke with eight members of the University Council. Council members referred to the University taking opportunities to be creative “within the bounds of what a university is about”. They described the developments at Manukau in terms of taking such an opportunity which enabled the University to respond to the needs of a community in ways which were not possible, or would be difficult, from the city campus. The development with the Millenium Institute is a response to a different opportunity. It was clear that Council recognised the risks associated with such new ventures, but these are balanced with its desire to serve its community and establish the University’s distinctiveness. Council members described the importance of engaging with the “right people” to build relationships which might consolidate the University’s place in the community. The University had been active in the development of the Super City of Auckland.

Council members have also interacted with overseas universities with a view to identifying appropriate institutional benchmarking relationships.

A strong and effective interaction between Council and the students association was reported. The Panel was told that students are routinely at the centre of Council discussions.

The Panel was impressed by the Council members’ awareness of the issues facing the University, by the leadership taken by Council in taking new ventures, and by its apparent strong support of the management and Students Association at Auckland University of Technology.

The responsiveness to opportunities, by both Council and senior management, was a feature of a number of the initiatives taken recently by the University. The Panel is aware that agility is a feature of successful organisations but in large organisations this is often difficult to achieve. Auckland University of Technology has demonstrated it has this capability through innovative strategic thinking, an empowered workforce and wide-reaching community engagement initiatives, while at the same time assessing its associated risks. The establishment of the Manukau campus is perhaps the most significant example but it is not the only one. For example, recent strategic recruitment of senior staff who bring in experience as well as expertise reflects a balancing of the possible short-term nature of such appointments against the effective contribution they are able to make to the University’s long-term development (see Chapter 8).

C2. The Panel *commends* Auckland University of Technology Senior Management and Council on their responsiveness, agility and leadership in developing and implementing strategies which further the University’s mission.

2.7 Risk Management

The Panel discussed risk identification and risk management with a range of interviewees. The University Council has an Audit and Risk Committee and the University management structure includes a Director of Audit and Risk Assurance. A Strategic Risk Framework facilitates quarterly reporting. Any developments in the areas of Intellectual Property and commercialisation involve consideration of risk factors by a panel which includes external members. Senior staff seemed well aware of the range of risks beyond financial and infrastructure risks which might face the University, including for example the geographic co-location of the Disaster Recovery Centre with the University of Auckland; risks associated with development and uptake of new academic programmes and with

reliance on Learning Management Systems; risks associated with trying to manage multiple collaborative relationships with colleagues. The Panel was assured that where the University had taken some decisions which might be considered high risk, these risks had been assessed and discussed openly before decisions were made.

From discussions it appeared that while Auckland University of Technology has various structures and processes associated with risk management in place, there might be room for more systematic analysis of, and planning for, risk identification and mitigation.

R1. The Panel *recommends* that the University brings together more systematically the variety of risks identified across all University activity, to enable a more comprehensive risk identification, assessment, management and mitigation system to be implemented.

2.8 Auckland University of Technology's Transformation

The Foreword to the Self-review Report refers to the continuing transformation of Auckland University of Technology, from a polytechnic/institute of technology to a fully-fledged university, since its establishment as a University in 2000. The Foreword states that "change will continue at a similar pace for some years to come". Recognising the inevitability of future challenges, Council members described the next transformation stage as "continuing to be the university we most want to be". While all universities expect to evolve as a result of changes in the national and international environment, Auckland University of Technology's challenges have been different from those confronting longer-established universities.

Auckland University of Technology has achieved a significant shift in the types of awards offered and, as a consequence, in its student profile. Since 2006 the number of postgraduate qualifications has increased from 45 to 78 and the number of postgraduate students has grown from 903 in 2006 to 2,256 in 2010.¹⁷ At the same time, the number of diploma and certificate qualifications decreased. Degree-level students comprised 81% of all students in 2010, compared with 63% in 2006. The total number of students (headcount) has grown from 23,899 in 2006 to 29,389 in 2011 with the bulk of this growth being in domestic students.

These changes have inevitably required staffing changes. The most obvious representation of this is the introduction of a new academic pathway to recognise the research dimension of academic work which is an expectation for degree teaching, and concomitant strategies to enhance the research capability of the overall academic workforce.¹⁸

It is clear that some aspects of the transformation could potentially be in tension with other aspects. For instance, the emphasis placed on small class teaching and student-staff interaction, fundamental to student-centred teaching, could be at risk as staff are required to incorporate more research into their workloads. The Panel was interested in learning how these tensions are being negotiated and whether they could in fact become barriers to student achievement. Staffing issues are considered in Chapter 8.

The Self-review Report makes reference to the pace of change and the rapid growth of the professoriate.¹⁹ ²⁰ The Panel explored the possible side-effects of the pace of change for several

¹⁷ Self-review Report p10.

¹⁸ See Chapter 8.

¹⁹ Foreword

²⁰ para 26, p11.

aspects of the University's operations. Rather than hearing complaints from staff about, for example, changed working conditions or staff workload, the Panel repeatedly heard staff talking about their appreciation of the opportunities the University offered, about their acceptance of change, their pride in Auckland University of Technology and its points of difference, and their excitement in taking part in the Auckland University of Technology journey. One staff member described working at Auckland University of Technology as providing a "wonderful sense of possibility"; another said it "is a time of opportunity". The Panel did not gain any impression of rehearsed or selective responses but is convinced that staff genuinely share the vision of which they are a part.

3

Quality Assurance and Enhancement

3.1 The Quality Assurance System

In developing its quality management processes, the University has had to balance central and devolved responsibilities. It acknowledges that it has not yet addressed fully the recommendations of the Cycle 3 audit. Significant structural reviews of most departments responsible for administrative support and restructuring of senior administrative portfolios have produced improved alignment of academic and administrative structures. The Self-review Report notes, however, that “[I]t remains a challenge to ensure that the changes that will deliver the strategic goals and objectives do not undermine or overwhelm the operational effectiveness and efficiency of the University.”²¹ Improved access to information and communication about academic policies and processes have been identified as necessary enhancements to assist with developing further the consistency of adherence to policies and procedures across all areas of the University.²² The Panel agrees with the proposed enhancements in communication, access to information (Enhancement 3.1) and data quality and availability (Enhancement 3.2) to assist in overcoming any disjuncture between devolved and centralized decision-making.

The University engages in the range of activities which are the normal basis of a quality management system, namely systematic policy development, monitoring and review; dissemination of policies, procedures and guidelines; and line management accountability. Since 2008 policies have been formulated within common templates, are linked explicitly to strategic priorities or legislative requirements, and are managed within a centralised system which is accessible via a policy library.²³ In addition, the University must respond to external quality monitoring expectations. The framework set out in the 2008 Memorandum is a good model for how the University might approach other activities, such as benchmarking (see 3.6 below).²⁴

C3. The Panel *commends* the University for its systematic policy development and policy management framework and in particular for the ways in which coherence with strategic priorities is ensured.

In addition to policies and procedures the University implements several surveys, as well as assessment moderation, student evaluation of papers, programme reviews and annual programme reports. The Panel was impressed by the level of commitment to the principles, intent and practices of quality assurance which it detected. This was exemplified by the widespread familiarity among staff with the audit Self-review Report and Portfolio.

²¹ Self-review Report p19.

²² Enhancement 3.1, Self-review Report p25.

²³ The Policy Reform Project – see Self-review Report p26.

²⁴ “Reform of Policy” 25 September 2008.

3.2 Programme Approval, Review and Annual Reporting

Programmes are quality assured via a cycle of approval (which conforms to CUAP processes²⁵), monitoring, review and reporting. Some steps in this cycle involve student evaluation and stakeholder input from industry and the professions. The components of the cycle are conveyed clearly in the Self-review Report.²⁶

Programme review guidelines and procedures are comprehensive, relating reviews to the University's Strategic Plan and covering such matters as review purpose; panel membership and responsibilities; documentation required; review procedure, report format and overall terms of reference. A template is provided for data presentation.

Annual Programme Reports are also completed for each programme or group of affiliated programmes, to a template which covers four sections, with generally the following subsections:

- Section One: Data
 - Student profile; demand; enrolments; graduation numbers; student achievement; progression; graduate outcome/graduate profile
- Section Two: Developments in the curriculum and implementation of the programme.
 - Changes to the programme or curriculum; learning, teaching and assessment developments and issues; student support, staffing and resources; external collaboration.
- Section Three: Feedback and Progress
 - Student feedback; external consultation and feedback; external monitoring/benchmarking; progress on outcomes of the last review or report; action plan; good practice and highlights.
- Section Four: Appendices (Statistics reports).

The Panel viewed a sample of these reports and was particularly interested in how programme reviews and annual programme reporting feed back into quality enhancement.

The Panel heard that staff “absolutely” buy in to programme reviews and feedback. They contribute to action plans for the following year and Deans ensure action is in fact taken. The external perspective is valued. Discussion of programme review reports at faculty meetings can lead to other programmes also being influenced by a review's recommendations. However it was observed by some staff that the flow of information from reviews needed to be managed to ensure its effective use.

Programme reports were also considered useful to staff. They commented on a “culture shift” from seeing these as compliance documents to becoming continuous improvement documents. The reports are discussed at faculty boards and were described as “reflective and productive”. Reports gave staff a sense of ownership of their programmes and provided opportunities for sharing successes and common problems that could be streamlined across faculties. It is also important to note that through the advisory boards, external stakeholders have involvement in this reporting and subsequent action plans. The one area suggested for improvement to programme reports is for data to be pre-populated centrally.

²⁵ CUAP is the UniversitiesNZ Committee for University Academic Programmes

²⁶ p27.

- C4. The Panel *commends* the development and use made of the Annual Programme Reports and in particular notes the characterisation of these by staff as continuous improvement rather than compliance documents.**

3.3 Assurance of Teaching and Learning Quality

Surveys are the main tool for formal systematic course and teaching evaluation by students. It appears that most courses are evaluated. However some students suggested that courses in some programmes might not be evaluated as systematically as are those in other programmes. They told the Panel that they were aware of a few courses in which course evaluation appeared to concentrate only on curriculum content and did not address teaching *per se*. Student representatives on Boards of Studies provided an informal avenue for feedback.

The University reported that in an effort to improve feedback to students on the academic response to surveys customized action reports based on the annual surveys are prepared for each faculty by the Institutional Research Unit. The Panel did not explore any further how these are used.

Assurance of teaching quality is discussed further in Chapter 4.

3.4 Papers Taught off-Campus.

Auckland University of Technology offers some programmes off-shore. Ensuring quality equivalence of these is acknowledged to be an area for improvement. When a programme is developed for initial approval there is close scrutiny of it within the University and externally, but if an existing programme is to be offered off-shore it would appear that the scrutiny is less rigorous.²⁷ In its attempts to establish more robust quality assurance of off-shore programmes, the University is now using the Annual Programme Reports and five-yearly programme reviews. These are augmented by regular visits to the site by Auckland University of Technology staff (for example, in Vietnam and Rarotonga).

In sum, if the programme is taught towards an Auckland University of Technology qualification then Auckland University of Technology policies and procedures are used. If the programme has been developed by Auckland University of Technology staff towards a non-Auckland University of Technology qualification (eg in Oman and the Maldives) then the local conditions apply.

3.5 Student Engagement

Auckland University of Technology participates in the Australasian Universities Survey of Student Engagement, AUSSE. The 2010 AUSSE results for undergraduate students showed that on most items students at Auckland University of Technology gave higher scores than did students from the other six New Zealand participating universities. Notably high scores were reported on

- interaction in class
- active learning
- work-integrated learning.

²⁷ All new programmes are assessed by CUAP.

These scores reinforce the University's views about its own distinctive character. Auckland University of Technology students scored highly also on criteria related to academic challenge, enriching educational experiences and supportive learning environment.²⁸

The University's assessment of postgraduate engagement appears to rely heavily on individualised feedback from those students. Staff referred to the open door policy of faculty postgraduate deans and postgraduate offices; to opportunities provided by workshops and by student input as representatives on boards of studies. Faculties also appear to have some flexibility in how feedback is facilitated. Thesis students complete six-monthly progress reports, with opportunity in subsequent reports or meetings for feedback on issues raised.

A survey of postgraduates is administered every two years. The 2010 survey report is a comprehensive and well-presented document. It shows an overall improvement in all facets of their research experience since the previous survey in 2007, with little variation in scores across faculties.²⁹ The Panel supports the regular administration of the Postgraduate Research Experience Survey and encourages the University to explore potential benchmarking of data with other New Zealand universities which conduct similar surveys.

3.6 Benchmarking

Benchmarking is an effective strategy for ensuring university processes and standards meet (or exceed) expected national and international practice. Throughout its discussions the Panel heard a number of references to benchmarking activity at the University.

Council discussed the benchmarking project it had initiated aimed at identifying international institutional partners. Council noted it was looking for institutions with similar values to Auckland University of Technology, something which would be meaningful and not just *pro forma*. Auckland University of Technology is involved in the Australian Technology group but has not to date partnered with a single university for the purposes of benchmarking across all activities .

Some of the University's embedded activity is by nature benchmarking activity – the AUSSE for example, and national and international programme accreditation (eg AACSB).^{30 31} The proposed JRA survey will enable the University to benchmark staff satisfaction against other New Zealand organisations.³²

Some administrative areas reported established benchmarking relationships – for instance Human Resources and the Library are involved in international benchmarking while the e-Maturity Model of e-learning run by Victoria University of Wellington will produce benchmarking information related to e-learning.

²⁸ Self-review Report p38.

²⁹ 2010 Postgraduate Research Experience Survey p17.

³⁰ The Australasian Universities Survey of Student Engagement

³¹ The Association to Advance Collegiate Schools of Business

³² The JRA Best Workplaces Survey is run in association with The New Zealand Herald and is New Zealand's largest annual workplace climate-employee engagement survey. <http://www.jra.co.nz/bestworkplaces/> downloaded 22.06.11.

The peer review processes of programme approval and review also achieve this objective, as does peer review of research. The Panel noted that the 2009 paper “Research and Development at AUT University – The next ten years” reported on initial work done towards building a research benchmarking project with leading “new” universities overseas. To the Panel’s knowledge this project has not been developed further.

While the Panel was pleased to hear of this range of initiatives it believes the University would benefit from a more strategic, systematic and coherent approach to its benchmarking activity.

R2. The Panel *recommends* that the University formalises and extends its benchmarking activity, both nationally and internationally, in order to assess and monitor progress towards achievement of its goals of excellence in teaching, scholarship, research, administration and community engagement.

3.7 Other Quality Assurance Activity

Auckland University of Technology runs its own Graduate Destination Survey.

Research is quality assured by peer review, by scrutiny of funding proposals by the University Research Office and the Auckland University of Technology Ethics Committee, and by the PBRF processes. Research activity is explored further in chapter 5.

Reviews of administrative processes and functions are undertaken on an ongoing basis, usually initiated by the relevant team leader or by the Executive Management Team.

Risk management, which is an important element of institutional quality assurance and enhancement, has been discussed in Chapter 2.

As noted in Chapter 1, as part of its self-review the University has identified a number of challenges and proposed enhancements. The Panel considers that workload and financial constraints might require some prioritisation of these.

4

Teaching and Learning and Student Support

4.1 Strategic Objectives

The first of the University's five strategic themes in its Strategic Plan 2007-2011 is *'to provide excellent education that inspires students to reach their full potential'*.

Theme 1 is expressed in terms of five objectives, to:

- ensure that graduates are knowledgeable, sought after, and inspirational;
- enhance curriculum flexibility and increase student choice;
- build and broaden discipline strengths;
- encourage students to be successful in higher education programmes; and
- ensure that the learning experience is of the highest quality.

The Strategic Plan identifies a specific critical success factor, namely 'to be the best place to learn', which will be indicated by:

- maintaining or enhancing the success of students as measured by retention and completion rates;
- the strength of the University's reputation as indicated by market.

A 'High Quality Learning Experience' is the fifth objective under Theme 1 of the University's Strategic Plan. To achieve this it is said the University aims to:

- ensure that all students are equipped with a range of learning skills, including information literacy;
- ensure that all students have opportunities for exposure to a range of learning styles and technologies, including online learning;
- ensure the development of excellent teachers, able to use a range of approaches and technologies in ways that meet the needs of their students;
- ensure that quality assurance systems are directed at the continuous improvement of the student experience;
- improve the coordination and enhancement of student support systems to maintain high levels of retention and completion; and,
- develop improved mechanisms for the dissemination of good practice in learning and teaching.

The mechanism for mapping strategies to achieve the University's high level goals is the institutional Learning and Teaching Plan.

4.2 The Teaching and Learning Plan

While the current University Strategic Plan applies to a period ending in 2011, and a new plan was undergoing consultation at the time of the site visit, the University's Learning and Teaching Plan 2011-2013 and accompanying Learning and Teaching Framework extend to 2011-2013.³³

³³ Approved May 2011.

These documents replace the previous Learning and Teaching Framework 2006-2010 and are relevant to the University's critical success factor 'to be the best place to learn' as stated in the Strategic Plan.

The Learning and Teaching Framework sets out the over-arching principles for the Plan. In particular, the Framework provides the rationale for Auckland University of Technology's approach to blended learning. It reiterates the variety of learning styles and learning experiences available, the range of teaching technologies available and the importance of not prioritising any particular way of teaching over other ways. The Framework emphasises that learning can happen anywhere, whether in a physical space or virtual.

The Principles articulated in the Framework extend from principles related to design of learning spaces to the likely future workplace and life experience challenges for graduates. The Framework sets out the values which characterise the University and the expectations of staff to deliver a student-centred university experience.

The Learning and Teaching Plan spells out the main goals and strategies designed to achieve the intentions of the Framework. The Plan includes designated responsibilities for the strategies; KPIs are still under discussion.

Completing the planning portfolio is a suite of Faculty Learning and Teaching Strategic Plans which list the Faculty-specific strategies which will support the institutional objectives. In addition, Learning and Teaching Strategic Plans have also been developed by the Library, the Learning and Development Centre, the Academic Quality Office, by IT Services and by the Organisational Development Group of Human Resources.³⁴ Each of these latter plans identifies the activities that group will offer to assist with meeting the goals of the institutional Plan.

While these Plans and the Framework provide a foundation for the future, and the effects of many of the strategies are untested, the Panel is aware that the development of the Framework and a coherent set of Plans in itself is a significant achievement. It is also mindful that many of the strategies listed are in fact already happening. For example, "embedding reporting of good practice in Faculty Board agendas" is evident in the discussion of Annual Programme Reports; establishing teaching portfolios is in support of teaching evaluation; "providing a safe and stimulating learning environment" is illustrated by the new learning centre development; recruitment and staff development activities support the strategy to "develop staff capacity to engage in research-led teaching".

Perhaps the biggest challenge now facing the University in implementing the Plans will be how it prioritises actions in an environment where many demands are likely to be made on staff time and financial resources.

- C5. The Panel *commends* the University for its comprehensive, wide-ranging, and ambitious Learning and Teaching Framework and Plans, in particular noting the underpinning Principles and Values which drive a clear vision for future-focussed learning and teaching developments.**
- C6. The Panel *commends* Auckland University of Technology for the contributions made by the non-faculty administrative units to the strategies which are intended to give effect to the University Plan.**

³⁴ The versions seen by the Panel were still in draft form.

4.3 A Flexible Curriculum and Transdisciplinarity

From the comments of academic staff it appears that Auckland University of Technology is well served by the Advisory Boards to its programmes. Stakeholder representatives indicated they had opportunity to have input to curricula and planning through this avenue. A strategic approach is reported for the development of new programmes, facilitated by the Academic Planning Subgroup of the Executive Management Team. One recent example cited was the introduction of a Law degree which is argued to be more “applied” than conventional law degrees, with a strong focus on transferrable skills. Senior practitioners from the profession have reportedly been involved in the degree’s development.

Enhancement 4.1 in the Self-review portfolio refers to the need to find mechanisms to support a flexible curriculum. The issue was explained to the Panel as being about the constraints on programme structure imposed by the administrative bases of the Auckland University of Technology degrees. Objective 2 of the first theme of the Strategic Plan outlines a range of priorities, including increasing cross-crediting opportunities with other providers, staircasing and expanding alternative delivery arrangements. The Self-review Report notes the need “to realign administrative systems, student information and advising processes, and internal funding procedures to support the movement of students across programmes, schools and faculties”.³⁵ Traditionally Auckland University of Technology programmes have been very subject-specific. It was acknowledged that in some disciplines, eg Health, the profession imposed such constraints. Some faculties wish to provide opportunity for students to broaden the content of their programmes, in particular to be able to include allied disciplines from other programmes. The Panel agrees that greater curriculum flexibility would support the University’s objectives of being more student-centred in its provision.

In discussion, several staff referred to the development of transdisciplinarity in research. The term implies more than interdisciplinarity. It encompasses the processes of developing new epistemologies and new paradigms which span and transcend the parent disciplines. If, as is intended, Auckland University of Technology is to become known for such innovation in research, then there is potential for a more flexible curriculum to accommodate transdisciplinary study.

4.4 The Teaching-Research Nexus

Staff and students exhibited a loose understanding of the linkages between research and teaching, with most referring to either research-informed or research-led teaching. During the Panel’s discussions with staff and students no reference was made to the scholarship of teaching as research.

The University is well aware of the need to consolidate its research activity, and in so-doing to strengthen the teaching-research nexus, especially in disciplines without such a heritage. The Panel supports all the efforts that it is making to this end and is confident that as the overall research profile develops the fundamental relationship between research and teaching will become more embedded across all disciplines.³⁶

³⁵ Self-review Report p34.

³⁶ See Chapter 5.

4.5 Work-integrated Learning

Workplace learning and graduate employability are fundamental to Auckland University of Technology's distinctive character. Some form of work-integrated learning is a feature of most undergraduate programmes. These opportunities include professional and clinical placements, internships, workplace projects and other types of external work experience. The University also attempts to reflect current professional environments in its teaching and learning spaces, an intention which is epitomised in the dining areas of its hospitality school, the journalism newsroom, sports performance centre at the Millenium Institute, and in its health clinics.

The value of this focus was highlighted by both stakeholders (potential or actual employers and placement sponsors) and by students. The responses to the 2010 AUSSE survey also reinforced the significance for students of this part of their University experience. By making work experience central to its undergraduate teaching the University is ensuring it goes a long way towards achieving its goal of producing graduates who are sought after by employers.

4.6 Space and Learning Technology

The University has demonstrated its commitment to providing and supporting developments in learning space design and contemporary teaching and learning technology through a number of initiatives, some of which are outlined below.

Part of Auckland University of Technology's legacy has been an emphasis on teaching in small classes, studios or professionally-oriented simulated work environments. While retaining the principle that the staff-student and student-student interaction which is possible in small groups is central to effective teaching, the University has also recognized that the contemporary university needs to extend its teaching approaches and provide the spaces which are appropriate.

The Panel received information about the new *WG Precinct* on the city campus and viewed the site. This new building, which will also be the public entrance to the University, will demonstrate the University's strategies for ensuring spaces for teaching and learning will accommodate a range of teaching and learning approaches. The new teaching spaces and specialist facilities, as well as new informal learning spaces are intended to be "future-proof" and have "flexible and sustainable characteristics".^{37 38} They will also meet the University's need for large teaching spaces, thus facilitating some of the shifts in teaching activity which the University is considering. The Panel was interested to learn that its large teaching spaces have been designed to facilitate small group interaction.

The University has also made significant investment in infrastructure, with enhanced wireless, internet and audio-visual facilities. The campus at Manukau has complete wireless coverage.

The Self-review Report recounts a range of technological developments to support teaching and learning.³⁹ In 2010, with input from the Auckland Student Movement @ AUT (AuSM), the University adopted a "Learning and Teaching Enabled by Technology" (LATENT) strategy. Use of the Blackboard

³⁷ Self-review Report p37.

³⁸ Investment Plan 2011-2013, p14.

³⁹ Self-review Report pp35-37; pp42-43.

learning management system, known as AUTonline, availability of the KAREN network, increasing use of Web2.0 tools such as podcasting, blogs and wikis, and the introduction of a high level of technical support has facilitated the growth of new learning technologies. There is an expectation that all taught papers have a minimum presence in AUTonline; data provided to the Panel indicate this expectation is close to being met.⁴⁰ While developments are often initiated by individual staff, some have been led at faculty or institutional level – for example, development of standardised templates for online use by the Faculty of Design and Creative Technologies, later adopted by other faculties; the digital language learning resources pioneered by Te Ara Poutama; and use of e-portfolios within Education.

Notwithstanding this progress, the University considers it needs to develop staff capability further. To this end a network of flexible-learning advisers provides support to staff, grants are available to support development of innovative programmes and an annual “FlexIT” event showcases good practice. Yet an ongoing challenge is staff reluctance to devote the time required to this level of upskilling. One interviewee noted that if the experience of the student is in fact the most important consideration then all staff need to be technologically literate. This staff member observed that this is most essential for “non-excellent” teachers. One initiative taken to meet this challenge has been the employment of students who are “digital natives” as teaching assistants. Despite these issues, it was observed by interviewees that most staff are excited by the possibilities of technological learning and teaching.

The Panel heard that there has been considerable effort expended to ensure a uniformity across the University in the provision of teaching technology in classrooms. It is acknowledged by staff that learning and teaching by technology introduces a risk related to the reliability of infrastructure. A different risk pertains to the time staff need to become familiar with use of the technology. In this regard it is pertinent to draw attention to the paragraphs in the Learning and Teaching Framework 2011-2013 that make it clear that the University aims for *blended* learning, that this “will normally involve a mix of techniques and technologies, ‘old’ and ‘new’,” and that “the lecture, the seminar, the tutorial, the large class or the small class, the laboratory and the workshop will have as much potential validity as will use of Blackboard, wikis, blogs, discussion groups, Facebook, Second Life, YouTube and their successors”.⁴¹

- C7. The Panel *commends* the University for the strong emphasis it places on the development of learning spaces and advanced technologies along with the extensive support provided to ensure these are deployed in ways which focus on enhancing the student learning experience.**
- A2. The Panel *affirms* the approach being taken by Auckland University of Technology to integration of a broad mix of teaching and learning technologies which recognises the value of both traditional and cutting-edge teaching techniques.**

4.7 Academic Integrity

As recounted in Chapter 2, ethics is a core dimension to Auckland University of Technology’s mission. In teaching and learning this is expressed within the curriculum and in expectations of academic practice. Examples included compulsory and elective papers on ethics (eg legal ethics; health and environmental sciences) as well as papers which integrate applied ethics into discipline

⁴⁰ Self-review Report p35-36.

⁴¹ Learning and Teaching Framework 2011-2013, p2.

papers (eg in accounting; media ethics). The Panel was told of an ethics paper that was specifically designed for students from a variety of cultural backgrounds.

Some schools reported special seminars or workshops on academic honesty/plagiarism. Staff have access to Turnitin software for plagiarism detection. Academic dishonesty was not thought to be a particular issue, though it was acknowledged that this might be more difficult to detect in postgraduate work. The panel thought that the comments they heard regarding plagiarism represented a somewhat naïve understanding of the potential incidence of the practice.

R3. The Panel *recommends* that the University remains vigilant for instances of academic dishonesty, continues to develop its educative processes about academic integrity and ensures all teaching staff, and thesis supervisors in particular, are familiar with strategies for reducing, detecting and addressing plagiarism.

4.8 The Library

Auckland University of Technology's library provides a wide range of services and resources. The University reported that since the Cycle 3 audit there has been growing investment in print, digital and multi-media resources, with approximately 70% of the Library's information budget currently allocated to e-resources.⁴² The Annual Report 2010 documents the allocation of information resources and services, including both turnstile counts (approx. 1.5 million) and electronic downloads (approx. 2.5 million).⁴³

Library staff reported that the main way by which they help students is via the help desks. Other ways in which the library supports students include provision of computer literacy teaching; provision of both virtual and physical learning spaces outside the library; various workshops. A flexible delivery service is available to students who live more than 50km from the University. The Library offers a faculty liaison service to support staff and has staff dedicated to postgraduate support.

The Library runs its own satisfaction surveys and has its own internal framework for continuous improvement. As noted previously, the Library is contributing to the institutional Learning and Teaching Strategic Plan.

4.9 Student Support

In keeping with its aim to be student-centred in its teaching and learning, the University provides a wide range of student support experiences and opportunities. The fact that Auckland University of Technology students, like students elsewhere, are tending to spend little time on campus outside their formal learning time poses challenges in identifying and meeting student need.⁴⁴ Some staff drew attention to the ways in which they try to make their services student-centred, for instance by providing "drop-in" any-time, free services. Students who were interviewed praised their teachers for their accessibility, both in terms of time and space and also in approachability.

⁴² Self-review Report p41.

⁴³ Annual Report 2010 p26.

⁴⁴ Reported from AUSSE 2010, Self-review Report p39.

Since 2010 the University has integrated student support services into the University Relations Directorate on the premise that the student journey in fact pursues a trajectory from recruitment to graduation and becoming alumni. The effectiveness of this integration was not explored by the Panel. However the Panel did hear warmly supportive assessments from students, who referred to there being “heaps of services” and “a lot of support if you’re willing to take it”. These students put the onus on themselves to identify their needs and find the appropriate support.

The University’s Learning Development Centre, Te Tari Awhina, offers study skills support, English language and numeracy tuition and support for students with learning disabilities. Self-access learning labs are located on both the North Shore and the City campuses. Te Tari Awhina also facilitates a peer tutoring service.

The Panel was particularly interested in two initiatives focussed on first-year students: the First-Year Experience programme and the Student Mentor Programme. The First-Year Experience programme identifies at-risk first year students in selected programmes and contacts them to provide advice and assistance and to connect them with services which might assist them. The Mentoring Programme trains senior students as mentors who are then connected with first-year students at orientation, to provide support in the new environment and to provide advice about how the University works and about support services which are available. The Panel heard that the mentoring service is “used a lot – particularly [by] Māori students”. It was suggested that mentoring is “part and parcel” of the University’s commitment to community and equity.

C8. The Panel *commends* the University for its initiatives to support first-year students and students who are first-in-family to attend University. In particular the Panel commends the First-Year Experience and the Student Mentor Programmes.

The Panel read that a survey of student support services in 2008 demonstrated satisfaction by all users.⁴⁵ More notably, more than 80% of users who were Māori, Pacific, Chinese, international or students with disabilities were satisfied with the support they had received.

4.10 Learning Outcomes and Student Achievement

The University uses conclusions from the periodic reviews of programmes to inform its evaluation of overall strengths and weaknesses in learning, teaching and curriculum. The 2008 and 2009 analyses indicated a commonality of areas to be noted by staff. Curriculum development, staff approachability and support of students and the influence of staff research were seen as common positive traits. In terms of enhancements needed, the University has identified the need to align course content and assessment with expected learning outcomes and graduate profiles, issues related to workload, weighting of assessment items and the need to monitor student feedback to ensure programme relevance.⁴⁶

Notwithstanding the desired enhancements identified above, surveys indicate that the University is in fact achieving its goal of employability: from the 2009 Graduate Survey 82% of respondents were in employment and 87% said they thought the qualification they had gained at Auckland University of Technology had given them an advantage in the employment market.⁴⁷

⁴⁵ Self-review Report p40; Student Services Survey 2008, pp5, 15.

⁴⁶ Self-review Report p 44-45.

⁴⁷ Self-review Report p44.

Student achievement statistics, including retention and completion data, are analysed on an annual basis. One concern is the achievement gap between Māori and Pacific students and other students.⁴⁸ These vary across programmes and levels of study. Initiatives to address these disparities are sought by the Equity Steering Committee from faculties and central units (see Chapters 6 and 7). Enhancement 4.4 seeks to develop achievement analysis to identify variables impacting on achievement, so that the University might develop targeted strategies to encourage success for groups shown to be under-achieving.⁴⁹ The Panel supports this initiative.

4.11 Teaching Development and Evaluation

Support for teaching development is provided primarily by the Centre for Learning and Teaching, CfLAT. Staff development is considered in Chapter 8.

⁴⁸ The term “Pasifika” is used where this explicitly refers to an Auckland University of Technology statement which uses that term. Otherwise the term “Pacific people” or “Pacific students” is used to reflect NZUAAU terminology. See Chapter 7.

⁴⁹ Self-review Report p44.

5

Research Environment

5.1 Research Strategy

The second theme of the University's current Strategic Plan refers explicitly to research: "AUT University will conduct excellent research, advancing knowledge and practice in its areas of expertise and supporting its higher education programmes".⁵⁰ The University has three specific objectives in this area:

- To increase research activity;
- To enhance research reputation;
- To ensure research activity is sustainable.

To support achievement of these objectives, the University monitors quantitative performance targets ('Critical Success Factors'), including targets to increase the number of doctoral and research masters graduates, and to increase external research income.⁵¹

The Pro Vice-Chancellor (PVC) Research has oversight for research and is supported in each faculty by an associate dean responsible for research. There is a close working relationship between the PVC Research and the Research Office (management and administrative) staff and this is regarded as particularly helpful by University management, particularly through a period of change. The PVC Research role also includes broad oversight of postgraduate studies aided by the Dean of University Postgraduate Studies, the Director of Postgraduate Studies, and the Director of Research Development/Head of the Research Office.

The University has made a large investment in building research capability since the previous academic audit, and continues to endeavour to enhance the quantity and quality of its research outputs along with the size of its postgraduate student body. In 2007, the New Zealand Government granted Auckland University of Technology a suspensory loan which required a commitment to building the University's research capability. The University is on track to meet or exceed all of the performance indicators related to research in fulfilment of the conditions of this loan.⁵²

Enhancement activities in this area are focused on establishing the University's reputation as a provider of applied, interdisciplinary, policy-informed and connected research meeting the social and economic needs of its local, national and international communities.⁵³ Emphasis is placed on enhancing the University's research contribution in a practical and applied way that is consistent with the University's aim to continue to remain connected to business, industry and to other communities. The Audit Panel heard of the University's proactive approach to identifying and

⁵⁰ AUT University Strategic Plan 2007-2011, p5.

⁵¹ AUT University Strategic Plan 2007-2011, p16.

⁵² Research and Development at AUT University: the next ten years (April 2009) *internal document*.

⁵³ AUT University Strategic Plan 2007-2011 pp8-9.

supporting areas of strategic importance. Senior management staff spoke of how the University is trying to leverage its distinctive features and expertise as a result of its history as an institute of technology. This aim is reflected in the range of areas the University has identified as strategic foci for future research development, including: radiophysics and space research, sustainability, Māori and Pasifika advancement, innovative product design, health, tourism, and business research.

Since the Cycle 3 audit, the PBRF component of the University's government funding has grown from \$5.4 million to \$7.3 million between 2007 and 2010, and senior University staff spoke of looking forward to the next PBRF round in 2012, as a chance to showcase how much progress Auckland University of Technology has made in this area since the 2006 assessment.⁵⁴ Despite already significant investment of time, money and energy, the University spoke of the need to maintain momentum and to continue to enhance its research contribution. The University is pleased with its progress to date but is not complacent about the challenges that continue to lie ahead.⁵⁵ The Panel noted that throughout many of the University's planning and strategy documents, there is a strong performance-based element to drive research enhancements and improve productivity.

As part of this new strategy for research, the University will continue to focus on building individual staff research capability and institutional external research income, increasing postgraduate research student numbers and improving their completion rates. The University is also focused on maximising opportunities for consultancy services with the business community, and on continuing to develop its research partnerships with major New Zealand employers.

A new Strategic Plan for Research for the period 2012-2016 is in development alongside the development of a new Strategic Plan for the University. At the time of the audit this Plan was still under consultation, but senior University staff spoke of plans to review how funds are allocated to research institutes, and about making improvements in internal research administrative processes and systems, including ethics approval. Staff also spoke of the University's recognition that it cannot rely solely on external research funding to boost its research capability, and of the need to reinvest or increase internal funding for research.

- C9. The Panel *commends* the ongoing and wide-ranging efforts the University is making to develop its research culture. These include, for example, changes to staff employment contracts, research support, promotion and workload criteria and pan-University student research colloquia.**
- A3. The Panel *affirms* Auckland University of Technology's approach to research strategic planning as being consultative, proactive and building on existing areas of academic strength, aligned with the vision of the University.**

5.2 Research Capability

Improving Auckland University of Technology's performance in the 2012 PBRF assessment is a major priority for the University and a number of strategies and initiatives are in place to ensure there is effective participation by staff. However, it was stressed that the focus is on assisting staff to

⁵⁴ Self-review Report p48.

⁵⁵ AUT University Research Directorate Business Plan 2011 -2013.

increase their research capability and the quality of their research outputs on the assumption that that will be PBRF-assessed, rather than focusing on producing for the PBRF *per se*. The Panel was impressed by the University's commitment to enhancing the research skills of allied staff as well as academic staff.

The University has implemented a mock PBRF process to prepare for the 2012 round, and introduced phase one of the Integrated Research Information System (IRIS) which is a new research management system designed to assist academic staff in maintaining an up-to-date research output portfolio. The University's proactive approach to research data management was highly evident with the commissioning and iterative roll-out of this software alongside the strong IDP (Individual Development Plan – see Chapter 8) process in place across the University.

The Audit Panel heard from many staff and students about the significant shift in research culture that has occurred in recent years, and the way in which research is now a prominent feature of conversations across the University. Recruitment of senior, experienced researchers has assisted this. There was acknowledgement that research activity is still variable, and that more support and performance management may be required in some pockets of the University. Further, it was conceded that not all staff would want to play an active role in the University's research activities. However it was evident that staff are offered opportunities and support to enable them to enhance their research capability, and that the University has been, and remained committed to, taking staff with them on their path of transformation. The Audit Panel heard of examples of staff who had previously not been interested in becoming research active, but who had been encouraged to participate in joint projects and had gained confidence and interest and were now actively engaged in high-quality research.

The Audit Panel heard about the value added by the Research Office and faculty research support staff, including the active role they play in highlighting relevant external opportunities to staff, particularly those who haven't been involved in research before. It was noted that, at this stage of the University's development, these support staff are well placed to have direct knowledge of individual faculty members' research interests and expertise, and hence can readily provide links to available funding and relevant other opportunities.

C10. The Panel *commends* the proactive and supportive role played by the Research Office and faculty research support staff in supporting and enabling staff new to a research environment to take advantage of external and internal research opportunities.

A4. The Panel *affirms* the University's changes to staff employment contracts and the development of statements of workload setting out expectations of staff (variable by department) and staff expectations of support and assistance. The Panel notes Auckland University of Technology's commitment to developing the research capability of its staff, and the policies, funding opportunities, recruitment strategies and mentoring arrangements in place to encourage and support staff in this process.

5.3 PhD Supervision and Examination

Auckland University of Technology has experienced considerable growth in postgraduate student numbers in recent years and has set ambitious targets for PhD and masters research students for the years ahead.

The Panel was interested and encouraged to learn of the University's focus on supervisory teams and on the mentoring systems in place for staff who were new to supervising at postgraduate level. Staff confirmed that strong connections are in place with industry and other institutions to provide additional supervision as required, and the positive experience of most students was confirmed to the Panel by current postgraduate students and via the latest postgraduate student survey results.⁵⁶ The Panel also noted rigorous processes in place for ensuring continuity of supervision should staff be temporarily away from or leave the institution.

Students spoke positively of the wide-ranging and relevant experience of their supervisors, and of the excellent communication and support provided. Students also spoke of how they appreciated the practical focus of their supervisors, and of the usefulness of academic staff members' close relationships with industry. Particular note was made of the Graduate Assistants programme that allows postgraduate students to be included as staff of the University, thereby increasing access to their supervisors and a feeling of belonging to the department. This Programme has been expanded since 2010. It now also includes early career academic staff, and provides them with the mentoring, time and resources necessary to complete their research.

While feedback on supervision was very positive (90% of students were very positive with the quality of the supervision they had received in the latest survey⁵⁷), the Panel had some concerns about the adequacy of planning to ensure the University has the numbers of staff to ensure this quality of supervision and examination is sustained and is consistent with the University's planned expansion in this area. There was some concern that this may be particularly difficult to ensure in the next few years while many of Auckland University of Technology's academic staff are still on a path towards doctorates, and postgraduate supervisory experience is not uniformly spread across the University. Specifically, the Audit Panel was concerned that as postgraduate student numbers grow, the possibility exists of the University using supervisors and examiners who are not familiar enough with the academic field or techniques covered and/or an over-reliance on a small number of Auckland University of Technology academic staff members.

R4. While the Panel acknowledges the processes and practices the University has put in place for ensuring high-quality postgraduate supervisory arrangements for its current students, it *recommends* that Auckland University of Technology gives greater consideration to how it will ensure adequate numbers of postgraduate supervisors and examiners with the necessary experience and depth of knowledge as the University's postgraduate student numbers grow.

C11. The Panel *commends* the University on the expansion of the Graduate Assistants programme and on the way in which these students and early career academic staff are actively supported and mentored within departments.

5.4 PhD Student Support and Services

Particular mention was made by postgraduate students of the warmth of the welcome they received from Auckland University of Technology as potential postgraduate students, and of the openness and flexibility of teaching staff. Again, the Graduate Assistants programme appears to have played an important role in reducing the isolation sometimes felt by postgraduate students.

⁵⁶ 2010 Postgraduate Research Experience Survey

⁵⁷ *Op.cit*, p31.

The University has made a significant investment in the enhancement of postgraduate student support and services since the previous audit, with the development of central postgraduate spaces, 24-hour access to postgraduate facilities, and the appointment of a new Dean of University Postgraduate Studies. This recent appointment has been made to oversee further planned enhancements to student support, including the promotion of research forums and workshops, the development of mentor supervisors, training of PhD examination conveners, and postgraduate research supervision. The Panel gained a view that there were still some improvements to be made to ensure an integrated and consistently high level of administrative services is provided to postgraduate students, particularly through the admissions and induction processes. The Panel was encouraged by this new appointment as part of the University's desire to coordinate postgraduate services and support across the University.

Auckland University of Technology regularly seeks feedback from students, and there was clear evidence of the integration of that feedback into the development of their services and facilities. The Panel also found a clear commitment to student support and a strong desire to assist students wherever possible. Auckland University of Technology supports postgraduate research students with a *per annum* sum to cover approved budget items indicated in their admissions application, including conference attendance, research-related costs or other related expenses. This sum varies with the type of research degree and area of research. Faculties may also provide additional funds for research travel, conference presentations or publication expenses.

The University has a detailed and up-to-date Postgraduate Handbook. Postgraduate students interviewed indicated their awareness of this publication. However while results of the 2010 Postgraduate Research Experience Survey suggest that the overall contents are generally understood, the Panel gained the impression from its interviewees that some aspects of the Handbook are not as well understood as others. In particular, the Panel is of the view that more could be done to ensure students understand their intellectual property rights with regard to research, and to ensure Research Supervision Agreements are understood and honoured. Student feedback, along with results from the Postgraduate Research Experience Survey, suggest these agreements are not applied uniformly.

Procedures surrounding ethical approval were another area with which some students and their supervisors had difficulty. The Panel heard from staff and students about lengthy approval processes and confusion about requirements. The University has already observed the need to improve the speed of the approval process while balancing rigor and effectiveness in the University's ethical approval systems. The Panel endorses changes in this area.

- A5. The Panel *affirms* the appointment of a Dean of University Postgraduate Studies and other planned enhancements designed to provide appropriate support and services for postgraduate students (Enhancement 5.2).**
- R5. The Panel *recommends* that the University further develops ways to ensure that procedures relating to intellectual property and ethical approval are widely understood by students.**
- R6. The Panel *recommends* that the University further develops its postgraduate student procedures to ensure Research Supervision Agreements (including intellectual property agreements) are in place, where appropriate, for all postgraduate research students.**
- R7. The Panel *recommends* that the University advances its plans to review and streamline its processes for ethical approval.**

5.5 Research Institutes

Auckland University of Technology has 15 centrally-funded research institutes, spanning a wide variety of disciplines including earth and oceanic sciences research, biotechnology research, radio astronomy and space research, public policy, tourism, and public and mental health.⁵⁸ These institutes have been set up to have a national and international profile of leading researchers, an active postgraduate profile and demonstrable grant success.

The University's research institutes make an important contribution to the academic life of the University, by increasing staff research capability, supervising research masters and doctoral students, attracting research grant funding, and enhancing the University's research profile. The role the institutes play is valued by senior management and the Panel found evidence of strong linkages between research institutes, faculties, and the annual and strategic planning of the University. All institutes are administered at the faculty level and headed up by a Director.

The Panel felt that the link between the current research institutes and the University's future plans is not always clear. Apparently this is a consequence of the different drivers for the institutes' establishment. In some instances research institutes had evolved as a result of the University's prior history as an institute of technology and in others, following the appointment of senior researchers. The University is aware of this issue and is currently reviewing how best to ensure the University's institutes fit within the University's research priorities, as well as endeavouring to make funding arrangements more transparent and consistent. The Panel supported this review and was of the view that there exists more potential for the University to align its research unit structures better to reflect and promote the distinctive contribution Auckland University of Technology currently makes, and wants to make, to its local and national communities. The agility of the University is something the Panel became quickly aware of; however, this is one area where it was felt that being too quick to take opportunities may result in resources being spread too thinly. Senior University staff spoke of the possibility of moving to research clusters; the Panel was of the view that a change of arrangements that would direct resources and clarify areas of strength to potential staff, postgraduate students, industry, external funding bodies and other potential collaborative partners, may be beneficial.

Similarly, because of the way some of these institutes have come into existence, and the significant contribution they make to the research contribution of Auckland University of Technology, the Panel found that there may be some risks to the University in being overly dependent on a small number of individuals for research productivity. However, the University is well aware of this possibility and is actively looking to enhance links between the institutes and relevant schools and programmes, and the Panel was impressed by the University's requirement that institutes include succession plans as part of their strategic reporting.

C12. The Panel *commends* the University's approach to the annual and strategic planning of research institutes, particularly the requirement of succession planning.

⁵⁸ A full listing of Auckland University of Technology's Research Institutes can be found on the University website: www.aut.ac.nz/research/research-institutes

- R8. The Panel *recommends* that, as part of its plan to review research funding, Auckland University of Technology,
- (1) explores ways of increasing funding available for research across the University, and
 - (2) clarifies the criteria by which research institutes are established and monitored.

5.6 Commercialisation of Research

While commercialisation of research was discussed in the Self-review Portfolio, the Panel did not seek any further information during the site visit. The Panel notes that commercialisation of research is part of a university's normal range of activities, given its requirement for active involvement of academic staff in research.

6

Te Tiriti o Waitangi

6.1 Vision and Goals

The University's commitment to Te Tiriti o Waitangi is declared in Objective 10 of the Strategic Plan *'to honour the commitment to the Treaty of Waitangi by being the University of choice for Māori'*.⁵⁹

The University plans to give effect to this commitment by:

- building effective relationships with mana whenua, iwi and Māori communities;
- conducting research that benefits Māori and their communities;
- including Māori pathways in the curriculum;
- promoting access, success and advancement for Māori staff and students; and
- valuing and promoting te reo and tikanga Māori.

The University considers it is “well suited to working with Māori to honour and nurture Māori cultural identity and to promote a strong sense of hope for the future well-being of all Māori.”⁶⁰ The Panel was told that Auckland University of Technology determined that it could play an important role in supporting Māori (and Pacific students – see Chapter 7) after considering the demographic characteristics of the region in which it is located. Māori and Pacific people were identified as playing a big part in the future of Auckland. The University is determined to give effect to its aspirations to contribute to “making Auckland great”.

Māori advancement at Auckland University of Technology is overseen by a Pro Vice-Chancellor (Māori Advancement) who is guided by a Māori Advancement Advisory Committee comprising representatives of each faculty, allied staff, and “relevant staff groups”. Among the terms of reference of the committee is the intention “to assist in the development, management and evaluation of institutional research and staff development to enhance Auckland University of Technology knowledge bases and staff competencies that support Māori Advancement and related achievement”. The tasks of the committee set out ways in which this intention might be given effect.

It is expected that all staff will take responsibility for expressing the commitments in the Strategic Plan related to Māori. The Panel was told that Māori advancement is not a “precious statement” in the Strategic Plan but it is very much wanted by a significant proportion of the University's staff, and the language used is deliberately chosen to match expected behaviour. The orientation for new staff includes information on the University's commitment to the Treaty.

In addition to the appointment of a senior member of the management team as Pro Vice-Chancellor (Māori Advancement) and the above committee, the University has several significant provisions at institutional level, including:

⁵⁹ Self-review Report p 8; Strategic Plan Theme 3, Objective 10.

⁶⁰ Self-review Report p57.

- The Māori Education Working Party, a sub-group of Council, which reviews and monitors the University's plans and objectives pertaining to Māori educational outcomes;
- Nga Wai o Horotiu marae, which serves as whānau, cultural and spiritual centre of the University;
- Te Ara Poutama, the Faculty of Māori Development, which offers programmes which "address the identity and leadership aspirations of its students",⁶¹
- A course in te reo Māori offered at nil fee to any staff and students;
- A biennial Māori Expo focussed on inspiration, empowerment and celebration of Māori achievement across academic and non-academic areas (attended by over 20,000 people in 2009).

In its interviews with staff and review of documentation the Panel explored the various ways in which the University gives effect to its commitment to the Treaty.

6.2 Relationships with Māori Communities

One of Auckland University of Technology's aims is to grow its student and staff profile to more closely resemble that of the region. Figures provided in the Self-review Report indicate a growth in Māori students from 1611 (9%) in 2006 to 2064 (10%) in 2010.⁶² The Panel was told that the University has a number of Māori staff in allied staff positions but there are proportionately fewer in academic positions.

In addition to its links with Tamaki Makaurau which is the mana whenua, the University works closely with Ngati Whatua o Orakei, assisting its objectives, *inter alia*, by provision of scholarships and acknowledgment of student achievement. Further to these formalised relationships, University senior managers work with individual iwi on a case-by-case basis. Auckland University of Technology is an active contributor to the national Māori Academy for Academic and Professional Advancement, MANU AO, and has recently formalised its relationship with Te Wānanga o Aotearoa including becoming involved in the Māori in Tertiary Education project, MITE.⁶³

At governance level, local Maori have two designated places on the University Council and Māori are represented on at least some Advisory Boards – for example, a representative of the Māori Dental Health Association, Te Ao Marama, sits on the Advisory Committee for the Oral Health programme.⁶⁴ The University's development at Manukau is a direct result of an assessment of community need in South Auckland, and identification of an opportunity for Auckland University of Technology to play a leading role in meeting that need (see Chapter 9). A key focus of the Manukau development is the Māori and Pacific community.

⁶¹ *Ibid*

⁶² Self-review Report p 85. This figure has been overtaken by Pacific students – see Chapter 7.

⁶³ Self-review Report p58.

⁶⁴ Council positions are designated as being "nominations of the local iwi" (1 position) and "nominations of the Auckland District Maori council" (1 position) – Annual Report 2010 p2.

6.3 Research and Māori Communities

The University's research commitment to Māori currently concentrates on those disciplines which have the greatest impact on Māori and their communities, notably te reo Māori, business development, and health. Further work on the detail of Māori research in the new Research Strategy is under way. It was emphasised to the Panel that "Māori research" is not just research which is "about Māori" but is also research which will benefit Māori. The Panel was told that non-Māori researchers play a significant role in this. Māori researchers assist, and guidelines are in place, to ensure Māori and non-Māori researchers work with Māori "in the right way". The Panel was also told that much of the planning of the Māori research strategy is being led by Māori Advancement staff.

Te Ipukarea: The National Māori Language Institute, hosted by Te Ara Poutama, has partnerships with the following providers of Māori language programmes:

- Te Ataarangi;
- Te Kawa-a-Māui and Te Herenga Waka Marae of Victoria University of Wellington;
- Te Panekiretanga o te Reo of Te Wānanga o Aotearoa;
- Te Puna Wānaka of Christchurch Polytechnic Institute of Technology;
- Aotahi: The School of Māori and Indigenous Studies of the University of Canterbury; and,
- Lincoln University.

Achievements of the Institute include a 100-episode Māori language series for Māori Television launched in 2009, which contributes to the largest single repository of free-to-access digital resources for the teaching of te reo Māori.

Te Ara Poutama also hosts the Centre for Māori Innovation and Development which links entrepreneurship with traditional knowledge to foster sustainable community and economic development.⁶⁵

6.4 Māori Curriculum Pathways

Auckland University of Technology offers several different pathways which demonstrate its Māori commitment, across the faculties and at both undergraduate and postgraduate level. These include the Māori health path, Te Ara Hauora, within Health and Environmental Sciences, Māori development within Business and Law and a postgraduate specialisation in te reo Māori, taught and assessed in Māori, in the Master of Arts. The latter is offered to other institutions using Smart Board technology funded by Ako Aotearoa.⁶⁶

It was emphasised that programmes which are developed must fit with actual need. It was noted, for instance, that Te Ara Hauora Māori (the Māori health pathway) in the Graduate Certificate in Health Science has involved Māori from Northland to Nelson and that other Health programmes which are delivered only in Auckland and Dunedin (oral health, podiatry) have engaged with Māori across the country.

The programme development process at the University may include consideration of options to include te reo Māori and options to include kaupapa Māori pathways.⁶⁷

⁶⁵ Self-review Report p59.

⁶⁶ *Op.cit* p60.

⁶⁷ *Op.cit* p59.

As well as these specific pathways, the University's programme approval process includes a requirement for consultation with relevant communities.

6.5 Māori Student Recruitment, Support and Achievement

The University recognizes that its biggest challenge in advancing its intention to be the "university of choice" for Māori is promoting the possibility of tertiary education as an option for Māori school students.

Auckland University of Technology has a range of activities intended to lift the aspirations of school students for further education. Among these, the Prefects Training Programme Māori, PTP Māori, offers leadership and personal development to students in Kura kaupapa and Māori boarding schools in Auckland, Waikato Bay of Plenty and Hawkes Bay. In another joint project with the Auckland District Heath Board and the Rangatahi Māori Mentoring Trust young people are mentored and provided with work experience to encourage them into health careers.⁶⁸

The Panel heard that the University is working with Western Springs College to assist in developing students' language competencies. The Panel was told the University also shares programmes with the Kura kaupapa at a marae next to the Millennium Institute on the North Shore. Once students have developed their academic skills they might then staircase into the University. It was noted that while Kura kaupapa students have excellent spoken language skills they often need assistance with written language.

Since 2007 Māori paper completion rates have remained stable around the university sector median of 76%. The University recognises the need to continue monitoring and reporting on Māori students, in particular in individual programmes where achievement and progression rates are lower.⁶⁹

Auckland University of Technology's marae is a crucial element in provision of support for students. It is considered to be a safe place which provides whānau support, especially for those living away from home. Māori students completing the University's annual student surveys have consistently shown high levels of satisfaction: in 2010, 77% of Māori students surveyed expressed satisfaction with student services and 86% said they would recommend Auckland University of Technology to others.⁷⁰

6.6 Māori Postgraduate Students

The increase in Māori students in the University's postgraduate programmes (from 85 EFTS in 2006 to 112 in 2009) is one measure of Auckland University of Technology's success in growing the number of Māori enrolments in bachelor's programmes (from 601 EFTS in 2006 to 967 EFTS in 2009).⁷¹

⁶⁸ Self-review Report p60.

⁶⁹ *Op.cit* p62.

⁷⁰ Report of the Student Experience of Programmes at AUT in 2010, p26.

⁷¹ *Ibid*

In its Self-review Report the University documents an impressive range of activities intended to support and encourage Māori postgraduate students, including:⁷²

- MAI ki AUT – the Māori and Indigenous programme;
- the Hāpai programme for Māori teaching assistants provides Māori students with employment experience and career opportunities;
- postgraduate weekend wānanga and residential PhD writing retreats;
- the Vice-Chancellor’s Doctoral Scholarships;
- establishment of Te Wheke a Toi in conjunction with the University of Waikato and the University of Auckland and funded by the Tertiary Education Commission (TEC), which offers two fellowships to Māori and Pacific doctoral and postdoctoral students to assist them in extending their research and developing professional skills.

The postgraduate wānanga, in particular, were reported as being very successful, offering opportunities for approximately 40 students to discuss such issues as supervisory arrangements, resources, ethics, using museum archives, presenting conference papers. The wānanga are planned by the students and have provided a model which is now being adopted across the University. From the University’s point of view, “the focus is on building a culture of scholarship”. The Panel noted that many of the activities provided to support Māori students are firmly embedded in the University to the extent that they are taken for granted by most staff and students.

A6. The Panel *affirms* the various activities provided by Auckland University of Technology to support Māori postgraduate students.

6.7 Māori Staff

Within the University, the Faculty of Health and Environmental Sciences has demonstrated the effectiveness of strategies which can lead to the development of Māori staff contributions. Development of the Māori health programme, Te Ara Hauora Māori, has led not only to a team of seven Māori academic staff but also to non-academic support for Māori students. The School of Sport and Recreation has also achieved significant numbers of Māori academic and allied staff, including staff in senior roles.

Notwithstanding these successes, Auckland University of Technology considers that the recruitment and development of Māori staff for leadership roles across the University remains a particular challenge. Recognising the small pool of PhD qualified Māori staff nationally, senior staff referred to the need to “grow our own” Māori academics. The Panel supports Enhancement 6.1, to develop a University-wide strategy to address this.⁷³

A7. The Panel *affirms* the University’s strategy for balancing its targeted recruitment of Māori staff with equally proactive initiatives for developing Māori academic leaders, in particular by its support for staff and postgraduate students.

⁷² P61.

⁷³ Self-review Report p61.

6.8 Promotion of Te Reo and Tikanga Māori.

The University claims to be a leader in making te reo Māori accessible and producing fluent and confident speakers.⁷⁴ It uses a variety of digital technologies (eg podcasts; online dictionary and tutorial exercises; animated movies) to facilitate self-directed language learning. Auckland University of Technology demonstrates its commitment to promotion of the indigenous language by offering courses in te reo Māori for zero-fees. The Panel was told that 280 - 500 people take this course at any time. However the Panel gained the impression from some students that the fee status of the te reo Māori course was not uniformly understood.

The University has endeavoured to strengthen staff capability to supervise in te reo Māori by appointing two recent PhD graduates to Te Ara Poutama.⁷⁵ Emphasis goes beyond academic support: for instance, the Panel was told that the IT staff give support to the Māori Language Unit “way above” the support that other groups get.

The embedded approach to kaupapa Māori is demonstrated at all levels of the University. The Panel heard from staff that the Vice-Chancellor leads by example in this. This leadership was witnessed by the Panel at the mihi whakatau. The Panel also learned that introductory mihi and waiata are posted on the staff intranet to facilitate self-directed learning for staff.

While the University intends to try and integrate kaupapa Māori more broadly into the life of the University (Challenge 6.2), the Panel formed the view that kaupapa Māori is already an organic part of Auckland University of Technology identity.

C13. The Panel commends the entire University community for the embedded ethos of support for the aspirations of Māori and for the manner in which kaupapa Māori is integrated with institutional activity. The panel also notes the efforts the University makes to ensure its research activity and curriculum initiatives reflect the needs and aspirations of Māori.

⁷⁴ Self-review Report p62.

⁷⁵ Self-review Report p61.

7

Pacific Peoples

7.1 Vision and Goals

Over 70% of Pacific people in New Zealand live in Auckland. The Auckland University of Technology's commitment to Pacific Peoples is expressed in the Strategic Plan 2007-2011 as having a reputation for "serving Auckland, New Zealand *and the Pacific*, with strong engagement with Māori, *Pasifika* and new settler communities".^{76 77} In Objective 11 (Theme 3) the University places priority on becoming the "university of choice" for Pasifika communities by:

- Building effective relationships with the Pasifika communities;
- Encouraging access, success and advancement of Pasifika staff and students;
- Conducting research that benefits Pasifika and their communities;
- Including Pasifika pathways in the curriculum.

The University also intends to "develop a culture of inclusion" and provide "a comprehensive learning support programme" for students from the diverse communities in its region.⁷⁸ The Investment Plan also includes a KPI 3.1, "to ensure the proportion of Māori and Pasifika students better reflect the demographic mix of the region" and refers also to the University's intentions to increase Pasifika participation in University education and, in particular, to grow the numbers of Pasifika postgraduate students as part of a strategy to develop research and, in the longer term, to increase the number of Pasifika academic staff.^{79 80}

The Office of Pacific Advancement supports the Vice-Chancellor in the University's advancement of Pacific students, staff and communities both in New Zealand and in the South Pacific. There is also a Pacific member of Council and Council has a Pasifika Education Working Group.⁸¹ The fact that Auckland University of Technology reports on Pasifika in its key documents, including its report "Pacific Research" also signals the importance with which it regards this part of its community.⁸² Senior staff and Council reiterated the importance of Pacific communities in the University's development of the Manukau campus (see Chapter 9).

⁷⁶ While Auckland University of Technology tends to use the term "Pasifika" which is a unitary construct, this report uses the term "Pacific Peoples" to acknowledge that the people being referred to are of Pacific Island descent and come from many different nations, including New Zealand. The term "Pasifika" is used where the text refers to statements made by University staff or in Auckland University of Technology documents.

⁷⁷ Strategic Plan 2007-2011 p5, *emph. added*.

⁷⁸ *Op cit* p11.

⁷⁹ Investment Plan 2011-2013, p27.

⁸⁰ *Op.cit* pp11, 12.

⁸¹ Appointed "after consultation with Pacific island organisations and communities of New Zealand" – Annual Report 2010, p2.

⁸² For example also, the Annual Report 2010; Investment Plan 2011-2013; Annual Programme Survey 2010; Graduate Survey 2010; Student Services Survey 2008.

The Cycle 3 audit report commended Auckland University of Technology on its initiatives related to Pacific people. It was apparent to the Cycle 4 Panel that this commendation is further confirmed by the scope of activities and reported outcomes in 2010.

7.2 Pacific Students

Pacific students have contributed a slightly higher proportion of Auckland University of Technology's students than have Māori, since at least 2009. The figure of 11% appears stable even as the University's total enrolment has continued to grow.⁸³ This proportion is reported to be the highest for any New Zealand university.⁸⁴

The Panel heard that Auckland University of Technology takes a strategic approach to recruitment of Pacific students which focuses on the "whole person" and includes interaction with secondary schools, churches and communities about what the University has to offer. It is recognised that most of these students will be the first in their respective families to consider a university education. Connection with Auckland University of Technology is thus initiated at an early stage (year 9 or 10), with "touch points" along the way before entry to the University.

The Cycle 3 audit recommended that the University review the effectiveness of its support services for Pacific students. The Panel was therefore pleased to note that in the 2008 survey of student services, Pasifika Student Support Services were known to almost all Pacific respondents (97% of 203 respondents) and were rated "useful" (87/100 respondents) and of satisfactory quality (91/99) by almost all users.⁸⁵ Pacific students also had high satisfaction rates in the 2010 Annual Programme Survey, with 83% satisfied overall with Auckland University of Technology's programmes and 86% saying they would recommend Auckland University of Technology to others.⁸⁶

Pacific students' completion rates (65% in 2010) approximate the sector median for Pacific students but remain low compared to those of other students. The University is committed to building on strategies to improve this outcome.⁸⁷ The Panel was told that Pacific support services staff visit academics to try to work together to address student achievement. As a result the number of under-performing students has decreased.

A number of the support activities offered to Māori students (see Chapter 6) are also available to Pacific students. The Panel heard that the University is using Equity funding to offer writing retreats for particular groups, eg for Samoan students in Samoan language; for Tongan students. Others, eg students from Papua New Guinea, may join the retreats for Māori students.

⁸³ Investment Plan, p27. The Annual Report 2010 states 12% for 2010; 11% for 2009 and 10% for 2008.

⁸⁴ Annual Report 2010, p23.

⁸⁵ Student Services Survey 2008 pp15, 85.

⁸⁶ Annual Programme Survey 2010, pp21, 26.

⁸⁷ Annual Report 2010 p23.

7.3 Pacific Curriculum and Research

Auckland University of Technology offers a Graduate Diploma in Pacific Journalism. It also has a Pacific Media Centre within the Faculty of Design and Creative Technologies and collaborates with other Asia-Pacific media centres in research and cultural production.⁸⁸ The University also offers Pasifika specialisations within the Bachelor of Education Early Childhood and Primary programmes, as well as the National Diploma in Teaching (Early Childhood, Pasifika) which is taught at Manukau.⁸⁹ In 2010 twenty-four students graduated in Rarotonga from Auckland University of Technology programmes delivered at that USP campus.

The inaugural “Pacific Research” publication summarizes over sixty current projects being undertaken by Auckland University of Technology staff. These include (for example) career pathways for Pacific teachers to become school principals; attitudes of young Samoans to youth crime; public service reform in small [Pacific] states; and the relationship between neurotoxins and neurodevelopmental disorders related to the seafood diet of Pacific children.

Pacific research and scholarship are an important focus for the University, not only to build knowledge but also to build academic and allied staff capability. Pasifika Postgraduate studentships are available to support Pacific postgraduate students who aspire to academic careers by providing them with work experience and mentoring. As at 2010 the University had twelve Pacific PhD students and two PhD graduates.

Staff reported that a Pacific focus is prominent in the new Research Plan being developed. While there is no Pacific Department at Auckland University of Technology, research will cross faculties and is undertaken by many staff who are not themselves Pacific people.

7.4 Pacific Staff

A milestone for Auckland University of Technology has been the appointment of a Foundation Chair in Pacific Studies, a role which has cross-institutional responsibilities in relation to Pacific research, including postgraduate study. While the University has stated its wish to increase the number of Pacific staff, especially in senior positions, it appears that those Pacific staff it has are working well to enhance the contribution of and to Pacific people. The University has a Pasifika Staff Network. Sixty staff are listed in the “Pacific Research” Report as contributing to Pacific Research and the staff list for the School of Education shows several staff who appear to have Pacific affiliations.⁹⁰

Staff recognized that there is a small Pacific research community in New Zealand. Auckland University of Technology prefers not to compete for staff and is focussed on “growing its own” or attracting PhD qualified staff from the Pacific. Talanoa, the New Zealand academic network coordinated by Auckland University of Technology (which includes staff in some government departments and from the University of the South Pacific) meets twice monthly by access grid, giving postgraduate students an opportunity to discuss their research.

Pacific staff reported that the University has an excellent equity staff network into every faculty. They drew attention to the School of Health and Environmental Science’s village model of support

⁸⁸ Self-review Report p74.

⁸⁹ This is a legacy qualification which Auckland University of Technology continues to teach.

⁹⁰ Calendar 2011 pp19-21.

and personal and academic mentoring which creates small learning communities to facilitate engagement opportunities. It was acknowledged that leadership of initiatives often relied on a small number of staff. The Panel was also told that a number of Pacific academic staff are also studying for higher degrees.

C14. The Panel *commends* the maturity of approach taken by Auckland University of Technology to supporting and encouraging Pacific staff and students and in its commitment to Pacific research. The energy and enthusiasm of Pacific staff in advancing the University's commitment are also noted.

8

Staff: Academic, Management and Professional Support

8.1 Staffing Strategy

Between 2006 and 2010, the number of full-time equivalent staff employed by Auckland University of Technology rose marginally by 8%, from 1,770 to 1,910. The majority of this increase in staffing was in administration (“allied staff”, in the University’s terminology).⁹¹ However, the University’s focus during this time has not been on growing its staff numbers, but on re-shaping its staff profile to align with its strategic direction.

Since becoming a university in 2000, Auckland University of Technology has experienced a major challenge in ensuring that academic staff are appropriately experienced, qualified and active in research. This development is essential to meet the legislative requirements for degree teaching and to meet PBRF expectations. The 2006 Cycle 3 audit recommended (R6) “that the university proceeds as quickly as possible to transfer all academic staff teaching at degree level onto a common employment path which facilitates the conduct of research”.⁹²

The Research Path was discontinued in 2007, and the Lecturer career path was introduced in 2008 – with grand-parenting schemes in place for staff on the previous terms and conditions. In its response to the previous audit report recommendations, the University outlined its strategy for amending employment conditions and reported that currently less than one-third of staff remain on the old “teaching path” conditions. Increasing numbers of staff are now on conditions that formally require them to be engaged in research.⁹³ Senior University staff expressed a view to the Panel that it might be three to four more years before all staff are transitioned into these new conditions, but it is now the default option for new academic staff, and the focus has already turned to the next stage of development: building research capability.

The University’s academic programme and research activities have changed markedly since the previous audit, and this is reflected in changes in the staff profile. There are now more than 130 professors and associate professors on staff, an increase of over 100% since 2006.⁹⁴ From its reading, the Panel had initial concerns about the possible negative effect of the pace of change and the size of the transformation on staff. The four days spent on the Auckland University of Technology campus allayed these concerns. A phrase that the Panel heard a number of times while on site was that change had been *evolutionary, not revolutionary*. The Panel found the University was realistic in its knowledge that this change was not easy nor necessarily wanted, at least initially, by all staff, but that staff clearly appreciated the nurturing and considered way the University had

⁹¹ The Panel found that the term “non-academic” staff was somewhat incongruous at Auckland University of Technology; the term “allied” staff was more commonly used to categorise staff who are not academics.

⁹² NZUAAU, Auckland University of Technology Cycle 3 Audit Report, 2006.

⁹³ Self-review Report p21.

⁹⁴ Self-review Report p65.

approached making changes to its staff profile.⁹⁵ The Panel was impressed by the energy and commitment of the staff it met, many of whom have been with the University for a long time and through a significant period of change. The Panel did not detect signs of cynicism or weariness during its interviews with staff.

The University's deliberate and strategic approach of recruiting into senior positions, individuals who had already had long and successful careers in the university sector elsewhere was noted, as was the considerable enthusiasm and admiration with which these new staff spoke of the University and its achievements.

In 2010, Auckland University of Technology undertook a review and restructure of its Human Resource department (now renamed the *People and Organisation* department). One of the stated aims of this review was to improve the quality of support provided to University managers. The Panel heard from staff that the restructure had led to greater clarification of roles and a more proactive involvement of HR staff earlier in recruitment and development processes. The relationship was described as being based on a high level of trust, with managers aware that HR staff were highly knowledgeable and willing to help ("at the drop of a hat", according to one academic manager).

With the expansion of the professoriate at Auckland University of Technology, as well as the development of multiple campuses, the University is aware that some staff may feel isolated and disenfranchised from decision-making. As one way of countering this, in 2010 the Vice-Chancellor introduced an informal professoriate forum, including online discussion groups. The University also seeks to draw committees and boards from across the University as a whole. The Panel heard a number of times and from a variety of sources that the University is endeavouring to move away from a 'silo-mentality'. The Panel was not able to assess how successful this endeavour has been so far but the Panel was encouraged by the University's genuine efforts to encourage collegiality and linkages across the University wherever possible.

The Panel viewed the work of the Academic Work Executive Group (AWEG) as an important companion to changes elsewhere, with its focus on the implications of the transition to research conditions on class sizes, teaching hours and other aspects of the teaching and learning environment. The AWEG is currently developing new academic workload models for the University, and the Panel saw evidence of a thorough consultative process and proposed models that have been benchmarked with academic good practice in other research-intensive universities. The Panel approved of the recent review of the Human Resources department and the emphasis placed on the pro-active support of managers and other staff throughout the University.

C15. The Panel *commends* the University on its holistic approach to addressing the various impacts of the conversion of staff to research-based contracts.

A8. The Panel *affirms* the work of the Academic Work Executive Group and their identification of issues, including their recent progress on academic workload models (Enhancement 7.1).

⁹⁵ Staff turnover for 2007-2009 (the period during which the changes in employment conditions were introduced) was within the University's desired range: 10-14% for allied staff, and 4-6% for academic staff. Source: Self-review Report, p66.

8.2 Staff Induction and Appraisal

The Panel noted that the process of induction for academic and allied staff was appreciated by those who were interviewed.

The IDP (Individual Development Plan) is a fundamental component of staff appraisal and development at Auckland University of Technology. All staff are required to maintain an up-to-date IDP which includes the requirements of their position, their career aspirations and/or professional development needs, and feedback on their performance during the preceding year. The IDP is the basis on which professional development is budgeted and leave confirmed for the year ahead. It is also a key component of target setting which some managers believe has been helpful as staff move onto the new research employment contracts.

The Panel found that the IDP process was used positively and constructively by staff, who appreciated that it was framed to suit faculty needs and to provide a transparent basis for planning and development activities for the year. The Panel considered it to be a highly transparent approach to staff performance and development. Some allied staff who spoke with the Panel suggested they would appreciate the opportunity to use funds over more than two years for professional development opportunities overseas, but it was the Panel's view that this was a minor suggestion for improvement rather than a significant flaw in the system. There did, however, appear to be a need for some further enhancements to the process, specifically the better integration of data collected elsewhere to reduce the need for duplication.

The Panel heard varying views about the current process for academic promotion, with some staff expressing a view that it was not entirely transparent and had been overly cumbersome in the past. This is an area where the University is very much aware of the need for improvement, and they have plans to introduce a revised promotions process to Academic Board later in 2011.

8.3 Professional Development

Ensuring that the staff profile continues to keep pace with the University's strategic direction is viewed by Auckland University of Technology as a continuing challenge. It has approached this challenge in a determined and inclusive manner.

The University offers a number of opportunities for professional development, including an annual staff development payment linked in with the IDP process. Staff on the new employment contracts are eligible for a semester of research and study leave. The University also offers a scheme under which full-time employees of the University may apply to receive 80% of their salary and after four years, take a fifth year off work on full pay (or after two years, take six months off on pay). Staff have the option of studying on the University's academic programmes at no individual cost. All staff are encouraged to attend free te reo Māori lessons, and staff who spoke with the Panel were positive about the personal and institutional benefits of this opportunity. The Panel was also impressed by the establishment of the Leadership and Management Enhancement Programme, and particularly the change management skills development modules which are to be added to the programme modules.

There were two strands of Auckland University of Technology's approach to professional development that struck the Panel as particularly worthy of comment. First, the Panel found evidence of a genuine commitment to the personal and professional development of all staff, regardless of level, aspirations and length of service. Staff who spoke with the Panel felt that the

University is committed to ensuring that the skills and expertise of staff are enhanced during their time at Auckland University of Technology.

Secondly, there exists a philosophy described to the Panel by many staff as 'growing our own'. i.e. of building research capability where it is needed, not just for Auckland University of Technology but also for the university sector and country as a whole, particularly in areas where potential staff are in short supply, such as Māori and Pacific academic staff.

In 2009, the University's Centre for Educational and Professional Development unit was restructured into two new units – a Centre for Learning and Teaching, and an Organisational Development Group. This is an approach consistent with the University's aim to facilitate the development of a broad range of skills across its staff profile. Consistent with this, the Panel was particularly impressed by the University's commitment to sound leadership skills and the availability of leadership training to all staff across the institution. The establishment of the Leadership and Management Enhancement Programme (LMEP) in 2008 was backed up by endorsements from staff members who highlighted the usefulness of the Programme and its emphasis on leadership for both allied and academic staff members. Staff from the University also have the opportunity to participate in the New Zealand Women in Leadership programme, and other national and international leadership programmes.

Auckland University of Technology's commitment to a technology-rich teaching and learning environment was reinforced to the Panel, and is reflected in the development programmes and opportunities made available to staff. The University has a strong focus on ensuring staff are technologically literate and initiatives such as the 'technology sandpits' are a key part of this, allowing staff to test and gain confidence with new media in a supportive environment. The University is aware that the pace of change in teaching-related technologies is such that expecting all staff to keep up while also managing their research and administrative workloads may be unrealistic. The University is aware of this tension and is looking at how postgraduate students might be employed to assist academic staff in this area.

C16. The Panel *commends* the University on the progress it has made in building its human infrastructure capacity and capability in its staff, especially its Māori and Pacific staff.

9

Community Engagement

9.1 Strategic Objectives

Auckland University of Technology's Charter defines its Mission in terms of serving its regional, national and international communities.⁹⁶ Theme 3 of the Strategic Plan outlines how the University intends to meet the objective of active engagement with, and service to, its communities, namely by:

- strengthening and building relationships and partnerships that advance education, research and economic and social development;
- honouring the commitment to Te Tiriti o Waitangi by being the university of choice for Māori; and
- encouraging access and success in university education for students from the diverse communities within the Auckland region.

The University's relationships with Māori and with Pacific people are covered in Chapters 6 and 7.

9.2 The University in Auckland

The University's engagement with schools in its region includes strategies to promote university education to Māori, Pacific students and to other groups traditionally under-represented in university education. One innovative project is the MEN (Males in Education Now) project, which targets youth who might choose to disengage from education. The Panel heard that the University pays particular attention to decile 1-4 schools, schools in South and West Auckland, "students who have the qualifications but none of the expectations [of tertiary education]". The University provides various forms of support to students with disabilities and has relationships with both the Kelston School for the Deaf and the New Zealand Blind Foundation.

The Chinese community and the specific needs of Chinese students have been a particular focus for the University. It provides a pastoral care service in Mandarin and Cantonese, has a Chinese Centre, and provides Chinese peer mentors. The University runs an on-arrival multi-level (early childhood to adult) education programme for refugees at the refugee reception centre in Mangere.

Other community contributions include symposia and student projects. Some of these have resulted in partnerships, such as that between the School of Hospitality and the Methodist Mission group. It is noted that the Strategic Plan identifies the not-for-profit sector as a priority among the community groups with which it will engage.

It is apparent that many of the initiatives taken by Auckland University of Technology in the community reflect the values associated with the University's heritage.

⁹⁶ Strategic Plan 2007-2011, p3.

9.3 The University in South Auckland.

The establishment of the Manukau Campus in South Auckland in 2010 resulted from an important and strategic community engagement initiative. The Panel was privy to extensive consultation material on the development. The consultation with the then Manukau City Council and ethnic, social, business and education leaders in South Auckland ensured that the communities' perspectives were incorporated into the planning for the campus, including the portfolio of programmes to be offered at the new campus.

The University identified an opportunity in South Auckland which was consistent with its own aspirations and ethos. In particular, the Manukau campus helps to strengthen the University's relationships with the communities of South Auckland, especially mana whenua and Pacific communities. Senior staff referred to Manukau as a "community campus", a "resource for the community". An emerging challenge is how to manage the community expectations of wanting a university "offering one of everything" in Manukau.

Time pressures prevented the Panel from visiting the site. Instead the Panel received a briefing on the physical and infrastructure development. It heard from several staff how allied staff in different areas (eg library; IT) work together and support each other at Manukau, but retain links to the city campus staff. Staff expressed enthusiasm about the development. The Panel was also told that the University did not need to market the campus "because students just come".

9.4 Stakeholder Engagement Activity

Key stakeholders identified in the Self-review Report are alumni, members of the professions, and industry.

The University reports a well-established Alumni Association but notes in enhancement 8.1 that it has a challenge in establishing and maintaining contact with graduates. The Panel agrees with the enhancement activities proposed.⁹⁷

Auckland University of Technology has a history of working in partnership with industry and the professions, as the potential employers of its graduates. The University's identification of the "interdependency" of tertiary education providers, industry and governments in shaping future economic, social and political well-being is noted.⁹⁸

The Panel interviewed a group of stakeholders and was impressed by their enthusiasm for the University. While some stakeholders were willing to have greater involvement, others felt their current involvement was as much as they could manage. Stakeholders enjoyed the opportunity to meet with each other and several expressed the opinion that further opportunities for stakeholders to meet and network would be welcomed. The Panel surmised that with changing foci and demands on the University, for instance those that might emerge from the Manukau development, the University might experience different demands on its resources which could involve different and new stakeholder needs.

This changing dynamic may require further analysis of existing and future stakeholders in terms of the nature, value, and tenure of the relationship and mechanisms that provide optimal interaction

⁹⁷ Self-review Report p76.

⁹⁸ Industry Advisory Committees' Annual Reports, Executive Summary 2009, p3.

with effective feedback systems. To some extent this possibility is captured in Enhancement 8.2, which refers to reviewing the mechanisms for establishing and using stakeholder feedback.

9.5 Research and Teaching

The University reports a wide range of research activities with and in the community. Many of the research activities involve external partners in the development and application of new technologies – for example, in textiles, robotics, radio astronomy and biotechnology.⁹⁹ As already noted, issues which will benefit Māori and Pacific people are a specific focus for research.

In addition to the usual interactions related to professional accreditation, executive education, internships and workplace practica, the University has well-established Advisory Committees for its programmes. The University reports that these Committees work well and members interviewed by the Panel spoke positively of the experience and the role that they played. The Panel viewed the Industry Advisory Committee Annual reports for each Faculty and was impressed by the systematic approach taken to managing and monitoring this important activity. A suggestion which arose from interviews with non-University Advisory Committee members pertained to the merit there might be in facilitating interaction between boards, thereby enabling good practice and common issues to be shared.

It was apparent from the meeting with stakeholders that they were not always familiar with the rationale for curriculum developments. The Panel suggests that stakeholder input to programmes needs to be managed so that stakeholder groups have clear terms of reference and are kept abreast of curriculum requirements.

C17. The Panel *commends* the University on its initiatives in developing the Manukau campus, on its MEN (Males in Education Now) project initiative, and on its responsiveness to existing and emerging communities of engagement.

⁹⁹ Self-review Report p79.

10

External Academic Partnerships and Collaborations

10.1 Strategic objectives

Strategic partnerships are identified as an “outcome” of Theme 3 of the Strategic Plan (Engagement with the communities). In addition to those community organisations discussed in Chapter 9, the Strategic Plan lists the professions, industries, business, central and local government and other tertiary providers as organisations with which it wishes to engage. Objective 5 of Theme 2 of the Plan gives priority to collaborations with such organisations “to increase research activity”; Objective 4 of Theme 1 refers to articulation arrangements with other providers and to collaboration with other universities regarding cross-crediting arrangements.¹⁰⁰

10.2 Collaboration with Other Tertiary Providers

Collaborations with other New Zealand tertiary providers have been noted elsewhere.

10.3 International Collaborations

Oversight of international agreements for staff or student exchanges, or for academic programmes, rests with the Pro Vice-Chancellor (International) and requires scrutiny by the University’s Legal Counsel to ensure agreements align with the University’s strategic objectives. As at mid-2010, the University had 208 agreements with 177 institutions in 39 countries on its database.¹⁰¹ After a review of these a more targeted approach to agreements will be developed. The University has identified the desirability of strengthening its quality assurance arrangements for overseeing agreements.¹⁰² The Panel supports the enhancement initiatives described in Enhancement 9.1, related to improvements in managing, monitoring and reviewing agreements.

The University reports that its International Strategy is undergoing substantial revision. An interim Plan focuses on six broad areas:¹⁰³

- International recognition;
- International research and collaboration;
- Internationalisation of the curriculum;
- International students on campus;
- Staff and student mobility;
- Internationalisation of the campus, service and facilities.

¹⁰⁰ Strategic Plan 2007-2011.

¹⁰¹ Self-review Report p83.

¹⁰² *Op. cit* p82.

¹⁰³ International Strategic Plan 2011-2013

Auckland University of Technology has 52 International exchange agreements, mostly faculty-based and many developed on the basis of staff members' interpersonal links. Barriers which constrain New Zealand students from studying abroad on exchanges are an issue.

The University has limited off-shore teaching commitments and while it does enrol international students (3154 or 17% of EFTS in 2010) the Panel gained the impression that international provision is not a key driver for Auckland University of Technology, which sees service to its local community as a priority.¹⁰⁴ While various staff members talked about their international connections at an individual level, the Panel's main focus during the site visit was on the regional and national priorities espoused by the University.

10.4 Research Collaborations

The Self-review Report lists a variety of external research collaborations, both national and international. Examples highlighted in the Report include:

- Collaboration between the Auckland University of Technology Institute for Radio Astronomy and Space Research and Australia's Commonwealth Scientific and Industrial Research Organisation (CSIRO), the University of Tasmania, and Curtin University in development and operation of a radio telescope;
- Collaboration with Shanghai Jiao Tong University and Xinjiang University on brain research (funded by MoRST);
- Collaboration with the University of Melbourne on the international "Quality of Life After Brain Injury" study;
- Collaboration with UNITEC and the University of Auckland on a study of pre-pregnancy, maternity and child health interventions for women experiencing disability.¹⁰⁵

The Panel did not detect any issues related to such collaborations, which appeared to reflect customary university arrangements.

¹⁰⁴ Annual Report 2010 p11.

¹⁰⁵ Self-review Report pp83-84.

Acknowledgements

The Panel thanks in particular Derek McCormack (Vice-Chancellor), Professor Rob Allen (Deputy Vice-Chancellor), Dr Ineke Kranenburg (Academic Director), Ms Lizzie Kelly (Academic Quality Manager) and Ms Sue Chapman (Executive Assistant to the Deputy Vice-Chancellor) for their support of the audit process and for the University's warm welcome to the Panel. The Panel appreciates the effort of all those who contributed to the University's self-assessment process, the compilation of the self-assessment Portfolio, and the organisation associated with the site visit. The Panel was very impressed, and grateful for, the thorough and well-presented Portfolio and supporting documentation. The Panel is most grateful for the openness and frankness of those who gave their time to appear before the Panel and for their constructive comments and observations.

Audit Panel

Chair of the Panel

Professor Emeritus Sylvia Rumball CNZM
Massey University

New Zealand academic members of the Panel

Professor Peter Holland
University of Otago

Associate Professor Margaret Burrell
University of Canterbury

New Zealand non-academic members of the Panel

Mrs Ceillhe Sperath, Ngapuhi
Company Director, Auckland

Overseas member of the Panel

Professor John Daly
University of Technology, Sydney

In attendance:

Dr Jan Cameron
Director, New Zealand Universities Academic Audit Unit

Ms Heather Kirkwood
Quality Enhancement and Communications Manager, New Zealand Universities Academic Audit Unit

Observer

Dr Shyamasundar, Deputy Adviser, Indian National Assessment and Accreditation Council, NAAC. Dr Shyamasundar is a member of the Asia-Pacific Quality Network project on mutual recognition of institutional quality assurance.

Appendix 1

Auckland University of Technology Statistical Overview 2010

The following information is derived from the *AUT University Annual Report 2010*.

	2010 EFTS	2010 Student Numbers
MOE domestic EFTS	15,391	
Other SAC-funded EFTS	98	
MoE SAC-funded EFTS	15,489	
International EFTS	2,445	
Domestic + international EFTS	17,934	
Contract EFTS	114	
Community Education EFTS	675	
Total programme EFTS	18,723	
AUT International House EFTS	229	
Total	18,952	27,141

Ethnicity	% 2010 domestic students in ministry-funded programmes
NZ European / Pakeha	42%
Māori	10%
Pasifika	12%
Asian	27%
Other	10%
Gender	
Female	61%
Male	39%
Age	
Under 25 years	62%
25 – 39 years	26%
40 + years	12%
Full-time / part-time	
Full-time	66%
Part-time	34%

Faculty	2010 total EFTS
Faculty of Applied Humanities	3,862
Faculty of Business and Law	4,971
Faculty of Design and Creative Technologies	4,360
Faculty of Health and Environmental Sciences	4,855
Te Ara Poutama	90
AUT International House	229
University programmes	585
Total	18,952

Ministry funded domestic EFTS by programme	2010 EFTS	% total
Postgraduate	1,662	11%
Undergraduate	11,034	72%
Sub-degree	2,690	17%
Not categorised	5	0%
Total	15,391	100%

Qualifications awarded	2010
Doctorates	37
Masters	593
Honours, Postgraduate Diplomas and Postgraduate Certificates	810
Degrees, Graduate Diplomas and Graduate Certificates	3,378
Diplomas	849
Certificates	1,761
Total	7,428

Total research outputs	2,692
External research funding	\$11.1m
Performance-Based Research Fund (PBRF)	\$7.4m (provisional)
Student: staff ratio	19.9 : 1

Appendix 2

Auckland University of Technology - Progress Required

Notes

- This list is a summarised list of the “Progress required” action points identified by the University in its self-review report.
- The section headings are those used in the Audit Report

Chapter 3: Quality Assurance

3.1 (a) Improve access to information related to academic quality assurance policies and procedures, and academic committees; (b) Communicate across the University in a more systematic way the purpose of, and changes to, academic policies and associated processes.

3.2 Improve the effectiveness and quality of information to support decision making for programmes and student learning, through ensuring that programme and student information is captured appropriately to enable improved reporting.

Chapter 4: Learning and Teaching

4.1 (a) Continue to realign the administrative systems, student information and advising processes, to support the ability of students to enrol in papers across the University; (b) Establish internal funding mechanisms and procedures that support a flexible curriculum.

4.2 Facilitate collaboration between ICT Services, Library, CfLAT, other central units, and AuSM to develop and implement a strategy for learning and teaching enabled by technology.

4.3 Review criteria for effective teaching and introduce teaching portfolios as the main vehicle for evaluation.

4.4 (a) Improve reporting on student achievement to enable finer-grained analysis of student achievement issues; (b) Focus on specific areas of underachievement by developing targeted strategies for student success.

Chapter 5: Research Environment

5.1(a) Review the internal allocation of research funding, including the funding model for research institutes; (b) Build strong links with the new Ministry of Science and Innovation; (c) Build on the success of the HRC funding; (d) Explore further international research partnerships and commercialisation opportunities; (e) Improve monitoring and reporting processes for research outputs and projects.

5.2(a) Appoint to key leadership positions in research scholarship management and postgraduate support; (b) Review and streamline postgraduate policies and processes; (c) Further review and enhance specific postgraduate services and resources.

5.3 (a) Ensure the new workload model for supervisors is implemented; (b) Improve consistency and quality of supervision through additional monitoring and professional development opportunities for supervisors; (c) Enhance processes for monitoring and completion of students in research degrees.

Chapter 6: Te Tiriti o Waitangi

6.1 Develop a university-wide strategy for the recruitment, development and placement of Māori staff.

6.2 (a) Incorporate into the planning framework mechanisms to support the integration of kaupapa Māori; (b) Faculties and units to develop Māori advancement strategies in response to the wider Māori advancement plan.

Chapter 7: University Staff, Academic Management, and Administrative Support

7.1 (a) Realign the current policy on academic work so as to ensure that the full range of academic work – teaching, research and service – is managed holistically; (b) Introduce an effective promotions process for academic staff which better reflects the changing demands on, and of, academic staff; (c) Ensure the provision of appropriate academic staff development opportunities to support the changing profile; (d) Reconsider the process by which staffing reviews take place.

7.2 Further improve the collection and reporting of staffing-related data.

Chapter 8: Community Engagement

8.1(a) Engage with final-year students prior to graduation; (b) Improve the alumni website to enable messages to be tailored to the particular alumni and the school/programme from which they graduated; (c) Improve liaison with faculties/schools so their relationship with alumni is maintained.

8.2 (a) Review the terms of reference and role of advisory committees; (b) Review the mechanisms for capturing the diverse ways discipline teams are liaising with and obtaining feedback from their industry/profession stakeholders.

8.3 (a) Continue to investigate the effective provision of co-operative education and similar forms of work integrated learning; (b) Explore alternative models to ensure students continue to have significant work integrated learning experience.

Chapter 9: External Academic Collaborations and Partnerships

9.1 Improve the systems for managing, monitoring and reviewing agreements. Increase general knowledge of and access to agreements, policies and templates. Monitor the database for currency and detail of agreements. Improve reporting and review processes for agreements.

Appendix 3

New Zealand Universities Academic Audit Unit - Te Wāhanga Tātari

Mission:

To contribute to the advancement of New Zealand university education by:

- engaging as a leader and advocate in the development of academic quality,
- applying quality assurance and quality enhancement processes that assist universities in improving student engagement, academic experience and learning outcomes.

Terms of reference:

- to consider and review the universities' mechanisms for monitoring and enhancing the ongoing academic quality of academic programmes, their delivery and their learning outcomes, and the extent to which the universities are achieving their stated aims and objectives in these areas;
- to comment on the extent to which procedures in place in individual universities are applied effectively;
- to comment on the extent to which procedures in place in individual universities reflect good practice in maintaining quality;
- to identify and commend to universities national and international good practice in regard to academic quality assurance and quality enhancement,
- to assist the university sector to improve its educational quality;
- to advise the New Zealand Vice-Chancellors' Committee on quality assurance matters;
- to carry out such contract work as is compatible with its audit role.

The Audit Unit acts as a fully independent body in the conduct of its audit activities.

Objective with respect to academic audits conducted during the period 2008-2012:

- Timely completion of academic audits producing audit reports acknowledged as authoritative, fair and perceptive, and of assistance to universities.

Appendix 4

Cycle 4 Focus - The 2007 Indicative Framework

	<i>Topics</i>	<i>Activities</i>
1	General	
2	Teaching and learning	2.1 The development, design, implementation and delivery of academic programmes and courses that: <ul style="list-style-type: none"> * develop intellectual independence, * are relevant to the needs of the disciplines, * are relevant to the needs of learners and other stakeholders. 2.2 The learning environment and learning support for students, including learning support for students from targeted groups. 2.3 Student achievement and success.
3	Research environment	3.1 Research students and research supervision. 3.2 Teaching and learning within a research environment. 3.3 The interdependence of research and teaching. 3.4 The role of critic and conscience of society.
4	Te Tiriti o Waitangi	4.1 The application of the principles of Te Tiriti to: ¹⁰⁶ <ul style="list-style-type: none"> * access to learning, * curriculum.
5	Academic and support staff	5.1 The determination of an appropriate academic staff profile across the institution. 5.2 Recruitment, appointment and induction strategies. 5.3 The implementation and monitoring of workload models. 5.4 Professional support, development and appraisal of academic staff.

¹⁰⁶ A discussion of the implications for universities arising from the principles of Te Tiriti is found in John M Jennings, *New Zealand universities and Te Tiriti o Waitangi*, Wellington, New Zealand Universities Academic Audit Unit, 2004, 'AAU Series on Quality' no.9, available at www.nzuaau.ac.nz/reports-and-papers

	<i>Topics</i>	<i>Activities</i>
6	<i>Institutional quality assurance</i>	6.1 The internal planning-implementation-reporting-evaluation-enhancement cycle as applied to academic processes, academic programmes and courses.
7	<i>Management and administrative support</i>	7.1 The development of a management and administrative infrastructure that provides effective support to research-informed teaching and learning. 7.2 The determination of an appropriate management and administrative staff profile. 7.3 Professional support, development and appraisal of management and administrative staff.
8	<i>Community engagement</i>	8.1 The identification of stakeholders and communities of interest, the seeking of advice, and the application of information gained to curriculum and student learning.
9	<i>External academic collaborations and partnerships</i>	9.1 The development of external collaborative research and academic ventures and partnerships that impact on curriculum and student learning and achievement.

The following questions are to be applied to each of the above topics:

Commitments

What are the goals and objectives and the expected outputs and outcomes in this area and how were they determined?

Strengths and progress

What are the key strengths in this area and what positive progress has been made in achieving the goals and objectives?

What are the output/outcome data and other evidence used to determine strengths and to judge progress, and how relevant and effective are they?

Challenges

What are the key challenges for the university in this area?

Monitoring

What key quality mechanisms and processes are used to monitor ongoing quality and to provide input into continuous improvement in this area, and how effective are they?

Enhancement

Arising from the self-assessment, what are the areas in which enhancement is needed?

What enhancement activities will be undertaken during the next planning period – say, three years – who will be responsible, and what are the expected outputs and outcomes of those enhancement activities?

How will the university monitor the effectiveness of changes arising from the enhancement activities?