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For New Zealand Universities

Guide to

Cycle 6 Academic Audit

Sheelagh Matear

February 2020

Second Edition

Te Pokapū Kounga Mātauranga
mō ngā Whare Wānanga o Aotearoa

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Guide to Cycle 6 Academic Audit

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Version 1.0

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Academic Quality Agency for New Zealand Universities

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Foreword

Welcome to the second edition of the *Guide to Cycle 6 Academic Audit* for New Zealand universities, published in February 2020. Resources and examples of good practice will be updated on the AQA website.

Quality assurance expectations and methods must evolve to meet the changing needs of universities (and other institutions), governments and students. Quality assurance should also be forward-looking to ensure that it addresses future challenges to academic quality. The way in which the Academic Quality Agency (AQA) will undertake this sixth cycle of academic audit involves both continuity and evolution in academic quality. It reflects and responds to changes affecting universities and continues to support the maintenance of high standards of academic quality that New Zealand universities are known for.

Preparation for a sixth cycle of academic audit for New Zealand universities began in early 2016 and was informed by:

- a 2015 external review of AQA
- analysis of audit findings from Cycle 5
- feedback from universities and auditors on their experiences of Cycle 5
- discussions with universities about their needs and expectations for a sixth cycle of academic audit
- international and national trends and developments in education
- analysis of trends in external quality assurance.

A discussion paper (*Options for a sixth cycle of academic audit for New Zealand universities*) was presented at an AQA **Support for Quality** conference in October 2016, then released to universities for feedback. Feedback on the discussion paper informed the development of a consultation paper released to universities in November 2016. The components of Cycle 6 Academic Audit were agreed in May 2017 and finalised in August 2017.

In developing Cycle 6, AQA has worked closely with universities. This is appropriate, as Cycle 6 needs to deliver value for universities, and the audit framework should prompt the sorts of questions a university itself would want answered. It must be beyond question, however, that the audits themselves are undertaken by an independent panel of auditors and that AQA is operationally independent from the universities.

Cycle 6 Academic Audit enables AQA to continue to fulfil its purpose of contributing 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
- supporting confidence in the academic quality of New Zealand universities (AQA, 2018).

Emeritus Professor Sheelagh Matear
Executive Director

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Contents

Foreword i
Acknowledgements ii
Contents iii
Figures iv
Tables iv
Glossary and Abbreviations v
Abbreviations vii
1 Introduction 1
1.1 Quality assurance principles for New Zealand universities 1
1.2 Cycle 6 Academic Audit 3
1.2.1 Mid-cycle reports 4
1.3 About this Guide 4
2 The Enhancement Theme 5
2.1 Enhancement theme topic 5
2.2 Enhancement theme frameworks 5
2.3 Learning from the theme 6
2.4 Relationship with audit component of Cycle 6 9
2.5 Further information 9
3 Cycle 6 Academic Audit Framework 10
3.1.1 Guidelines for evidence in Cycle 6 Academic Audit 12
3.2 Section A: Leadership and management of teaching, learning and academic quality 13
3.3 Section B: Student life-cycle, support and wellbeing 16
3.4 Section C: Curriculum, assessment and delivery 18
3.5 Section D: Teaching quality 21
3.6 Section E: Supervision of postgraduate research students 23
4 Audit Processes 25
4.1 Indicative audit process timelines 25
4.2 Self-review and development of the self-review report and portfolio 26
4.2.1 Introduction/preface to self-review reports and audit reports 26
4.2.2 Self-review chapters or sections 27
4.2.3 Conclusion 28
4.2.4 Technical specifications for the self-review report and portfolio 28
4.3 Audit panels 29

4.3.1 Student auditor development 29
4.4 Panel review and assessment: first panel meeting 30
4.5 Planning meetings 31
4.6 Site visit 31
4.6.1 Privacy and confidentiality 33
4.6.2 Observers 33
4.6.3 Exit meeting with the Vice-Chancellor 33
4.6.4 Feedback letter to the Vice-Chancellor 33
4.7 Reporting 34
4.8 Follow-up processes and reporting 35
4.8.1 One-year report 35
4.8.2 Two-year follow-up 35
4.8.3 Mid-cycle report 36
4.9 Feedback on audit processes 36
4.10 Appeals 36
4.11 Logistics 36
5 References 37
6 Appendix 1: Questions, Resources and Examples 40
7 Appendix 2: Cycle 6 Audit Framework and Expected Evidence Summary 71
8 Appendix 3: Criteria for Auditor Appointment 78
9 Appendix 4: More Detailed Indicative Site Visit Schedule 79

Figures

Figure 1 The Quality assurance and accountability framework for New Zealand universities 1
Figure 2 Cycle 6 Academic Audit 3
Figure 3 Cycle 6 Academic Audit Framework 11

Tables

Table 1 Enhancement theme phase framework 7
Table 2 Enhancement theme framework 8
Table 3 Indicative audit timeline 25
Table 4 Indicative schedule for site visit 32

Glossary and Abbreviations

Academic audit: The process of quality assessment by which an external body ensures that the overall (internal and external) quality assurance procedures, outcomes and standards of an institution are adequate and are actually being carried out or achieved. The results of the audit must be documented (audit report). (Also referred to as **Academic quality audit.**)

Academic quality assurance: The ongoing processes of evaluating the quality of academic activity. This includes assessing, monitoring, maintaining and improving academic processes, experience and outcomes. Academic quality assurance may focus on accountability as well as enhancement. It might provide judgements but does not normally undertake ranking assessments.

Academic quality enhancement: Improvement of existing academic practices, or introduction of new practices to improve existing processes or achieve objectives. 'Enhancement' implies an existing activity to be enhanced.

Academic quality management: The sum of measures adopted at an institutional level to ensure the quality of education, with an emphasis on improving the quality of academic activity as a whole. Academic quality management includes planning, quality control, quality assurance and quality improvement/enhancement.

Accreditation [of institutions to offer programmes]: Recognition that academic programmes meet required standards. Academic quality audit as conducted by AQA does not include accreditation. (Accreditation is the responsibility of CUAP (for the universities) and relevant professional associations.)

Affirmation: Validation by the audit panel of action a university is already taking to address an area the university has identified as requiring attention. Affirmations are, in effect, a validation by the audit panel that something needs to be done and that the approach taken is likely to be effective.

Audit framework: For Cycle 6, the framework comprises **30 Guideline Statements** in five sections and considers **all students, all delivery** and **all staff** who teach or supervise or support teaching or supervision. It is underpinned by university obligations under Te Tiriti o Waitangi, the close interdependence of university research and teaching, and the universities' role as critic and conscience of society.

Benchmarks: In the context of academic audit, 'benchmarks' refer to comparative standards or academic activities in other institutions with similar objectives and/or characteristics. Benchmarks usually denote recognised good practice.

Commendation: Recognition of excellent practice with demonstrable good outcomes.

Cycle 5: The fifth cycle of academic audits of New Zealand universities undertaken between 2013 and 2016.

Enhancement initiative: A matter identified during a university's self-review as requiring enhancement or improvement, which the university commits to progress.

Enhancement theme: A topic of national significance, important to all universities, that all universities work on in a common time period. Universities are not all expected to do the same thing or take the same approach to the theme.

External review: A review undertaken by external peers. For the university sector in New Zealand, one form of external review is the institutional academic audit undertaken by auditors appointed by

AQA. As part of their audit activity, AQA auditors consider the university's **self-review** related to the audit framework in the context of the university's strategic direction and priorities.

Graduate attributes: The core attributes it is intended a graduate will acquire in a course, programme or institution. Graduate attributes are commonly differentiated as discipline-related attributes and non-discipline-related attributes (for example, ability to work in a team).

Graduate outcomes: Post-study achievement of graduates including employment and further study, typically based on the attainment of graduate attributes.

Guideline statement: In the context of the Cycle 6 framework, guideline statements articulate expectations of outcomes and standards that a university of good international standing would be expected to demonstrate, or which universities might expect of each other. They are not fixed, minimum, standards but are relative and dynamic.

Mid-cycle report: An update report to the AQA Board, midway between audit reports, on a university's progress in responding to recommendations in its last academic audit report. Mid-cycle reports have been introduced as part of maintaining continuity and progress over the audit cycle.

Programme: Programme is defined in this publication as a coherent set of courses (sometimes called papers), such as might comprise a subject major, or be required for a degree or diploma.

Qualifications Framework: The New Zealand Qualifications Framework (NZQF), managed by NZQA, lists all quality-assured qualifications in New Zealand.

Recommendation: An advisory statement of an activity requiring attention. Recommendations indicate a need for enhancement but do not dictate how a university is to undertake that enhancement. Universities are required to report their responses to recommendations to AQA and are required to report progress on activity related to recommendations in follow-up reports and the subsequent academic audit.

Register of auditors/reviewers: A list of people appointed by AQA as suitably qualified to undertake academic audits or reviews. External audit panel members for New Zealand academic quality audits are selected from the AQA register and from the registers of overseas agencies recognised by AQA as undertaking similar audits.

Self-review: The university's own evaluation of its performance against its formal objectives and the audit framework provided by AQA. The self-review is reported in a **Self-review portfolio** comprising a **Self-review report** and **key supporting documents** that provide evidence and/or context for the conclusions reached in the Self-review report.

Site visit: The component of an external academic quality audit (or audit) that occurs at the university's campus or campuses. The site visit provides an opportunity for external auditors to meet and interview staff, students and local stakeholders. If a university has more than one substantial teaching location, there may be more than one campus visit during an audit.

Te Tiriti o Waitangi (**The Treaty**)**:** The Treaty of Waitangi, New Zealand's founding document signed in 1840, which recognised Māori ownership of its lands and other properties and gave Māori people the rights of British subjects. Quality assurance activities for New Zealand universities acknowledge Te Tiriti o Waitangi principles of partnership, protection and participation.

Triangulation: The process of using more than one source or type of evidence to investigate a phenomenon, verify a claim or test a proposition or hypothesis.

Abbreviations

AQA	Academic Quality Agency for New Zealand Universities
CoPPCIS	Code of Practice for the Pastoral Care of International Students
CUAP	Universities New Zealand Committee on University Academic Programmes
EI	Enhancement initiative
EQA	External quality assurance
ETSG	Enhancement Theme Steering Group
GYR	Graduating Year Review
HESF	Higher Education Standards Framework [Australia]
INQAAHE	International Network for Quality Assurance Agencies in Higher Education
IQA	Internal quality assurance
KD	Key document
MoA/C/U	Memorandum or Memoranda of Agreement/ Cooperation/ Understanding
NCEA	National Certificate of Educational Achievement
NZQA	New Zealand Qualifications Authority
NZQF	New Zealand Qualifications Framework
NZUSA	New Zealand Union of Students' Associations
NZVCC	New Zealand Vice-Chancellors' Committee (referred to as Universities New Zealand)
QAA	The [UK] Quality Assurance Agency for Higher Education
SD	Supporting document
SSP	Statement of Service Performance
TEC	[New Zealand] Tertiary Education Commission
TEQSA	Tertiary Education Quality and Standards Agency [Australia]
UE	University entrance
UNZ	Universities New Zealand – Te Pōkai Tara

1 Introduction

The Academic Quality Agency for New Zealand Universities (AQA) undertakes external quality assurance for the New Zealand universities with the overarching purpose of contributing to the advancement of New Zealand university education. AQA is established by, but is operationally independent from, the New Zealand Vice-Chancellors' Committee (operating as Universities New Zealand). AQA has its own Board that sets direction and ensures that audit processes "produce reliable reports that reflect independent judgements and that are perceived as authoritative, rigorous, fair and perceptive" (AQA, 2018).

AQA's quality assurance activities, in particular academic audit, take place within a context of other quality assurance and accountability processes and requirements[1] as set out in Figure 1. AQA and Universities New Zealand have jointly agreed principles that underpin quality assurance activities.

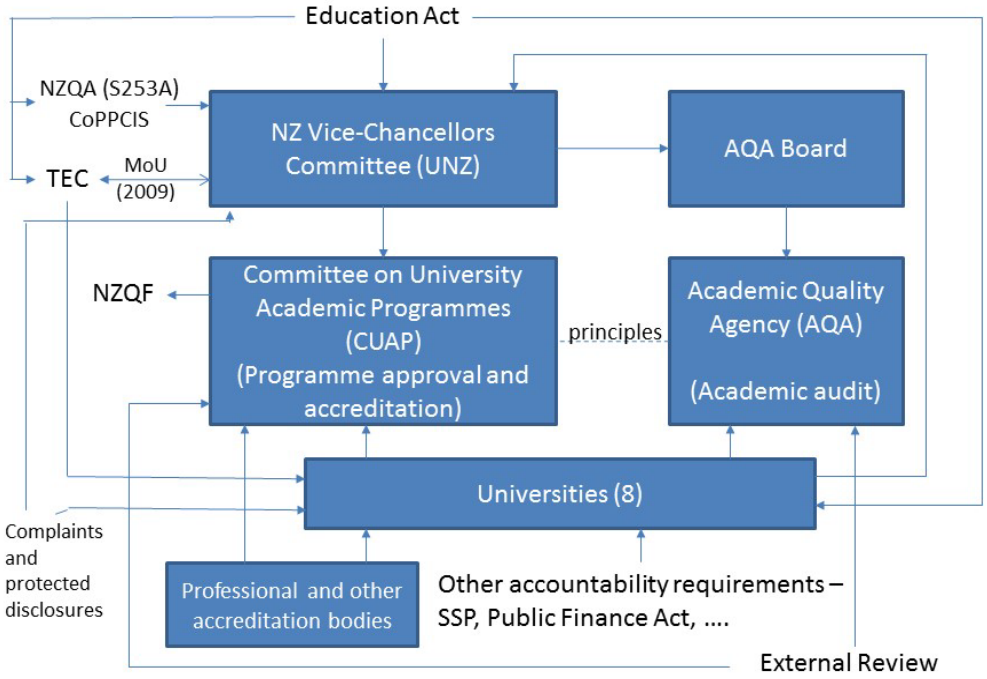

Figure 1 The Quality assurance and accountability framework for New Zealand universities

1.1 Quality assurance principles for New Zealand universities

Quality assurance activities overseen by CUAP and AQA for the university sector are underpinned by the following principles.[2]

1. Developed by the universities

CUAP and AQA were established by the universities and operate with their full support. Their functions and operating procedures are reviewed regularly. AQA's academic audit framework has been developed in consultation with the universities.

2. Evidence-based

Universities are required to provide evidence of how their activities and processes meet their stated

[1] See https://www.oag.govt.nz/2018/tei-2017-audits/docs/tei-2017-audits.pdf for SSP requirements under the Crown Entities Act (2004).

[2] http://www.universitiesnz.ac.nz/sites/default/files/Quality%20Assurance%20Brochure.pdf

standards and objectives. Evidence is examined and assessed by peers throughout the quality assurance process. Audit conclusions must be evidence-based.

3. Enhancement-led
Quality assurance is focused on the identification of goals and standards, and the charting of progress towards them. AQA underpins this process by revisiting previous audit recommendations and by facilitating the sharing of good practice in New Zealand universities and abroad.

4. Founded on self-review
Academic quality is ultimately the responsibility of each university. CUAP's moderation processes and AQA's audit cycles begin with self-review. CUAP and AQA are themselves evaluated regularly by independent panels in audit processes that also begin with self-review.

5. Assured by peer review
National and international peer review is a critical element of teaching and research within a university, and is a fundamental component of the quality assurance system. CUAP uses peer review to evaluate proposals from the universities and to moderate recently introduced programmes. AQA audits are conducted by a panel of auditors comprising academic and professional peers who are national and international experts in academic quality assurance.

6. Collective and collegial
CUAP and AQA function with the cooperation of all New Zealand universities and the engagement and expertise of individuals representing key stakeholders such as students, employers, professionals and other members of the universities' communities.

7. **Individually binding**
All universities are subject to the requirements, and bound by the overall decisions, of the quality assurance system.

8. Internationally benchmarked and endorsed
International auditors are a feature of every AQA audit panel, and CUAP and AQA procedures are informed by professional relationships with similar international agencies. In addition, many AQA auditors also audit in other jurisdictions, bringing an international perspective to their work in New Zealand. The New Zealand universities' quality assurance system is consistent with international guidelines for good practice and its quality assurance processes are regularly held up as an exemplar for other countries. AQA has been assessed as meeting the INQAAHE Guidelines for Good Practice for quality assurance agencies.

9. Independently operated
AQA is funded by the universities but is operationally independent. AQA has a separate board, staff and independently appointed auditors.

10. Publicly accountable
The reports of institutional academic audit are public reports, satisfying the public accountability responsibility. CUAP decisions result in placement of qualifications on the NZQF, which is a public resource.

Two further principles were agreed between AQA and CUAP in July 2019. These are:

11. Te Tiriti o Waitangi
Quality assurance activities acknowledge Te Tiriti o Waitangi principles of partnership, protection and participation.

12. Student partnership
Students are partners in quality assurance. There is a student member of the AQA Board and CUAP and a student, or recent graduate, is included as a member of an academic audit panel.

1.2 Cycle 6 Academic Audit

Cycle 6 Academic Audit builds on Cycle 5 and preceding cycles of audit for New Zealand universities. In building on previous audit cycles, it recognises and leverages the quality assurance strengths and capabilities that New Zealand universities possess. Cycle 6 introduces an enhancement theme into the audit cycle. Enhancement has been a long-standing feature of academic audit for New Zealand universities and audits are considered to be 'enhancement-led'. Cycle 6 further develops the enhancement aspect of academic audit. Development of the enhancement theme component has been guided by the Scottish Quality Assurance Agency's experience of enhancement themes. However, it reflects and recognises the New Zealand context for quality assurance.

The overall model for Cycle 6 Academic Audit is presented in Figure 2 below and the components are discussed further below.

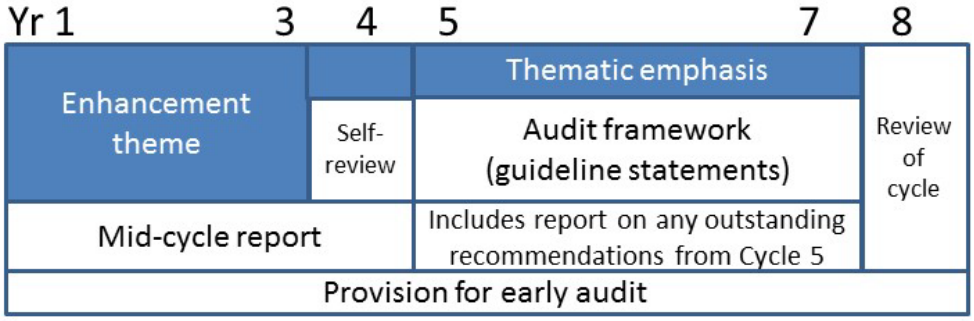

Figure 2 Cycle 6 Academic Audit

The sixth cycle of academic audit for New Zealand universities has adopted a composite model with 10 components operating over three phases of the cycle.

The sixth cycle will:[3]

A. maintain an internationally referenced, cyclical, peer-review model of external quality assurance
B. maintain a high-trust, enabling relationship between the universities and AQA that recognises and respects universities' responsibility and accountability for quality as well as AQA's Terms of Reference and independence
C. maintain the scope of academic audit on teaching, learning, support and outcomes for students
D. build on and refresh the Cycle 5 academic audit framework (guideline statements) and further emphasise outcomes and the use of evidence.
E. incorporate a thematic enhancement topic agreed by all universities that will address an issue that is both a strategic priority for universities and of national importance. The enhancement theme topic for Cycle 6 is *Access, outcomes and opportunity for Māori students and for Pasifika students*.
F. audit universities seven to eight years after their Cycle 5 audit
G. include students or recent graduates in audit panels

[3] https://www.aqa.ac.nz/cycle6

H. amend the audit delivery method so that panels spend more time together initially and that time spent at the university can be more targeted and require meeting with fewer individuals
I. develop audit reports to comment on outcomes and enhancement initiatives, as well as processes
J. include a public report on a university's response to recommendations. A mid-cycle follow-up report on Cycle 5 recommendations has been introduced.

These components will be delivered over three main phases (periods) of the Cycle. The phases are:

1. enhancement (2017 – 2019)
2. audit (2020 – 2023)
3. review, evaluation and planning (2024).

The different components and phases in the cycle are mutually reinforcing and are not expected to operate in total isolation from one another. The phases may be more appropriately viewed as emphases rather than discrete elements. For example, during the enhancement phase/emphasis period, universities will continue to progress recommendations and affirmations from Cycle 5 academic audits. They will also be developing mid-cycle reports from Cycle 5 academic audits. As the quality culture of New Zealand universities is mature and audit is part of ongoing quality assurance activities, it is expected that self-review activities will also carry on during the enhancement phase. Work to develop students or recent graduates as auditors will also occur in the enhancement period.

Reciprocally, during the audit phase, universities will continue to progress enhancement initiatives and the enhancement theme itself is expected to give rise to specific guideline statements and re-frame others.

1.2.1 Mid-cycle reports

Universities will submit mid-cycle reports to the AQA Board during the enhancement phase. These reports should follow the format of one-year follow-up reports and report on a university's progress on recommendations and affirmations made in Cycle 5 Academic Audit Reports.

Mid-cycle reports have been introduced as part of maintaining continuity and progress over a longer audit cycle. Any matters not fully addressed at the time of the mid-cycle report should be included in the university's Cycle 6 self-review report.

Universities are encouraged to make their mid-cycle reports publicly available.

Once the mid-cycle reports following Cycle 5 are complete, the processes and requirements for mid-cycle reports will be reviewed and guidelines developed for the mid-cycle reports to follow Cycle 6.

1.3 About this Guide

This Guide is intended as a reference document for both universities and audit panels as they prepare for and undertake Cycle 6 Academic Audit. Some aspects of Cycle 6 may be supplemented by additional guides or other materials.

As Cycle 6 builds on Cycle 5, some sections of this Guide have been drawn from the Guides to Cycle 5 and their use is gratefully acknowledged.

2 The Enhancement Theme

Enhancement is a long-standing feature of quality assurance for New Zealand universities and has previously been evident as an underpinning principle[4] and in initiatives identified by universities as part of their self-review processes.[5] These aspects of enhancement are still present in Cycle 6 Academic Audit and are supplemented by the introduction of an enhancement theme. In developing an enhancement theme, AQA has drawn on the experience of QAA-Scotland. Scottish universities have been participating in enhancement themes since 2003.[6]

This section of the Guide sets out the objectives, expectations and activities for the enhancement theme component of the Cycle.

An enhancement theme is a topic of national significance and important to all universities, that all universities work on in a common time period. Universities are not all expected to do the same thing or take the same approach to the theme. Each university undertakes the enhancement theme in a way that fits with its own priorities and ethos, and each university has developed a plan setting out its objectives and approach to the theme.

The enhancement theme is overseen by a Steering Group. Members and Terms of Refence are available on the AQA website. The Steering Group reports to the Vice-Chancellors.

2.1 Enhancement theme topic

The enhancement theme topic for Cycle 6 is 'Access, outcomes and opportunity for Māori students and for Pasifika students. This topic is a strategic priority for all universities and is an issue of national importance. It will complement work already under way in and across universities.

The enhancement theme topic is consistent with and will contribute to:

- the Tertiary Education Strategy 2014-19 (and redevelopment)
- TEC's 2017-2019 Plan Guidance, which targets parity of achievement for Māori learners and Pasifika learners by 2022
- Te Kāhui Amokura Strategic Work Plan
- the UNZ Komiti Pasifika work plan
- individual universities' strategic priorities.

It is informed by:

- Ka Hikitea Accelerating Success 2013-2017 (and redevelopment)
- TEC Pasifika Framework 2013-2017 (and redevelopment).

The enhancement theme is focused on access, outcomes and opportunities for Māori learners and wider equity outcomes for Pasifika learners. It is anticipated, however, that there will also be positive implications for universities considering how outcomes can be improved for an increasingly diverse student body, for student transitions and for universities in other jurisdictions seeking to improve outcomes for indigenous learners.

2.2 Enhancement theme frameworks

Two frameworks articulate the objectives and activities of the enhancement theme (Table 1 and Table 2). The first sets the longitudinal context for the enhancement theme and the second sets out

[4] http://www.universitiesnz.ac.nz/sites/default/files/Quality%20Assurance%20Brochure.pdf
[5] Cameron (2013)
[6] http://www.enhancementthemes.ac.uk/enhancement-themes

objectives, outcomes, strategies, example activities, outputs and impact indicators for the enhancement phase. These frameworks were updated at the October 2019 meeting of the Enhancement Theme Steering Group.

The longitudinal context (phase framework) acknowledges that the current gaps in access, outcomes and opportunities for Māori learners and Pasifika learners have multi-faceted and deep-rooted origins that cannot all be addressed by the enhancement theme. Therefore, the enhancement theme considers the likely and desired future state(s) and the short and medium-term changes that can be achieved to progress towards this. This also helps to 'bound' the theme as to what it can address and what (although important) may be beyond its scope. It also helps 'connect' the theme to other work.

The second part of the framework focuses on the period of the theme. This framework follows the model of the Scottish enhancement themes framework. Its short-term objectives (enhancement theme) will be demonstrated in the medium term (Cycle 6 audit).

2.3 Learning from the theme

Although enhancement is familiar to New Zealand universities, undertaking an enhancement theme in this form is a new activity for universities and AQA. Therefore, AQA and the universities wish to ensure that they learn and respond to feedback as the theme progresses. This occurs through undertaking and/or commissioning synthesis reports and theme reviews or evaluations, and through the collation and development of enhancement theme resources.

Synthesis reports are based on university plans and reports for the enhancement theme and academic audit reports. They identify commonalities and differences in approaches and provide context and points of contrast. Synthesis reports have been developed from:

- University plans for the enhancement theme (July 2018)
- The first Enhancement Theme Symposium (October 2018)

Further reports will be developed from:

- university reports on enhancement theme progress
- academic audit reports (March 2024).

Two reviews or evaluations of the enhancement theme have been planned. The first was an interim review at the end of 2018/start of 2019 and the second will be undertaken at the end of the enhancement phase of Cycle 6. The evaluations should consider both the impact of the theme and whether value has been derived from a collaborative approach to enhancement.

Enhancement Theme Frameworks

Two frameworks have been developed to help articulate the objectives and activities of the enhancement. They are intended as a tool to support dialogue.

The support of QAA Scotland in allowing its use and Professor Roni Bamber and Dr John Bamber for guidance on how such a model might work in New Zealand is gratefully acknowledged.

Table 1 Enhancement theme phase framework (October 2019)

	Current	Short-term (2-3 years) theme focus period	Medium term (4-8 years) Cycle 6 lifecycle	Long-term (9-20 years) Next generation learners
Synopsis	Māori learners and Pasifika learners access university and achieve qualifications at lower rates than other learners.	Universities undertake initiatives in line with their priorities and objectives with respect to the enhancement theme and share good practice and findings	Successful/effective initiatives are embedded and sustained within universities and this is demonstrated in academic audit.	The university experience for all students reflects the bi-cultural basis of Aotearoa and its place in the Pacific.
Aims		Theme purpose: undertake initiatives and other activities that contribute to a demonstrable step-improvement across the university system in access, opportunity, engagement and achievement for Māori students and for Pasifika students.	Facilitate a step-change improvement across the university system in removal of barriers, access, engagement in learning, opportunity and achievement for Māori students and for Pasifika students. Achieve parity in achievement without compromising quality, while increasing participation.	
Indicators/Evidence	EPIs		Cycle 6 Audit reports (which need to take account of the sequence in which universities will have been audited)	

Māori will constitute 18% of the NZ population by 2038 and Pacific peoples a further 10%. The Māori economy will grow.

The aims from the phase model are developed further in the framework for the theme.

Table 2 Enhancement theme framework (October 2019)

OBJECTIVES **We want to:**	**OUTCOMES** **By the end of the theme we will have:**	**STRATEGIES** **Our approach is to:**	**EXAMPLE ACTIVITIES** **We will do this by:**	**OUTPUTS** **Our outputs will include:**	**IMPACT INDICATORS** **Our success will be seen in:**
1. improve our understanding of how to close the gaps and improve access, outcomes and opportunities for Māori learners and for Pasifika learners	• documented ideas, contributions and effective ways to achieve parity	• build on promising existing work, and undertake new initiatives and research, to identify and develop good practice examples	• drawing from and synthesising existing international and more local research and good practice guides to consolidate our learning	• theme (synthesis) and individual university project reports	• an evidence-informed initial collection of useful ideas and resources
2. engage New Zealand universities and other relevant parts of the education sector in using what we have learnt (this should also address implications for other groups of learners)	• identified the key barriers to uptake in and external to universities and supported effective ways of addressing these barriers • engaged universities and other stakeholders in sharing and implementing ideas and good practices	• share and encourage uptake of ideas, good practices, and tried and tested initiatives	• promoting engagement with the theme through a systematic programme of events, disseminating learning, and supporting universities to share and critique each other's workplans and approaches	• a comprehensive inventory and user-friendly map of resources • evidence-informed case studies and guides • user friendly, web-based materials	• evidence of significant cross-sector engagement, and knowledge transfer in the uptake of ideas, and development of approaches and practices
3. embed Māori, Pasifika and student perspectives into the engagement theme work	• been informed by the inputs and perspectives of Māori, Pasifika colleagues and students	• work in partnership with Māori colleagues, Pasifika colleagues and students	• establishing a high-level steering group that includes Māori and Pasifika perspectives	• all resources, materials, practices and approaches informed by the voices and perspectives of Māori and Pasifika colleagues and students	• evidence of where Māori and Pasifika perspectives have impacted on theme outputs and outcomes.
4. be explicit and transparent about how NZ universities are working together to progress parity in access, outcomes and opportunities for Māori learners and for Pasifika learners	• learnt from cross sector collaborative working initiatives and embedded this learning in routine practices and approaches	• promote and support a linked series of inter-university projects, initiatives and interest-groups • communicate theme activities	• publishing, presenting and communicating in relevant fora	• an enhancement theme website (or webpages)	• interest from outside the theme • cross-checking with leading national and international commentators
5. show how our work effects change in progressing parity of access, outcomes and achievement for Māori learners and for Pasifika learners.	• see progress among universities towards parity in opportunity and achievement for Māori students and for Pasifika students.	• reflect on and constructively challenge and critique our work • inform theme development by periodic evaluation and review.	• set and track appropriate benchmark data.	• recommendations for guideline statements for the audit component of Cycle 6.	• academic audit reports.

Two sets of resources are being developed as part of enhancement theme activities. The first are resources that inform and help develop theme activities. The second are those developed through the theme itself. They include summaries of enhancement theme plans and activities, reports and case studies of good practice, videos and recommendations for future development.

Resources can be accessed through the AQA website.

2.4 Relationship with audit component of Cycle 6

The enhancement theme and the audit component are two complementary components of Cycle 6 Academic Audit. They are connected as follows:

- The scope of the audit framework extends to all students, with universities giving priority as is appropriate to their context.
- University progress on the enhancement theme will be assessed in the audit component of the cycle. The guideline statements developed by the Enhancement Theme Steering Group (GS 6 and 7) will enable progress on the enhancement theme to be examined by audit panels. In this way, universities hold themselves to account on progress.
- Initiatives and work undertaken as part of the enhancement theme are likely to provide evidence for a range of other guideline statements, particularly:
    - GS 2 Student voice
    - GS 8 Access
    - GS 9 Transitions
    - GS 12 Learning support
    - GS 21 Assessment in te reo Māori.

2.5 Further information

Information on the enhancement theme is available on the AQA website at https://www.aqa.ac.nz/enhancement_theme

3 Cycle 6 Academic Audit Framework

The over-arching objectives of the Cycle 6 audit framework are:

1. to provide a set of guideline statements that a university will gain value from evaluating itself against and from the assessment made by the audit panel, leading to enhancement
2. to provide assurance of the quality of New Zealand universities.

The guideline statements set out expectations of outcomes and standards that a university of good international standing would be expected to demonstrate. They are not fixed, minimum standards but are relative and dynamic.

The Cycle 6 audit framework is based on the framework considered to be effective in Cycle 5 (Matear, 2018). It has been refreshed through workshops with academic quality professionals in New Zealand universities and a representative from the New Zealand Union of Students' Associations. These workshops considered:

- feedback from universities and audit panels on the coverage of the Cycle 5 framework, including where overlaps may have been found in practice to occur within the Cycle 5 framework
- the extent to which the Cycle 5 and Cycle 6 audit frameworks aligned with other frameworks, in particular the UK Quality Code (QAA, 2015), the Australian Higher Education Standards Framework (Commonwealth of Australia, 2015) and NZQA's Key Evaluation Questions (2017)
- patterns of commendations, affirmations and recommendations in Cycle 5 audit reports
- the ability of the framework to address current and likely future issues in academic quality assurance, such as employability, information and advice for students, and academic integrity.

The Cycle 6 framework contains 30 guideline statements, organised into five areas/sections plus an introduction/preface:

A. Leadership and management of teaching and learning and academic quality
B. Student profile, life-cycle, support and wellbeing
C. Curriculum, assessment and delivery
D. Teaching quality
E. Postgraduate research students.

The sections/parts of the audit framework are interconnected. Students are placed at the 'top' of the framework, as the focal points of academic quality assurance are the experience and achievement of students and having confidence in the standards achieved. Student experience and achievement is delivered through good quality curricula and teaching; and all are underpinned by good quality university-level processes and systems in the leadership and management of teaching and learning.

In addressing the guideline statements, universities will be expected to consider **all students, all delivery** and **all staff** who teach or supervise or support teaching or supervision, giving emphasis to specific groups as appropriate to their priorities, student body and delivery profile. Therefore, the scope of Cycle 6 academic audit extends to:

- all students, reflecting diversity and inclusivity. Taught postgraduate students should be included in sections B-D; section E focuses on postgraduate research students.

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

The revised UK Quality Code (QAA, 2018) also reflects an embedded approach to academic quality, referring to "provision of effective, high-quality learning opportunities for all students, wherever or however the learning is enabled and whoever enables it" (p2).

The Cycle 6 academic audit framework is also underpinned by relevant New Zealand legislation and constitutional framework. In addressing the Cycle 6 guideline statements, universities and audit panels will be expected to reflect:

- university obligations under Te Tiriti o Waitangi[7]
- the close interdependence of university research and teaching and most university teaching being undertaken by people who are research-active[8]
- universities' role as critic and conscience of society.[9]

The conceptual model of the Cycle 6 academic audit framework is shown in Figure 3. In their self-review processes, universities would reflect on the framework as a whole and consider where they would give particular attention to the underpinning components. A summary statement outlining how the university has done this could be included in the Preface/introduction section. This is discussed further in Section 4.2.1.

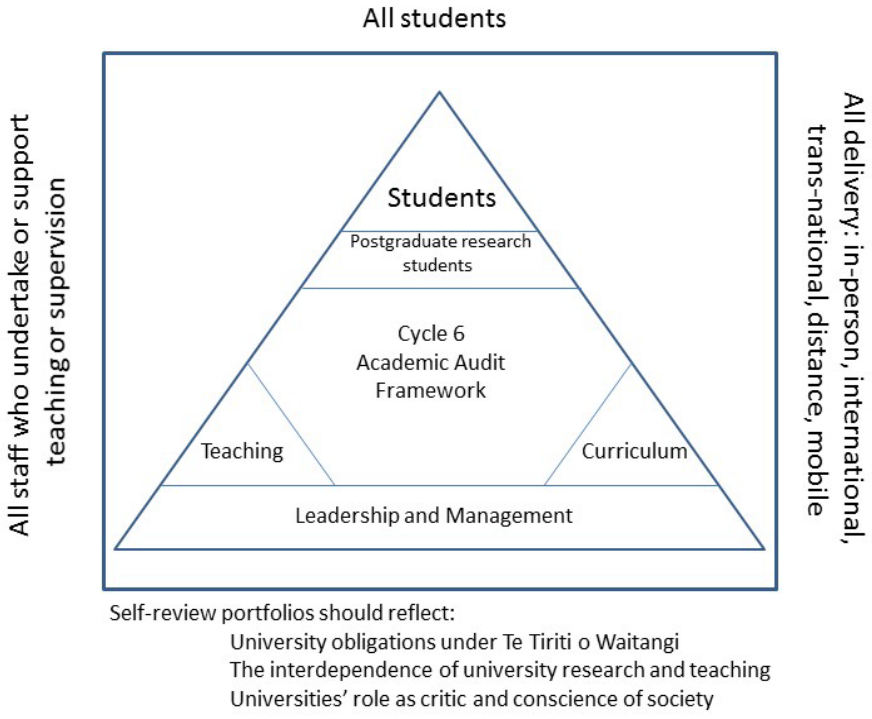

Figure 3 Cycle 6 Academic Audit Framework

[7] S181, New Zealand Education Act 1989; Jennings (2004)
[8] S162(4), New Zealand Education Act 1989.
[9] S162(4), New Zealand Education Act 1989; Jones et al. (2000)

Guideline statements provide a structure for universities to self-evaluate and for audit panels to evaluate the academic quality of a university. They are intended to be a guide and not to act as a constraint. While all guideline statements are important—and all need to be addressed—they are not all of the same level of importance, size or complexity. Universities should place emphasis on statements that are of greater importance in their context. In addressing the guideline statements, a university may consider it appropriate for its context to address two guideline statements together or to split a guideline statement into sub-parts. Audit panels may comment (including making commendations or recommendations) on other matters that significantly affect academic quality if these arise during an audit.

The rest of this section introduces the guideline statements, discusses why they have been included and suggests evidence that will demonstrate whether a university meets a guideline statement. Evidence will be presented by universities in their self-review portfolios and be subject to validation and triangulation by audit panels. Cycle 6 Academic Audit places emphasis on evidence that demonstrates embeddedness of good practice and outcomes of those practices. Guidelines for evidence in Cycle 6 are outlined in Section 3.1.1 and a summary of guideline statements and types of expected evidence is in Appendix 2.

3.1.1 Guidelines for evidence in Cycle 6 Academic Audit

Cycle 6 differs from previous audits in that it is explicit that the Cycle 6 audit framework applies to all students, all delivery and all staff who teach or supervise or support teaching or supervision. Universities and audit panels will need to consider how evidence reflects this systemic or embedded nature of academic quality. It also differs in that guideline statements in the Cycle 6 audit framework are expressed using 'outcomes-oriented' language.

The principle of being evidence-based is common with other external quality assurance bodies internationally, and guidelines for a range of institutional level quality assurance systems make frequent reference to evidence. They also describe evidence in terms of its origin, audience and characteristics—often referring to 'good' or 'quality' evidence. Despite these characterisations, however, relatively little attention seems to have been paid to what constitutes 'good' evidence.

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

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

8. Universities and audit panels should be open to and expect that evidence may take a variety of forms and some evidence may be based on indigenous knowledge systems.

Expected evidence is identified for each of the guideline statements. However, the specific form of the evidence is for a university to determine. As far as possible, academic audit should utilise existing reporting and evidence within a university. The exception to this may be when a university identifies a lack of information for a guideline statement and determines that it is appropriate to collect bespoke evidence.

This sixth cycle of academic audit emphasises the importance of demonstrating embeddedness, or the systemic nature, of quality practices and outcomes throughout a university.

(Matear, 2019)

Appendix 1 contains questions a university might ask itself (and answer) during its self-review and questions audit panels might ask. This Appendix also contains references and links to current research and examples of resources on guideline statements. These are current at the time of publication and will be updated in later editions and electronic versions of this guide. These examples are intended to help indicate matters that universities might consider in relation to the guideline statements but are not intended to be prescriptive in setting expectations. Universities may also refer to the review of Cycle 5 audit findings (Matear, 2018b) for good practice commended in Cycle 5 audits.

3.2 Section A: Leadership and management of teaching, learning and academic quality

This section of the audit framework examines the university-level systems and processes for ensuring academic quality, and how the university assures itself that the outcomes of these processes are adequate and appropriate. In this section, universities and audit panels should consider:

- planning and reporting
- the student voice
- teaching and learning environments
- academic delegations
- academic risk management
- progress on the enhancement theme.

GS 1 Planning and reporting: The university gathers and uses appropriate and valid data and information to establish objectives, plan, assess progress and make improvements in its teaching and learning activities.

This guideline statement addresses the university's use of data and information in its planning for academic quality. It is concerned with how effective the university is in identifying improvement needs for teaching, learning, support and outcomes for students, and how it assesses those improvements.

Audit panels could expect to see an outline of the university's planning processes and/or its quality framework, reports on progress and evidence of improvements in teaching and learning. Evidence of improvements could be demonstrated by trends overtime in KPIs, statements of service performance and/or dashboard reporting. Teaching and learning activities targeted for improvement may be identified in strategy and planning documents and evidence of progress on these could be

provided. Universities could also demonstrate how data and information have informed the identification and prioritisation of improvement initiatives.

GS 2 Student voice: Improved outcomes for students are enabled through engaging with the student voice in quality assurance processes at all levels, and this is communicated to students.

Internationally, increasing attention is being paid to the importance of student voice (and voices) in quality assurance, and as partners in teaching and learning more generally (Mercer-Mapstone et al., 2017). Cycle 6 reflects that emphasis by including students or recent graduates as members of audit panels. This guideline statement considers how the university engages with the student voice; how it uses that voice to improve quality; and how it 'closes the loop' with students about their contribution. It also seeks to appreciate how the student voice has contributed to improved outcomes for students; in other words, is the student voice 'effective'?

Audit panels could expect to see an outline of the ways in which the university engages with and uses the student voice to deliver improved outcomes for students, an assessment of the effectiveness of the student voice across the university and evidence of closing the loop with students. Evidence of closing the loop could include presentations to student groups, responses to student surveys, or items in student newsletters.

GS 3 Teaching and learning environments: Teaching and learning activities are supported by appropriate learning environments (infrastructure, spaces, media, facilities and resources).

Teaching and learning environments are becoming more complex as they support greater diversity in models of teaching and delivery (Kak, 2018). The teaching and learning environment includes both digital and physical infrastructure and resources. Students and teaching may change more rapidly than capital intensive environments are able to. Teaching and learning environments include formal and informal learning; social learning and transitional spaces; face-to-face and e-mediated; learning on campus, at a distance and with partners.

This guideline statement considers how the university ensures that teaching and learning are supported by appropriate learning environments. It also includes information resources, including libraries.

Audit panels could expect to see plans associated with the development of teaching and learning environments, and feedback that the environments are appropriate. Such feedback might be generated by surveys or by reviews. Other evidence might include timetabling policies, principles and practices, and analyses of space utilisation that include appropriateness.

GS 4 Academic delegations: Academic delegations support consistent and effective decision making and accountability for teaching and learning quality and research supervision.

Many aspects of teaching and learning—from the decision to admit a student, to the allocation of a PhD supervisor, to the confirmation of marks for the award of a qualification—require decisions to be made across a university. These decisions should be made by those who are qualified and authorised to make them and should reflect equitable treatment of students.

This guideline statement considers whether academic delegations support consistent and effective decision making and accountability for teaching and learning quality and research supervision. They are particularly important when variations occur from published requirements or criteria.

Audit panels could expect to see delegations' schedules and evidence of consistency of decision-making. This evidence might include feedback from students and/or direct analysis of delegated

decisions in terms of numbers and trends in decisions involving variations. An increase in variations could signal an issue with a rule or regulation. Audit panels could also expect to see evidence that delegation holders are familiar with the scope of their delegations.

GS 5 Academic risk management: Potential disruption to the quality and continuity of learning and teaching at the university, including risks to infrastructure, is mitigated through effective risk management processes.

Risks to academic quality and academic reputation are of increasing concern worldwide. Academic integrity is the focus of GS 20. However, universities must also be alert to other forms of academic corruption such as falsifying marks or ignoring conflicts of interest (Daniel, 2016), as well as risks to physical and digital infrastructure, threats to personal safety and risks to students through the failure of partner institutions.

This guideline statement considers how universities mitigate these (and other) risks to the quality and continuity of teaching and learning.

Audit panels could expect to see university risk registers and evaluation of the effectiveness of those registers.

GS 6 Progress on the Enhancement Theme (Māori students): The university has achieved the objectives in its enhancement theme plan with respect to Māori students and successful practice has been embedded and is sustainable.

Cycle 6 academic audit includes an enhancement theme on the topic of "Access, outcomes and opportunities for Māori students and for Pasifika students". Further information on the enhancement theme is available at https://www.aqa.ac.nz/enhancement_theme. During the enhancement theme phase of Cycle 6, universities developed plans to achieve enhancement theme objectives. Plans and objectives are specific to individual universities.

This guideline statement is one of two (see also GS 7) developed to evaluate progress on the enhancement theme component of Cycle 6. It is reasonable to expect that universities who are later in the audit cycle will have made greater progress on their enhancement theme objectives.

Audit panels could expect to see the university's assessment of progress against its objectives. Universities might also provide evidence of contribution to the enhancement theme more broadly, for example sharing of resources or good practices with other universities.

GS 7 Progress on the Enhancement Theme (Pasifika students): The university has achieved the objectives in its enhancement theme plan with respect to Pasifika students and successful practice has been embedded and is sustainable.

Cycle 6 academic audit includes an enhancement theme on the topic of "Access, outcomes and opportunities for Māori students and for Pasifika students". Further information on the enhancement theme is available at https://www.aqa.ac.nz/enhancement_theme. During the enhancement theme phase of Cycle 6, universities developed plans to achieve enhancement theme objectives. Plans and objectives are specific to individual universities.

This guideline statement is one of two (see also GS 6) developed to evaluate progress on the enhancement theme component of Cycle 6. It is reasonable to expect that universities who are later in the audit cycle will have made greater progress on their enhancement theme objectives.

Audit panels could expect to see the university's assessment of progress against its objectives. Universities might also provide evidence of contribution to the enhancement theme more broadly, for example sharing resources or good practices with other universities.

3.3 Section B: Student life-cycle, support and wellbeing

This section of the self-review report and audit report focuses on students—their entry to university, successful transitions through and beyond university, and advice and support to enable successful transitions. All students (except for postgraduate research students, who are the focus of Section E) should be considered, with the university placing emphasis on particular groups of students as appropriate to their context. Universities should be aware of students who do not follow a 'conventional' student life cycle. The guideline statements in this section address:

- access
- transitions
- academic advice
- graduate attributes
- academic complaints, appeals and grievances
- learning support
- safety and wellbeing.

GS 8 Access: Access to university, including through recognition of prior learning and credit transfer pathways, is consistent, equitable and transparent for students

Students enter New Zealand universities through a range of pathways including NCEA/UE, overseas qualifications and other recognition of prior learning and credit transfer options. Recognition of prior learning and credit transfer pathways are explicitly mentioned in the guideline statement as a 2016 review (Kirkwood, 2016) "suggests that the New Zealand university sector does not appear to be meeting the good practice standards of jurisdictions or institutions that they might consider peers or benchmarks and that universities' levels of credit recognition appear to fall at the lower end of the range evident in comparable jurisdictions" (p1).

This guideline statement focuses on ensuring that access is consistently equitable and transparent for students. Students are well placed to comment on whether they found access to be transparent and audit panels could expect to see evidence of the student perspective. This could include analysis of appeals, complaints and grievances related to admission. Students, however, may be less well-placed to comment on whether access was consistent and equitable, and audit panels could expect to see other evidence from universities to demonstrate this. Evidence could include policies and information for students, objectives and achievements for priority groups of students.

GS 9 Transitions: Transitions for students are supported at all levels of university study, including transitions beyond study and/or to employment, and students are well-equipped to contribute in their chosen fields, and more broadly to the economy and society.

This guideline statement includes the transition to successful study, transitions to higher levels in the course of a degree (or other qualification) and transitions beyond university. The focus on transitions includes and builds on a substantial body of work on student retention and emphasises the success or achievement components of retention.

This guideline statement and GS 17 'Graduate profile' are related. However, this guideline statement is oriented towards students, whereas GS 17 is more concerned with curriculum. Universities may address these guideline statements as appropriate in context.

The importance of successful transitions to university is well-recognised, with considerable attention over the last decade being placed on the first-year experience (for example, Kift, 2017). The importance of careers advice throughout a student life cycle is also being recognised (NCSEHE, 2017). Other transitions—including transitions to second year, to postgraduate study and to employment—are also receiving attention.

Audit panels could expect to see evidence that universities are assessing transitions at different levels, including transitions beyond university, and for different groups of learners. They could also expect to see evidence of the student view of the success of these transitions.

The guideline statement recognises that, while transitions to employment are important, so too are other contributions to the economy and society. Similarly, while 'work-readiness' is important, so too is preparation for multiple careers over a lifetime (APLU, n.d.). Therefore, audit panels could also expect to see graduate destinations or graduate outcomes data as evidence of successful transitions beyond university. Links to graduate skills work are included because student attainment of graduate skills, including 'employability' and 'work-ready' skills, are contributors to successful post-study transitions.

GS 10 Academic advice: Student achievement is supported through consistent and clear academic advice, including course/paper information and programme planning, and guidance for students on completion of requirements.

Access and successful transitions are supported by high-quality academic advice. The importance of this advice is increasingly being recognised in New Zealand and internationally. The Cycle 5 guideline statement on academic advice received a relatively high number of recommendations reflecting structural changes and implementation of new student managements systems, both of which had implications for the provision of academic advice (Matear, 2018b).

Audit panels could expect to see evidence that students perceive the advice they have received to be clear (and useful). Again, students may not be able to assess the consistency of the advice provided and universities should provide evidence of consistency.

Universities might also provide any reviews of academic advice.

GS 11 Academic complaints appeals and grievances: Academic complaints, appeals and grievances are addressed consistently and equitably. Where appropriate, outcomes of these processes inform improvements.

In mature quality cultures, complaints provide a valuable source of feedback on service failures and opportunities for improvement (Hughes-Warrington, 2017). For a student, however, making a complaint can be a challenging and difficult experience.

Audit panels could expect to see evidence that complaints, appeals and grievances are addressed consistently and equitably, and—where appropriate—how these processes have informed improvements.

GS 12 Learning support: Students have timely and equitable access to appropriate learning support services.

Learning support, outside formal instruction, plays a valuable role in student retention and achievement. It can encompass a wide range of options and modes from diagnostic assessments of English language, to peer mentoring to presentation coaching. What is important for students is that they can access learning support in a timely manner.

Audit panels could expect to see evidence of student satisfaction with access to learning support and assessment by the university that support is equitable.

GS 13 Safety and wellbeing: Student wellbeing is supported through the provision of appropriate pastoral and social support services in safe and inclusive environments.

Universities and students' associations are placing emphasis on the importance of student wellbeing—in particular student mental health—to support successful university study.[10] For example, Universities UK has developed a framework for universities to help improve student mental health[11] and TEQSA updated its wellbeing and safety guidance note in early 2018.[12] Other significant issues receiving attention both in New Zealand and internationally are sexual assault and harassment of university students, drug and alcohol abuse, and mental health and wellbeing.[13, 14] Other aspects of wellbeing include connectedness and sense of belonging, and universities provide specific spaces for groups of students to foster this.

Audit panels could expect to see evidence of student perceptions of wellbeing, pastoral and social support, safety and inclusiveness.

Universities might also provide any reviews of safety and/or wellbeing or assessments of effectiveness of the provision of specific services.

3.4 Section C: Curriculum, assessment and delivery

The guideline statements in this section consider the life-cycle and key components of curricula and academic delivery as follows:

- programme approval
- course/paper and programme monitoring
- review
- graduate profile
- assessment
- assessment standards
- academic integrity
- assessment in te reo Māori.

Universities should consider all aspects and modes of their delivery and give emphasis to online, distance and other modes as appropriate for their strategies and priorities

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

Unusually for a mature jurisdiction, New Zealand universities are not individually self-approving or self-accrediting for new qualifications or programmes of study; rather they need to seek approval through CUAP for new qualifications and programmes and other changes as specified in CUAP's

[10] http://www.students.org.nz/mentalhealth; https://www.naspa.org/events/2018scmh
[11] http://www.universitiesuk.ac.uk/news/Pages/New-framework-for-universities-to-help-improve-student-mental-health.aspx
[12] https://www.teqsa.gov.au/latest-news/publications/guidance-note-wellbeing-and-safety
[13] https://www.humanrights.gov.au/our-work/sex-discrimination/publications/change-course-national-report-sexual-assault-and-sexual
[14] https://en.wikipedia.org/wiki/White_House_Task_Force_to_Protect_Students_from_Sexual_Assault

Functions and Procedures. Although programme approval and approval of graduating year reviews (GYRs) is a CUAP responsibility, this guideline statement is included in the Cycle 6 audit framework to maintain the coherence of the quality assurance framework for universities (Figure 1). Therefore, this guideline statement seeks to confirm that internal university processes meet expectations and include opportunity for input from stakeholders.

Audit panels could expect to see evidence of internal processes, outcomes of CUAP decisions, including consideration and acceptance of GYRs, and opportunities for stakeholder input.

Universities might also provide evidence of responsiveness to stakeholder input and reviews of effectiveness of programme approval processes.

GS 15 Course/paper and programme monitoring: The quality of academic programmes and courses/papers is assured and enhanced through ongoing monitoring and academic management.

Programme review is addressed in GS 16. Monitoring is associated with, but distinct from, review, which is a periodic undertaking. Monitoring is expected to be an ongoing, or at least frequent, process through which the university assures itself that course/paper content remains current, that feedback through course evaluations or other processes is considered and, if appropriate, acted upon and that any changes to courses/papers retain alignment with graduate profiles (GS 17).

Audit panels could expect to see evidence of enhancements to courses/papers or programmes as a consequence of monitoring. They could also expect to see evidence of monitoring occurring throughout the university. Examples of evidence might include analyses of mark or grade distributions.

Universities might also provide evidence of how findings from monitoring activities are aggregated or synthesised to inform other changes or developments.

GS 16 Review: Curriculum relevance and quality is assured and enhanced through regular reviews of programmes and courses/papers and which include input from students, staff and other stakeholders.

As indicated in GS 15, programme review is a less frequent, but more substantial, assessment of a programme, its curriculum and delivery. Programme review typically involves self-assessment, a review by a panel including stakeholders external to the programme and university, and consideration of the strategic contribution and direction of a programme. Universities may align or sequence programme reviews with other requirements, including departmental or unit reviews and professional accreditation requirements.

Universities are required to report to CUAP the programme reviews they have undertaken annually.[15] The 2017 review of CUAP recommended that "CUAP discuss how institutional and professional programme reviews might be best used by CUAP for moderation purposes…".[16]

Audit panels could expect to see evidence of curriculum relevance being assured and enhanced through reviews, a schedule of reviews and reports to CUAP, and evidence of input from students and other stakeholders.

[15] https://www.universitiesnz.ac.nz/sites/default/files/uni-nz/CUAP_Handbook_2018_Web.pdf App. B, p.70.
[16] http://www.aqa.ac.nz/sites/all/files/Review%20Report%202016-2017.pdf, R2, p12 & p38.

GS 17 Graduate profile: Students are aware of and have the opportunity to achieve the intended attributes in graduate profiles and course/paper learning outcomes.

All university qualifications in New Zealand have a 'graduate profile'—a "statement of the generic and specific attributes and skills of graduates of the programme including the body of knowledge obtained".[17] Universities may also have a university-level graduate profile that would, for example, apply to all bachelor's degrees from a university.

GS 9 'Transitions' considers graduate profiles and attributes in terms of how they support effective transitions out of university for students. This GS focuses on student awareness of attributes in their graduate profiles and how students have the opportunity to achieve attributes. Its focus is therefore curriculum design, constructive alignment, and other initiatives such as co-curricula programmes that support the attainment of attributes in graduate profiles.

Audit panels could expect to see evidence that students are aware of programme and university graduate profiles. They could also expect to see evidence of how students are supported to attain attributes in graduate profiles.

Additionally, universities might provide evidence that graduate attributes have been achieved.

GS 18 Assessment: Assessment is appropriate and effective.

Assessment is a "central feature of teaching and the curriculum" (Boud and Associates, 2010) and there is a considerable body of research and professional practice on good assessment practices. For the purposes of this guideline statement, universities and audit panels should focus on how they know that assessment is appropriate and effective.

Audit panels could expect to see evidence from students, and other perspectives regarding perceptions of the appropriateness and effectiveness of their assessment.

If universities have specific goals and strategies for assessment, progress and achievement, these could also be considered here. Universities might also provide any reviews of assessment they have undertaken.

GS 19 Assessment standards: Assessment and outcome standards are appropriately set and moderated.

As well as having confidence that assessment follows good practice, students and universities must also be confident that the standards of the assessment are nationally and internationally appropriate. In some jurisdictions this is supported through use of external examiners (Morris and Stoakes, 2019) or peer review of assessment (Booth, 2017).

In New Zealand, external examiners are part of normal, required practice in assessing postgraduate research students and some disciplines make systematic use of peer examining. Other universities assess outcome standards as part of benchmarking and/or reviewing programmes. Further, CUAP processes (including the GYR) provide (mainly *a priori*) national moderation of standards.

This guideline statement extends the existing mechanisms and processes to consider how universities moderate outcome standards, both nationally and internationally, on an ongoing basis.

[17] https://www.universitiesnz.ac.nz/sites/default/files/uni-nz/CUAP_Handbook_2018_Web.pdf p51, p53.

Audit panels could expect to see policies and or guidelines for moderating assessment and outcome standards, and evidence of policies or guidelines being applied. As with all guideline statements, audit panels could expect to see evidence that these practices are applied across the university.

GS 20 Academic integrity: Universities promote and ensure academic integrity and demonstrate fairness, equity and consistency in addressing concerns.

Academic integrity is of global concern and is addressed in this guideline statement.

Audit panels could expect to see evidence of promotion of academic integrity and assessment of fairness, equity and consistency in addressing concerns. They could also expect to see evidence that staff and students understand academic integrity, that universities are proactive in considering the full range of "potential risks to academic integrity" (TEQSA, 2019) and that universities provide clear advice on preventing and dealing with breaches of academic integrity.

GS 21 Assessment in te reo Māori: Assessment in te reo Māori, where appropriate, is facilitated by the university.

Increasing universities' role in revitalising te reo Māori is part of the strategic workplan for Te Kāhui Amokura[18] and that work will contribute to this guideline statement on providing assessment in te reo Māori, where appropriate. Enhancement theme initiatives and activities in some universities will also contribute.

Audit panels could expect to see evidence of trends in assessment being undertaken in te reo Māori.

Universities might also provide reviews of the use of te reo Māori in assessment and the effectiveness of existing strategies and approaches.

3.5 Section D: Teaching quality

This section of the academic audit framework focuses on teachers and teaching. All staff who teach or supervise, or who support teaching or supervision, should be considered, with emphasis given to groups of staff as appropriate to their context. Guideline statements address:

- staff recruitment
- induction and ongoing expectations
- teaching development
- teaching quality
- teaching recognition.

GS 22 Staff recruitment: All staff who teach or supervise, or support teaching or supervision, are appropriately qualified and experienced (including in research as appropriate to role) upon appointment.

New Zealand universities compete internationally for academic staff. Most New Zealand universities do not currently require new staff to hold a teaching qualification upon appointment; they do however require that new staff are appropriately qualified and experienced. As research is one of the defining characteristics of New Zealand universities, in most cases this will mean staff holding a doctoral qualification and, where appropriate, professional accreditation or recognition.

[18] https://www.universitiesnz.ac.nz/sites/default/files/uni-nz/FINAL%20201511%20TKA%20Work%20Plan%20Summary%20-%20Fi%20Contact%20Details%20%281%29.pdf

Audit panels could expect to see evidence of the expectations of qualifications and experience for new staff and evidence that these expectations are met for all staff, including staff on short-term or adjunct contracts.

GS 23 Induction and ongoing expectations: New staff who teach or supervise, or support teaching or supervision, become familiar with academic policies and expectations of the university through effective induction processes, and the university has processes to enable all staff to maintain currency with academic policies and expectations.

Despite a level of commonality, each university has its own policies and expectations. Academic policies and expectations within a university are also expected to change as they are reviewed and revised. Academic staff need to be familiar with these policies and expectations to ensure students are not disadvantaged.

Audit panels could expect to see evidence that the university's induction processes for all staff include academic policies and expectations.

Additionally, universities might provide evidence that staff are familiar with academic policies and expectations and reviews of the effectiveness of processes by which they become and remain so.

GS 24 Teaching development: Staff who teach or supervise, or support teaching or supervision, are supported to take up opportunities to develop their practice, including the use of innovative pedagogy and new technologies.

University teaching is a professional activity requiring ongoing development. Some development requirements may be driven by changes in the student body (increasing diversity and changing expectations about how they will learn), technology, and/or disciplinary developments. This guideline statement considers support for academic staff who teach to take up opportunities to develop their teaching.

Audit panels could expect to see evidence that staff take opportunities to develop their teaching and that these opportunities involve innovative pedagogy and new technologies. These opportunities can be both formal and informal.

Additionally, universities might provide evidence of the assessment of the impact of teaching development.

GS 25 Teaching quality: The quality of all teaching is appropriate and is enhanced by feedback and other processes. Quality shortfalls are addressed proactively, constructively and consistently.

University teaching is a varied and multi-faceted undertaking (Matear, 2017). Extensive bodies of literature, research and practice exist on what constitutes good quality teaching (for example, Chalmers and Hunt, 2016; Gibbs, 2010; Greatbatch and Holland, 2016; and Prosser and Trigwell, 2017). However, students (and others) can have a reasonable expectation that the quality of the teaching they receive is appropriate.

Audit panels could expect to see evidence that the quality of all teaching is appropriate. While this could include summaries of teaching evaluations, it could be considered that this is too narrow an assessment of teaching quality. Other evidence could include criteria for the assessment of teaching quality and evidence that these have been used.

Quality shortfalls do occur. Some are individual instances that will not recur. Others are more systemic and could include inadequate facilities or inappropriate pedagogy or poor teaching practice. However, all affect students and it is important that all shortfalls are addressed.

Audit panels could expect to see evidence of the processes by which universities become aware of quality shortfalls, and how shortfalls are reported, considered and addressed. (See also GS 11: Complaints, grievances and appeals.)

GS 26 Teaching recognition: High-quality teaching is recognised and rewarded.

In New Zealand, excellence in tertiary teaching is recognised nationally through awards managed by Ako Aotearoa.[19] Universities also administer a series of teaching excellence awards, as do some students' associations.

Audit panels could expect to see evidence of teaching quality being recognised and rewarded.

Universities might also provide evidence of whether and how recognition of teaching excellence leads to dissemination and uptake of excellent practice or other quality enhancements.

3.6 Section E: Supervision of postgraduate research students

Undertaking research is a defining characteristic of New Zealand universities. Postgraduate research students are therefore specifically considered in this section of the academic audit framework. Guideline statements address:

- supervision quality
- resourcing of research students
- research student progress
- thesis examination.

These guideline statements intersect with the preceding sections of the framework and focus specifically on postgraduate research students. All postgraduate research students should be considered, and the university should identify any cohorts of students important to its priorities or context.

This specific treatment of postgraduate research students is consistent with other quality frameworks. For example:

- The QAA Quality Code (2018) provides Advice and Guidance for research degrees. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/research-degrees.
- TEQSA (2018) has a guidance note for research and research training. See https://www.teqsa.gov.au/sites/default/files/guidance-note-research-and-research-training-v1-3_0.pdf?v=1530748445.

GS 27 Supervision quality: The quality of postgraduate research supervision is ensured.

Supervision is a key contributor to the postgraduate research student experience. Audit panels could expect to see evidence of training and experience being considered in supervisor appointment, feedback from new or inexperienced staff on supervision development, student perspectives of supervision quality and evidence of ongoing quality assurance.

Additionally, universities might provide evidence of reviews of effectiveness of supervision quality.

[19] https://ako.ac.nz/about-us/our-work/teaching-awards/

GS 28 Resourcing of postgraduate research students: Postgraduate research students are appropriately resourced and supported to undertake their research.

Resourcing of postgraduate research students is likely to vary between disciplines. From a quality perspective, it is important that research students are appropriately resourced and supported. Resources and support for postgraduate research students include those specific to their research as well as learning support and resources that support postgraduate research student wellbeing.

Audit panels could expect to see evidence of the appropriateness of support from student and supervisor perspectives.

Additionally, universities might provide reviews or reports on the appropriateness of resourcing and support, including any benchmarking of resourcing.

GS 29 Postgraduate research student progress: Student progress and achievement is monitored and supported through consistent and clear academic advice, and guidance for students on completion of requirements.

Universities are expected to monitor and support postgraduate research student progress.

Audit panels could expect to see evidence of monitoring and advice to students, including postgraduate research student perspectives on this monitoring and support.

Universities might also provide reviews of postgraduate research student progress, including evaluations of whether progress is satisfactory and evidence or assessment of effectiveness of progress monitoring processes.

GS 30 Thesis examination: Thesis standards are assured through examination processes that are nationally and internationally benchmarked.

Ensuring national and international standards of research theses is important for both the university and the future career of the student.

Audit panels could expect to see evidence of national and international benchmarking of standards.

Universities might also provide reviews or other evaluations of how they assure thesis standards are appropriate.

4 Audit Processes

The key steps in the audit process are:

- preparation and submission of the self-review report and portfolio by the university
- planning meetings
- review and assessment of the self-review by the audit panel
- site visit(s)
- report by the audit panel
- follow-up reporting by the university.

Audit processes and logistics are managed by AQA. The audit itself is undertaken by a panel of peers and a student or recent graduate. Peer review is a fundamental principle of quality assurance for New Zealand universities.

4.1 Indicative audit process timelines

The schedule and sequence of university audits is available on the AQA website. This section provides more detail on an indicative schedule for an individual university.

Table 3 Indicative audit timeline

Audit step/task	**Indicative number of weeks before site visit**
AQA writes to university to advise indicative audit timeframe	40
First university planning meeting with AQA Director to confirm all requirements and processes are clear	30
Names of panel members including proposed chair provided to university	20
AQA Board confirms panel	18
University submits **8** copies of the self-review report and portfolio to AQA	16
Panel reviews self-review report and portfolio	16-12
First panel meeting (2 days)	12
University advised of any further information/evidence needs	10
Second university planning meeting with panel chair and AQA Director (includes strategic update and arrangements for mihi whakatau) Further information/evidence provided Second panel meeting via videoconference—if necessary	5
Interview schedule confirmed—see Appendix 4	4
Site visit	0
	Indicative number of weeks after site visit
Draft report to AQA Board	6
[Revised] Draft report to university for confirmation	10
Publication of report (plus media releases)	14
Request for feedback to panel and university	16
Feedback from university and panel	20
Draft one-year follow-up report to AQA	
One-year follow-up visit by panel chair	
One-year follow-up report to AQA Board—to be published by university after acceptance	
Two-year follow-up and mid-cycle report	

4.2 Self-review and development of the self-review report and portfolio

The self-review report provides the interface between a university's internal quality assurance (IQA) and AQA's external quality assurance processes (EQA). Self-review is the basis of quality assurance for New Zealand universities (UNZ and AQA, 2013). A university's self-review portfolio consists of its self-review report and supporting documents and evidence. The self-review portfolio should be reflexive, evaluative and based in evidence, and should be able to be read as a stand-alone document.

One conclusion of the process review of Cycle 5 (Matear, 2018a) was that universities could be more reflexive and self-critical in their assessment of whether they have met guideline statements. Self-review is a matter for the university. However, the university should ensure that its self-review processes and timelines provide enough opportunity for reflexive and self-critical analysis. In other words, the self-review should not be a report on what the university is doing, but an analysis based on evidence of how well it is doing, the difference it has made (Husbands, 2017), and where and how it could improve.

The self-review report is not intended to be a public document unless the university chooses to make it so. Doing so, however, would be consistent with international calls for greater transparency in academic quality (Kristoffersen, 2019).

The self-review report will be accompanied by key documents and supporting documents that assist in providing context and evidence of meeting guideline statements. Together the self-review report, key documents and supporting documents form the self-review portfolio.

4.2.1 Introduction/preface to self-review reports and audit reports

The introduction to a self-review report provides the institutional and quality assurance contexts for the university and the audit panel. While ensuring that all universities meet the standards expected of an international university of good standing, it is important that audits also reflect the context and priorities of individual universities. In the introduction to their self-review, universities are expected to set out the nature of the university and its strategic priorities.

The intention of this section is to provide context for audit panel members. They should be able to appreciate the nature of the university, how it is structured with respect to academic quality matters, and its priorities and objectives over the period of the audit cycle. They should also be able to appreciate where the university sits in the context of academic audit and progress since Cycle 5 and how it has undertaken its self-review for Cycle 6. However, a university's context should not be an explanation for whether it can provide appropriate evidence of meeting guideline statements (Beech, 2017).

AQA will produce a university sector summary as context for overseas panel members in particular. This will be developed from annual reports and other publicly available material.

The sorts of documents and information universities should provide to set their institutional context include:

- descriptive analysis of the university's student body for the current period and its projected make-up over the period of this audit cycle. Universities should articulate the cohorts of students particularly important to its context; these cohorts will be reflected in self-assessment against guidelines statements, noting that, for some guideline statements, different cohorts of students may be considered.

- descriptive analysis of the university's staffing complement and any anticipated changes over the period of the audit cycle
- summary of academic programmes delivered by the university (including mode and location) and any known or anticipated changes (for example, an increase in taught masters programmes or a reduction in applied sciences)
- the university's strategic plan
- the university's most recent Annual Report
- the university's teaching and learning strategy and any associated plans
- strategies and associated plans for Māori
- strategies and associated plans for Pasifika
- strategies and associated plans for university-priority cohorts of students (for example, distance students, disabled students, international students, first-year students, first-in-family students).

The context of an individual university can also be appreciated through its organisational chart and chart of academic committees.

In terms of how the university has undertaken its self-review, panels will be interested in how students have been involved in both self-review activity and the development of the self-review report and portfolio. Cycle 6 does not make provision for a separate submission from students, but audit panels will include a student or recent graduate as a member of the panel.

In the introduction/preface to the self-review report, universities should also include an update on any recommendations and affirmations that have not been fully addressed in the mid-cycle report. The mid-cycle report can be included as a supporting document. A summary of major changes or initiatives in the university (for example, major restructures or new strategic plans or priorities) impacting on academic quality may also be useful.

The above documents and charts should be numbered and referenced as KD1 to KDx – Key documents. A glossary or list of acronyms should also be provided.

Universities may wish to explain how they are addressing the underpinning elements of the Cycle 6 audit framework (see page 11) in the introduction or preface to the self-review report. While universities will determine the approach that is most suited to them, options are:

1. explaining how the university addresses each of the underpinning components and therefore how this informs its self-review
2. identifying specific guideline statements that encapsulate the university's approach to the underpinning components
3. a combination of the two approaches.

4.2.2 Self-review chapters or sections

Chapters in the self-review report are expected to follow the structure of the audit framework. Universities may, however, re-sequence the order in which they address sections and guideline statements, if another sequence is more appropriate for that university. This should be discussed at the first planning meeting.

Appendix 2 and Section 3.1.1 set out expectations of evidence for each guideline statement. These are intended as a guide to the university only and suggest the type of evidence to be provided rather than its specific form.

For each of the guideline statements, universities and panels could be expected to ask:

- What are the university's objectives with respect to this guideline statement and are these objectives commensurate with international good practice?
- How well is it achieving its objectives?
- How does it know or assess this (ie, what evidence is being used)?
- What improvements (enhancement initiatives or recommendations) should be considered?

Evidence and documents providing evidence should be numbered and referenced as Supporting Documents SD1 to SDx. It is difficult say how many supporting documents will be required, but universities are encouraged to be focused in their use.

Sections B, C and D of the audit framework focus on students, delivery and staff respectively. The university may wish to outline at the start of these sections how it has approached assessing guideline statements in terms of all students, all delivery and all staff who teach or supervise or support teaching or supervision to reflect the scope of Cycle 6.

While undertaking their self-review activities, universities are likely to identify areas where improvement or enhancement is required. These may be presented as 'enhancement initiatives' (EI). These should be substantive and likely to have a meaningful impact on academic quality. Ongoing improvement or minor changes would not normally constitute an EI.

4.2.3 Conclusion

The self-review report should contain a conclusion that summarises the enhancement initiatives the university has identified through its self-review and provides direction on how these will be addressed and prioritised. The conclusion should also reflect on the university's development of its self-review and the effectiveness of its approach to academic quality.

4.2.4 Technical specifications for the self-review report and portfolio

The production of the self-review report is a matter for universities. While some universities use them for purposes other than academic audit, self-review reports are important working documents for auditors. While auditors will make use of electronic materials, particularly for supporting documents, most auditors in Cycle 5 indicated they preferred to be able to use both print and electronic documents (Matear 2018a, p11.)

To help auditors use the document, the following 'technical specifications' should be met. The self-review report should:

- provide a coherent narrative that can be read in a single session. This is likely to be between 40-60 pages and around 30,000 words. These figures are provided as a guide only.
- be printed on matt paper that is easy to write on/annotate
- have large margins—for notes/annotations
- use an 11pt font, at a minimum
- use hyperlinks to evidence in key and supporting documents.

Self-review reports will include links to other documents. Where the link is to a large document (more than 10 pages), the link should specify the location in the document.

Self-review portfolios should:

- include EIGHT printed (hard) copies of self-review report and key documents (KD)
- include EIGHT electronic copies of the complete portfolio with all supporting documents (SD), preferably on USB drives
- Have all links available and active. If supporting documents are behind firewalls, access should be provided, or a copy of the document made available.

The form of the portfolio and provision of supporting documents can be discussed in the first planning meeting.

Universities should consider the feedback provided by auditors on their experiences with self-review portfolios in Cycle 5 (see Matear, 2018a).

4.3 Audit panels

Peer review is an underpinning principle for quality assurance of New Zealand universities. Audit panels are appointed by the AQA Board from the Register of Auditors and Reviewers. Auditors must have undertaken AQA training (or an agreed equivalent) before participating in an audit.

Criteria for appointment of auditors are contained in Appendix 3 (page 78). The Cycle 6 Register of Auditors and Reviewers will be available on the AQA website.

At the time of publication of this edition, the Cycle 6 Register of Auditors and Reviewers is being developed.

Audit panels will normally comprise five members, including an international panel member, a student or recent graduate, and a panel member or members able to bring a Māori perspective and, if possible, a Pasifika perspective. The Panel Chair will normally be a senior New Zealand academic or academic manager.

The AQA Board appoints the audit panel for each audit and will ensure that panel members have appropriately diverse skills and experience and match the distinctive nature of individual institutions.

AQA will write to the Vice-Chancellor of the university being audited (see Table 3, page 25) to advise of the intended audit panel for the university. Acceptable reasons for a university objecting to a person serving on the panel for an audit are a known or probable conflict of interest or inappropriateness for the character of the university. Any objection should be substantiated in writing with relevant evidence.

4.3.1 Student auditor development

Cycle 6 audit panels will include students or recent graduates as members of the panel. Student auditors are likely to be drawn from a pool of students with senior and significant representative experience, for example, on academic boards, senates, Councils or CUAP. They can therefore be current students or recent (within three years) graduates.

The development of senior student representatives to serve as audit panel members is part of a joint programme of activities between AQA and NZUSA.[20]

[20] http://www.aqa.ac.nz/sites/all/files/signed%20MoU%20AQA%20NZUSA%20July%202017.pdf

4.4 Panel review and assessment: first panel meeting

The self-review report and portfolio are the main sources of evidence for members of audit panels. Panels may also draw on publicly available information and information gained at the site visit.

Audit panels will meet for a two-day initial assessment of the self-review report and portfolio, and again at the site visit. Cycle 6 will have a two-day face-to-face first panel meeting about four weeks after the submission of the self-review portfolio and twelve weeks before the site visit.

Panel members are expected to have considered the self-review materials before the first face-to-face meeting. The Chair may assign lead responsibility for particular sections to individual panel members, but all panel members are expected to have reviewed the self-review report. At this first meeting panel members should seek to identify which guideline statements appear to be met and identify further evidence that may be required to satisfy the panel that guideline statements have been met. These information needs should be signaled to the university in advance.

The first panel meeting is expected to be two full days and the international panel member should attend if possible. One objective of a longer first meeting is to seek to reach conclusions on a number of guideline statements, which will mean less, but more targeted, time at the university and meeting with fewer individuals at the university (Matear, 2018a).

The objectives of the first panel meeting are to:

- ensure that panel members are familiar with the Cycle 6 Audit Framework and its approach to evidence (note: members must have participated in AQA training before the panel meets)
- build relationships between panel members, recognise relative strengths and contributions, and agree ways of working
- share an overall impression of the university, its strategic direction and priorities, quality management processes and its self-review
- note any major circumstances which may affect the university (for example natural disaster recovery, mergers)
- consider the university's response to recommendations in its Cycle 5 Academic Audit (this is likely to be substantially contained in the university's mid-cycle report)
- discuss a preliminary assessment of the self-review report and portfolio including:
    - agreeing on which guideline statements the university has provided evidence that it clearly meets
    - identifying guidelines statements where further evidence is required and, if possible, the type of evidence (note: the panel should identify what is required rather than suggest who it is required from)
    - identifying potential areas for commendation (note: these are to be included in interviews at the site visit)
- suggest questions to be asked at the site visit
- confirm timeframes and other logistical aspects.

A template to help assess the self-review report and portfolio will be provided. Although the assessment of the self-review report and portfolio at this first meeting of the panel is preliminary, it is still expected to be substantive.

The concept of academic risk is explicitly included in the audit framework (GS 5) and implicit in the AQA approach to academic audit. The panel will consider whether academic activities may be at risk of failing, and the chances and seriousness of adverse outcomes.

Between meetings, communication among panel members will be by internet video conference, email and via other electronic collaboration platforms.

4.5 Planning meetings

Two planning meetings between AQA and the university being audited are included in the indicative schedule. The first meeting at 30 weeks before the site visit is to confirm that requirements are clear and to discuss the timeline for the audit. This meeting is with AQA and the university only.

The second meeting includes the chair of the audit panel and takes place at the university. It will include:

- a brief meeting with the Vice-Chancellor to identify any organisational or other issues that the panel should be aware of
- provision of additional information and/or evidence requested by the panel
- discussion of the schedule for the site visit
- arrangements for mihi whakatau, meeting rooms and other logistics and facilities for the site visit, including interview room configuration, waiting areas, catering, administrative support (access to secure printing), building security, health and safety arrangements.

The panel chair might wish to speak to specific people if there are simple points of clarification which can be dealt with that would assist the panel.

AQA will confirm the programme for the site visit with the university the following week.

4.6 Site visit

The site visit (or visits) to the university remains an important component of the overall approach to academic audit. However, it has been streamlined for Cycle 6 to reduce the burden on the university. This does place more emphasis on the provision of a good self-review based on evidence, the panel's assessment of that evidence, and the university's provision of further evidence if required. While information and assessment should be provided and occur before the site visit, universities are dynamic and there are likely to be changes between the development of the self-review and the time of the site visit.

Site visits will normally be three days, with the panel assembling and meeting on the preceding day. An indicative schedule for the site is contained in Table 4 and a more detailed template is contained in Appendix 4.

Table 4 Indicative schedule for site visit

Day	0	1	2	3
Morning		Health and Safety briefing Mihi Whakatau Meetings with Council, VC, senior managers (PVCs/Deans, or equivalent)	Meetings with staff and students (triangulation/ validation questions)	Call-back interviews (if required) Panel meeting
Afternoon	Panel assembles Panel meeting	Senior managers (PVCs/Deans, or equivalent), Student Association Executive cont. (strategic framing) Specific, probe, questions	Meetings with staff and students (triangulation/ validation questions)	Chair preparation for exit meeting Exit meeting with VC and invited staff (3pm)

If a visit to another campus or site is required, this will normally take place before the main site visit. The full panel is unlikely to be required for visits to other sites. This would normally be agreed during the second planning meeting with the university.

Scope needs to be left in the schedule of site visit interviews for emergent issues. If significant, a supplementary visit may be required. This would not be the intent of any change to the audit processes for Cycle 6, which will continue to draw on a mature, constructive and transparent relationship between the university and the panel.

Three types of questions are anticipated in the Cycle 6 site visit:

1. strategic framing questions, typically with the Vice-Chancellor, Council and senior management, to allow the panel to appreciate the strategic context and priorities of the university and how these have shaped their approach to academic audit
2. triangulation or validation questions to allow the panel to confirm that the self-review portfolio is a fair reflection of the reality of the university. These would include interviews (normally in groups of 6-8) with:
    - staff on academic committees
    - heads of departments—including new HoDs
    - professional staff—teaching and learning, student learning, library
    - professional staff—student wellbeing and support (include disabilities)
    - Māori staff
    - Pasifika staff
    - professorial staff
    - academic staff—includes new staff
    - HR and academic staff development
    - postgraduate research students

- undergraduate students
- postgraduate research student office
- academic quality office
- student access, equity, careers, success.

Groups should include a diversity of students and staff from different discipline areas, ethnicities and length of tenure or seniority. Not all universities will use the same titles for departments or units. The above list is intended to specify the types of groups that panels will meet with rather than individuals or specific groups. Not all groups may be included in a single audit.

3. specific probing questions where the panel has insufficient evidence to form a conclusion or has questions. The topics for these interviews should be provided in advance and the university will determine the most appropriate people for the panel to meet with.

While the focus in a session might be on strategic framing, panel members may also take the opportunity to ask validation or probe questions.

Most meetings will take place in the room(s) allocated to the panel. However, it might be appropriate for some meetings to take place elsewhere. A campus tour is not expected.

4.6.1 Privacy and confidentiality

All interview sessions are recorded, usually in writing. Audit panel members sign confidentiality agreements before undertaking the audit. Interviews with staff, students and other stakeholders are treated as confidential for the meeting and interviewees are not identified in reports. Sensitive or confidential information and notes made by panel members are destroyed once the audit report has been published.

4.6.2 Observers

AQA is sometimes approached by another tertiary quality assurance agency with a request for its staff or auditors to observe our audit process. In such instances, the university is asked to give its approval for an observer to be present. To help them understand the process, observers receive a copy of the self-review report, but not necessarily the other portfolio items. Observers will be silent during the audit and will not contribute to the discussion or evaluation. Observers might seek clarification of process from the chair or the AQA Director, in a private discussion. They are bound by the same confidentiality requirements as the audit panel.

4.6.3 Exit meeting with the Vice-Chancellor

The final panel meetings of the site visit should develop an initial draft of the main points to be included in the audit report. These will be conveyed to the Vice-Chancellor during the exit meeting. If there are areas in which the panel has been unable to reach a conclusion, these should also be identified.

4.6.4 Feedback letter to the Vice-Chancellor

At the end of the site visit (or before the exit meeting) the panel chair and the AQA staff member will draft a short letter to the Vice-Chancellor, covering the points made in the exit meeting. This is intended as an indicative statement of the direction of the panel's findings, for use by the Vice-Chancellor in communicating with staff, students and Council. The letter will note that no conclusions are yet final. The letter from AQA should be sent to the Vice-Chancellor within three working days of the end of the site visit.

4.7 Reporting

The audit report presents the panel's findings from the audit, based on the evidence it has considered. A Cycle 6 audit report is a public document and is 'owned' by AQA.[21]

The audit report follows a similar structure to the self-review report. It will comment on each guideline statement and explicitly address each of the university's enhancement initiatives. It should be explicit about how the panel has reached its conclusion (Matear, 2018a). However, audit reports do not attempt to reach an overall summative assessment of the university as the methodology does not support this.

The audit panel's findings comment on the guideline statements, and may include commendations, affirmations or recommendations (Cameron, 2013).

Commendations	refer to examples of exceptionally good practice, or to examples of effective innovative practice, in areas that have resulted or should result in enhancements to academic quality or to processes underpinning academic quality, and that should produce positive impacts on teaching, learning and student experience.
Affirmations	refer to areas the university has already identified in its self-review report or during the site visit as requiring attention, and on which the university has already acted but does not yet have sufficient outcome to evaluate impact. Affirmations are, in effect, a validation by the audit panel that something needs to be done and that the approach taken is likely to be effective.
Recommendations	refer to areas where the audit panel believes the university would benefit from making some improvements or changes. Recommendations alert the university to what the panel believes needs to be addressed, not to how this should be done. The panel may indicate some priority for recommendations by noting a need for action as urgent.

Before the draft report is sent to the university, it must be approved by the AQA Board. The Board's main role is to ensure the audit has been conducted in a fair and robust manner, according to the audit protocol it has approved, and that the conclusions within the report are supported by adequate evidence. Board members have not been privy to the information heard and seen by the panel—their assessment must therefore be based on what they read in the audit report (which, equally, must not be influenced by other information they might have about the university). Board members should be mindful of issues of commercial sensitivity, or risk of potential defamation, and alert the AQA Director if these are a concern.

The report is sent to the university as a confidential draft approximately ten weeks after the site visit. This is an opportunity for the university to check for factual accuracy and to make any comment related to sensitive issues or information. Where the latter occur, some discussion may be needed between the university and AQA as to how an item is reported. Usually the university has two weeks in which to respond to the draft report. The draft submission is not intended to elicit comments on the panel's judgements unless it is determined that the panel based its judgement on

[21] When AQA undertakes an audit or review for an organisation other than a New Zealand university, the ownership of the final report will be agreed as part of the arrangements.

incorrect information. The university may seek clarification to ensure that it and the panel have a shared understanding of the recommendation.

If significant changes are requested by the university, the Board of AQA may need to be consulted again. The panel chair will be advised of any potential changes to the report. Once any errors or changes to the draft have been resolved, AQA will produce the final report, approximately 14 weeks after the site visit.

The report is released under the authorisation of the AQA Board and is published on the AQA website.[22] A limited number of copies of the report will also be printed and distributed to the university being audited, panel members, other universities and key stakeholders.

The date for publication/release of the report (usually 14 weeks after the site visit) will be agreed between AQA and the university. AQA will distribute a press release and advise stakeholders of the report's release.

For AQA, only the Executive Director of AQA and the Chair of the AQA Board are authorised to make any public comment about the audit of a New Zealand university or the audit report.

4.8 Follow-up processes and reporting

While a university's progress in addressing recommendations and progressing its own enhancement initiatives is expected to be ongoing and likely to be incorporated within the university's own planning activities, there are three specific follow-up points following the release of the audit report. Two of these require a report from the university.

4.8.1 One-year report

The first follow-up is a one-year report on the university's response to recommendations and progress on its enhancement initiatives. The university provides a draft follow-up report before a visit to the university by the chair of the audit panel and the AQA Executive Director. The draft report is discussed at the meetings and finalised by the university following the meeting. The one-year report is submitted to the AQA Board for approval, together with a brief report from the AQA Executive Director.

If the university has been unable to act in response to a recommendation, or has chosen not to, then a brief explanation of the reasons for this should be included in this report. If action is planned but implementation has been delayed, then an indicative timeline for a response should be noted.

If the AQA Board is not satisfied with the report, it may ask for further information and may set expectations for further reports on progress.

Following acceptance by the AQA Board, the university will make its one-year report publicly available.

4.8.2 Two-year follow-up

An informal follow-up in in the form of a visit to the university by the AQA Executive Director (or another staff member) will occur about two years after the release of the audit report. This will include a general discussion about academic quality developments and the university will provide an informal update report on audit recommendations and on any developments related to affirmations and commendations.

[22] See note 21.

4.8.3 Mid-cycle report

Mid-cycle reports help maintain continuity and progress over a longer audit cycle and are submitted to the AQA Board for acceptance.

If the AQA Board is not satisfied with the report it may ask for further information and may provide direction for the next audit of the university.

Following acceptance by the AQA Board, the university will make its mid-cycle report publicly available.

4.9 Feedback on audit processes

A review of Cycle 5 processes (Matear, 2018a) indicated there were opportunities to improve feedback on audit processes. AQA will seek feedback throughout the audit process and following the publication of the audit report.

During the audit process, AQA will seek reflexive feedback at specific points, probably associated with panel meetings. Following the publication of the audit report it will seek feedback from the university and from panel members. This feedback should include student perspectives.

Feedback on experiences of audit is reported to the AQA Board. However, AQA will also 'close the loop' with panel members and universities in terms of their feedback.

AQA will discuss with universities how best to gain feedback on audit follow-up processes.

4.10 Appeals

Appeals are governed by AQA Policy P7 Reviews and Appeals.

An appeal against the content of an audit report may be lodged on grounds of a failure of audit process or where it is considered that a conclusion is not adequately supported by evidence. An appeal is lodged only after efforts have been made to resolve the matter directly with AQA.

The process follows two steps: initially a review by the Board of AQA and, if that does not resolve the matter, then an independent appeal investigation convened by Universities New Zealand. A university considering making an appeal should request a copy of the appeals policy from AQA or from Universities New Zealand.

An appeal must be lodged before the audit report is published and should be lodged, or notice given of an appeal to be lodged, within ten working days of the university receiving the final report.

4.11 Logistics

AQA is responsible for the logistics of the audit. For the site visit, it will work with the university to ensure that appropriate space and facilities are available for the audit panel.

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6 Appendix 1: Questions, Resources and Examples

This appendix is intended as a guide only. It does not prescribe approaches to or requirements for addressing guideline statements. It contains examples of questions that universities might ask themselves (and answer) during its self-review activities and questions that audit panels might ask for each guideline statement.

For all guideline statements, universities and panels might ask:

- What are the university's objectives with respect to this guideline statement and are these objectives commensurate with international good practice?
- How well is it achieving its objectives?
- How does it know or assess this (ie, what evidence is being used)?
- What improvements (enhancement initiatives or recommendations) should be considered?

The appendix also contains links to resources relevant to guideline statements, including research papers, projects and practice examples.

Quality assurance bodies in other jurisdictions develop and maintain a series of advice and guidance statements likely to be useful. Links to specific topics are provided in this appendix. Overviews of available advice, guidance statements and other resources can be found at:

- UK Advice and Guidance—https://www.qaa.ac.uk/quality-code/advice-and-guidance
- UK Supporting Resources—https://www.qaa.ac.uk/quality-code/supporting-resources
- Australia—https://www.teqsa.gov.au/about-us/publications

This appendix is presented with each guideline statement beginning on a new page for ease of use.

This appendix will be updated in later print editions and online. Recommendations and suggestions for further useful resources are welcomed.

GS 1 Planning and reporting: The university gathers and uses appropriate and valid data and information to establish objectives, plan, assess progress and make improvements in its teaching and learning activities.

Questions universities and panels might ask:

- What planning and/or quality frameworks are used? Is their effectiveness assessed?
- How are data on teaching and learning collected and managed?
- What are the key indicators used to assess performance of teaching and learning?
- What are the trends in key indicators?
- What plans guide teaching and learning activities?
- How are data made available to teaching staff?
- How is progress and improvement in teaching and learning assessed?

Resources:

- QAA Scotland 'Evidence for Enhancement' enhancement theme. See https://www.enhancementthemes.ac.uk/current-enhancement-theme
- Enhancement Theme and QAA have also produced a Guide to assist students in using evidence. See https://www.enhancementthemes.ac.uk/current-enhancement-theme/student-engagement-and-demographics/students-using-evidence
- Australasian Association for Institutional Research. See http://aair.org.au/
- Data on WONKHE. See https://wonkhe.com/tag/data/
- AQA Working paper – Evidence for Cycle 6 Academic Audit. See https://www.aqa.ac.nz/node/291
- Kinash and Judd (2018) have analysed the teaching and learning goals and plans of Australian universities. See http://www.herdsa.org.au/publications/conference-proceedings/research-and-development-higher-education-re-valuing-higher-10
- The Institute for Higher Education Policy has developed a series of recommendations for data-use to promote student success and equity. See http://www.ihep.org/research/publications/informing-improvement-recommendations-enhancing-accreditor-data-use-promote

GS 2 Student voice: Improved outcomes for students are enabled through engaging with the student voice in quality assurance processes at all levels, and this is communicated to students.

Questions universities and panels might ask:

- What policy or frameworks set objectives for student voice?
- What mechanisms, tools or approaches are used to access student voice?
- How is the effectiveness of student voice assessed?
- How has student voice contributed to improved outcomes for students? Does this apply to all students or specific groups?
- How are improvements communicated to students?
- How well does the student voice reflect diversity and inclusiveness?

Resources:

- Work by the student partnership in quality Scotland (sparqs). See https://www.sparqs.ac.uk/
- QAA Advice and guidance on student engagement. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/student-engagement
- The student voice: developing principles of practice. See https://www.enhancementthemes.ac.uk/docs/ethemes/evidence-for-enhancement/the-student-voice-developing-principles-of-practice.pdf?sfvrsn=d1a9fe81_10.
- The International Journal for Students as Partners. See https://mulpress.mcmaster.ca/ijsap
- Principles for a National Framework for Student Partnership in University Decision-Making and Governance. See http://studentvoiceaustralia.com/wp-content/uploads/2017/10/Creating-a-National-Framework-for-Student-Partnership-in-University-Decision171017.pdf
- An analysis of provider submissions in the UK's Teaching Excellence Framework (Beech, 2017) identified 'Co-creation' as a theme. See https://www.hepi.ac.uk/2017/10/19/going-gold-lessons-tef-provider-submissions/.
- A Practical guide to scaling up student-staff partnership in higher education. See http://www.docs.hss.ed.ac.uk/iad/Learning_teaching/Academic_teaching/Resources/Student_Engagement/MercerMapstoneMarie_Practical%20Guide_Scaling_up_student-staff_partnership.pdf

GS 3 Teaching and learning environments: Teaching and learning activities are supported by appropriate learning environments (infrastructure, spaces, media, facilities and resources).

Questions universities and panels might ask:

- What plans are associated with the development of teaching and learning environments? How are these developed and reported against?
- How does the university reflect pedagogical developments in its learning environments?
- How is the appropriateness and effectiveness of teaching and learning environments monitored?
- Does this monitoring reflect all students, all staff and all sorts of teaching delivery?

Resources:

- Oblinger, D. G. (Ed.) (20016). Learning Spaces. Educause. Retrieved from https://www.educause.edu/research-and-publications/books/learning-spaces
- Journal of Learning Spaces. See http://libjournal.uncg.edu/jls
- OECD (2013), Innovative Learning Environments, Educational Research and Innovation, OECD Publishing. http://dx.doi.org/10.1787/9789264203488-en
- e-Learning in Tertiary Education: Highlights from Ako Aotearoa projects (2016). See https://ako.ac.nz/assets/reports/Synthesis-reports/8d322345cb/SYNTHESIS-REPORT-e-Learning-in-tertiary-Education-Highlights-from-Ako-Aotearoa-supported-research.pdf
- AdvanceHE (2019) collected case studies on Future learning spaces: space, technology and pedagogy. See https://www.heacademy.ac.uk/knowledge-hub/future-learning-spaces-space-technology-and-pedagogy
- In Australiasia, Acode provides an introduction to learning spaces. See https://www.acode.edu.au/course/view.php?id=28&section=1

GS 4 Academic delegations: Academic delegations support consistent and effective decision-making and accountability for teaching and learning quality and research supervision.

Questions universities and panels might ask:

- How are delegations set?
- Where are delegations recorded?
- How are delegations advised?
- How are delegations reported?
- How are delegations monitored and reviewed?
- How does the university know if delegations are effective?
- Are delegations effective across the whole university?
- How is consistency and equity of decision-making monitored?

Resources:

- https://www.hes.edu.au/sites/default/files/uploaded-content/website-content/Images/Documents/2018-TEQSAHEQ/PresentationPDF/Savoy2/11.00am_winchester_pienaar_pptx_presentation.pdf

GS 5 Academic risk management: Potential disruption to the quality and continuity of learning and teaching at the university, including risks to infrastructure, is mitigated through effective risk management processes.

Questions universities and panels might ask:

- What academic risks are included in university risk registers?
- How are academic risks reviewed?
- How is preparedness for responding to academic risks tested?
- Do academic risks reflect all students, all staff who teach or supervise or support teaching or supervision and all delivery?

Resources:

- Daniel, Sir J. (2016). Advisory Statement for Effective International Practice Combatting Corruption and Enhancing Integrity: A Contemporary Challenge for the Quality and Credibility of Higher Education. 2016 United Nations Educational, Scientific and Cultural Organization and Council for Higher Education Accreditation. Retrieved from https://eadtu.eu/images/publicaties/Advisory_Statement_Corruption-Eng.pdf
- Current work with respect to academic risk in Australia asks whether academic boards or university senates consider academic risk registers. See https://www.hes.edu.au/sites/default/files/uploaded-content/website-content/Images/Documents/2018-TEQSAHEQ/PresentationPDF/Savoy2/11.00am_winchester_pienaar_pptx_presentation.pdf

GS 6 Progress on the Enhancement Theme (Māori students): The university has achieved the objectives in its enhancement theme plan with respect to Māori students and successful practice has been embedded and is sustainable.

Questions universities and panels might ask:

- What did the university achieve with respect to its enhancement theme objectives?
- How was progress assessed?
- How was the success of enhancement theme programmes or initiatives evaluated?
- Were successful initiatives scaled or shared within the university? How did this happen?
- What has changed for Māori students since the start of Cycle 6?
- How have access and achievement rates for Māori students changed since the start of the enhancement theme? (Note: 2016 is taken to be the base year for data comparisons.)
- How do access and achievement rates for Māori students compare with those for non-Māori students?
- How has the university shared good practice on initiatives and practices that support parity of access and achievement for Māori students?
- How has student voice contributed to the development and achievement of the university's enhancement theme objectives?

Resources

- New Zealand universities enhancement theme information and resources. See https://www.aqa.ac.nz/enhancement_theme
- Te Pōkai Tara – Building Māori success. See https://www.universitiesnz.ac.nz/sector-research-issues-facts-and-stats/building-ma%CC%84ori-and-pasifika-success/building-m%C4%81ori-success
- Ngā Here Mātauranga. See https://www.ngaherematauranga.com/
- Scottish Enhancement Themes. See https://www.enhancementthemes.ac.uk/

GS 7 Progress on the Enhancement Theme (Pasifika students): The university has achieved the objectives in its enhancement theme plan with respect to Pasifika students and successful practice has been embedded and is sustainable.

Questions universities and panels might ask:

- What did the university achieve with respect to its enhancement theme objectives?
- How was progress assessed?
- How was the success of enhancement theme programmes or initiatives evaluated?
- Were successful initiatives scaled or shared within the university? How did this happen?
- What has changed for Pasifika students since the start of Cycle 6?
- How have access and achievement rates for Pasifika students changed since the start of the enhancement theme? (Note: 2016 is taken to be the base year for data comparisons.)
- How do access and achievement rates for Pasifika students compare with those for non-Pasifika students?
- How has the university shared good practice on initiatives and practices that support parity of access and achievement for Pasifika students?
- How has student voice contributed to the development and achievement of the university's enhancement theme objectives?

Resources

- New Zealand universities enhancement theme information and resources. See https://www.aqa.ac.nz/enhancement_theme
- Te Pōkai Tara – Building Pasifika Success. See https://www.universitiesnz.ac.nz/sector-research-issues-facts-and-stats/building-ma%CC%84ori-and-pasifika-success/building-pasifika
- Scottish Enhancement Themes. See https://www.enhancementthemes.ac.uk/

GS 8 Access: Access to university, including through recognition of prior learning and credit transfer pathways, is consistent, equitable and transparent for students

Questions universities and panels might ask:

- What strategies or plans direct access to the university?
- What policies and information are available for students?
- What objectives does the university have for priority groups of students?
- Is the university reaching its objectives?
- How does the university assess equity?
- How effective is the university's use of prior learning and credit transfer? Is this changing?
- What does student feedback say about access? Is this available for all students, including students with disabilities?

Resources:

There are considerable bodies of research, evidence and practice on access to university or, more broadly, higher education generally and for diverse groups of learners. Examples include:

- A 2017 ENQA overview of academic recognition among QA agencies. See https://enqa.eu/indirme/papers-and-reports/occasional-papers/Current%20practices%20on%20EQA%20of%20academic%20recognition%20among%20QA%20agencies.pdf.
- The Scottish Universities' Student Transitions Enhancement Theme (2014-2017) which includes application and pre-entry guidance, pathway colleges, equality/diversity transitions, schools and widening access in its pre-university stage. See https://www.studenttransitionmap.uk/#!/home.
- A TEQSA Guidance note on credit and recognition of prior learning. See https://www.teqsa.gov.au/for-providers/resources/guidance-note-credit-and-recognition-prior-learning.
- The QAA Advice and Guidance on Admissions, Recruitment and Widening Access. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/admissions-recruitment-and-widening-access.
- Work by the Australian National Centre for Student Equity in Higher Education. See https://www.ncsehe.edu.au/.
- OECD comparative analysis and trends in academic resilience of 15-year olds (and their consequent preparedness for university study). See https://www.oecd-ilibrary.org/education/academic-resilience_e22490ac-en

GS 9 Transitions: Transitions for students are supported at all levels of university study, including transitions beyond study and/or to employment, and students are well-equipped to contribute in their chosen fields, and more broadly to the economy and society.

Questions universities and panels might ask:

- How does the university track transitions, including for specific groups of students?
- What information does the university track about employment and other destinations of graduates?
- How does the university know that graduate outcomes have been achieved? Does it know this for all students?
- What other stakeholders does the university seek feedback from?

Resources:

Retention and transitions

- Transitions pedagogy work by Sally Kift. See http://transitionpedagogy.com/
- A 2018 Australian Higher Education Standards Panel report on Improving retention, completion and success in higher education. See https://www.education.gov.au/news/release-final-report-improving-retention-completion-and-success-higher-education
- The Scottish Universities' Student Transitions Enhancement Theme (2014-2017. See https://www.enhancementthemes.ac.uk/completed-enhancement-themes/student-transitions

Post-study transitions, graduate skills and graduate outcomes

- The graduate longitudinal study New Zealand. See https://www.glsnz.org.nz/ A QAA Scotland 'Focus-on' project on graduate skills. See https://www.qaa.ac.uk/scotland/en/focus-on/graduate-skills
- Commentary and links to graduate outcomes reports in the January 2018 AIIR newsletter. See http://aair.org.au/wp-content/uploads/2018/01/2018-01-AAIR-Newsletter-January.pdf
- Geoff Scott's FlipCurric work. See http://flipcurric.edu.au/
- QAA UK Guidance on Enterprise and Entrepreneurship Education which recognises that entrepreneurship is also a successful graduate transition. See https://www.qaa.ac.uk/docs/qaas/enhancement-and-development/enterprise-and-entrpreneurship-education-2018.pdf?sfvrsn=15f1f981_8.
- Surveys of employer perspectives such as the Australian QILT Employer Survey. See https://www.qilt.edu.au/about-this-site/employer-satisfaction.

GS 10 Academic advice: Student achievement is supported through consistent and clear academic advice, including course/paper information and programme planning, and guidance for students on completion of requirements.

Questions universities and panels might ask:

- How do students access academic advice?
- How do students view academic advice?
- Do differences exist between groups of students?
- Is academic advice consistent and equitable across the university?
- Has the university reviewed how academic advice is provided? Were any changes made?

Resources:

- Case study of changes to advising strategy and practice. See https://www.aacu.org/publications-research/periodicals/establishing-effective-advising-practices-influence-student
- Integrated planning and advising for student success (iPASS). See https://library.educause.edu/topics/information-technology-management-and-leadership/integrated-planning-and-advising-for-student-success-ipass
- BCG and NASPA (2019) Report on advising. See https://www.bcg.com/publications/2019/turning-more-tassels.aspx

GS 11 Academic complaints, appeals and grievances: Academic complaints, appeals and grievances are addressed consistently and equitably. Where appropriate, outcomes of these processes inform improvements.

Questions universities and panels might ask:

- How are complaints and grievances addressed?
- How do students perceive the experience of grievances and appeals?
- How does the university ensure that students' experience is equitable across the university?
- How does the university monitor and report trends in academic complaints, appeals and grievances?
- Does the university use these processes to inform improvements?

Resources:

- QAA advice and guidance on concerns, complaints and appeals. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/concerns-complaints-and-appeals
- TEQSA Guidance note on grievance and complaint handling. See https://www.teqsa.gov.au/for-providers/resources/guidance-note-grievance-and-complaint-handling

GS 12 Learning support: Students have timely and equitable access to appropriate learning support services.

Questions universities and panels might ask:

- How is access to learning support services monitored and reported?
- Is learning support tailored to the needs of different groups of students?
- How is equity of access monitored and reviewed?
- How is student feedback sought and used?
- Does student feedback reflect all students?

Resources:

- QAA Advice and Guidance on enabling student achievement. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/enabling-student-achievement.

GS 13 Safety and wellbeing: Student wellbeing is supported through the provision of appropriate pastoral and social support services in safe and inclusive environments.

Questions universities and panels might ask:

- How are student perceptions of pastoral and social support services monitored and reported?
- How are student perceptions of safe and inclusive environments monitored and reported?
- Do student perceptions reflect the diversity of students at the university?
- How does the university assess effectiveness of service provision?
- What reviews of wellbeing, pastoral and social support, and safe and inclusive environments have been undertaken? How have the findings of any such review been used?

Resources:

- Work underway through Universities New Zealand on wellbeing and sexual violence may contribute to the guideline statement. Other initiatives and approaches were presented at the Australian Mental Health and Higher Education conference. See https://www.jcu.edu.au/amhhec.
- Australia—TEQSA Guidance note on wellbeing and safety. See https://www.teqsa.gov.au/latest-news/publications/guidance-note-wellbeing-and-safety

International approaches

- NZUSA http://www.students.org.nz/mentalhealth
- NAPSA https://www.naspa.org/events/2018scmh
- UniversitiesUK http://www.universitiesuk.ac.uk/news/Pages/New-framework-for-universities-to-help-improve-student-mental-health.aspx
- Australia https://www.humanrights.gov.au/our-work/sex-discrimination/publications/change-course-national-report-sexual-assault-and-sexual and the higher education sector response https://www.teqsa.gov.au/latest-news/publications/report-minister-education-higher-education-sector-response-issue-sexual
- USA https://en.wikipedia.org/wiki/White_House_Task_Force_to_Protect_Students_from_Sexual_Assault

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

Questions universities and panels might ask:

- How are programme standards ensured across the university?
- How do processes for programme standards and relevance take account of different models of delivery?
- How does the university seek and respond to stakeholder input?
- How does the university know that its processes for programme approval and establishing programme standards are effective?

Resources:

- QAA Advice and guidance on course design and development. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/course-design-and-development
- The Ontario Universities Council on Quality Assurance Protocol for New Programme Approvals. See http://oucqa.ca/framework/2-protocol-for-new-program-approvals/
- TEQSA Guidance Note: Course design (including learning outcomes and assessment). See https://www.teqsa.gov.au/latest-news/publications/guidance-note-course-design-including-learning-outcomes-and-assessment
- AdvanceHE case study on strategic curriculum and pedagogic redesign. See https://www.heacademy.ac.uk/knowledge-hub/university-hull-curriculum-change-methodology-and-metrics-strategic-excellence

GS 15 Course/paper and programme monitoring: The quality of academic programmes and courses/papers is assured and enhanced through ongoing monitoring and academic management.

Questions universities and panels might ask:

- What quality monitoring processes does the university utilise?
- How does the university ensure that the quality of all programmes and courses/papers is monitored?
- What mechanisms does the university employ for learning from programme and course/paper monitoring activities?

Resources:

Examples of advice and guidance on monitoring include:

- QAA advice and guidance on monitoring and evaluation. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/monitoring-and-evaluation.

GS 16 Review: Curriculum relevance and quality is assured and enhanced through regular reviews of programmes and courses/papers and which include input from students, staff and other stakeholders.

Questions universities and panels might ask:

- How does the university ensure that curricula are relevant and of high quality?
- How do programme reviews take account of different forms of delivery?
- How do programme reviews seek and respond to stakeholder input?
- How does the university respond to programme reviews?
- Does the university seek to synthesise programme reviews or identify issues common to multiple reviews?

Resources:

- In the UK, subject benchmark statements set out expectations of discipline or programme areas. See https://www.qaa.ac.uk/quality-code/subject-benchmark-statements
- Other discipline areas have developed threshold learning outcomes. See, for example, https://ltr.edu.au/resources/ID13_2982_Acuna_Guide_2016.pdf
- Tuning projects. See http://tuningacademy.org/
- TEQSA Guidance Note: External referencing (including benchmarking). See https://www.teqsa.gov.au/latest-news/publications/guidance-note-external-referencing-including-benchmarking
- The Peer Review Portal has links to a number of review resources. See https://peerreviewportal.freshdesk.com/support/home

GS 17 Graduate profile: Students are aware of and have the opportunity to achieve the intended attributes in graduate profiles and course/paper learning outcomes.

Questions universities and panels might ask:

- What use does the university make of graduate profiles?
- Are students aware of and do they use graduate profiles?
- How does the university ensure that all students can achieve or attain graduate profile attributes?
- How does the university ensure that all students can achieve or attain course/paper learning outcomes?

Resources:

- An 'Embedding Employability Exchange Initiative' is led out of Australia but includes participation from some New Zealand universities. See https://www.hes.edu.au/embedding-employability-exchange-initiative
- A QAA-Scotland 'Focus on' project on embedding graduate skills into curricula. See https://www.qaa.ac.uk/scotland/en/focus-on/graduate-skills.
- Geoff Scott's FlipCurric Professional capability framework for graduates. See http://flipcurric.edu.au/about-143/about/using-the-guide-and-getting-started
- AdvanceHE Framework for embedding employability in higher education. See https://www.heacademy.ac.uk/knowledge-hub/framework-embedding-employability-higher-education
- Final report from the 'Hunters and Gatherers' OLT project on strategies for curriculum mapping and data collection for assuring learning. See https://ro.uow.edu.au/cgi/viewcontent.cgi?article=1000&context=hgreport
- CHEA report on Accreditation and student learning outcomes. See https://www.chea.org/accreditation-and-student-learning-outcomes-perspectives-accrediting-organizations

GS 18 Assessment: Assessment is appropriate and effective.

Questions universities and panels might ask:

- How does the university know assessment is appropriate and effective?
- Does the university seek student views in considering whether assessment is appropriate and effective?
- Is the effectiveness and appropriateness of assessment evaluated across the university and for all forms of delivery?
- What strategy or framework guides the development and use of assessment?
- Is this strategy or framework used across the university and for all forms of delivery?
- Does the university undertake reviews of assessment and how are these used?

Resources:

- The QAA UK Quality Code Advice and Guidance on Assessment. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/assessment
- TEQSA Guidance Note: Course design (including learning outcomes and assessment). See https://www.teqsa.gov.au/latest-news/publications/guidance-note-course-design-including-learning-outcomes-and-assessment
- A TLRI project from 2009 includes quality assurance and accountability dimensions in providing guidance for tertiary institutions developing assessment policy. See http://www.tlri.org.nz/tlri-research/research-completed/post-school-sector/valid-and-practical-tertiary-assessment-student
- Peer Review Portal Review of Assessment. See https://peerreviewportal.freshdesk.com/support/solutions/articles/35000087895-review-of-assessment-external-referencing-slideshow

GS 19 Assessment standards: Assessment and outcome standards are appropriately set and moderated.

Questions universities and panels might ask:

- What policy or strategy guides requirements for external referencing, moderation and/or external referencing of outcome standards?

- How does the university know its requirements for external referencing, moderation and/or external referencing of outcome standards are met across the university and for all forms of delivery?

- How does the university know its assessment standards are nationally or internationally appropriate?

- How does the university report on moderation activities across the university?

Resources:

Considerable attention in other jurisdictions is being paid to assuring that assessment and outcome standards are appropriate. In Australia, attention has focused on the need for institutions to undertake external referencing and a portal has been developed to facilitate peer review of assessment:

- TEQSA guidance on external referencing—see https://www.teqsa.gov.au/latest-news/publications/guidance-note-external-referencing-including-benchmarking.

- A fact sheet for the peer review portal is available at http://www.utas.edu.au/__data/assets/pdf_file/0007/986119/Peer-Review-Portal-FAQ-Sheet.pdf.

In the UK, recent attention on assessment standards has included concerns about grade inflation and degree classification as well as advice and guidance on external expertise:

- https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/degree-classification.aspx

- https://www.qaa.ac.uk/quality-code/advice-and-guidance/external-expertise

- The degree standards project in the UK includes work on the calibration of standards. See https://www.heacademy.ac.uk/degree-standards

In New Zealand, the 2018 Quality Forum discussed moderation and confidence around outcome standards and equivalences:

- https://www.aqa.ac.nz/sites/all/files/AQA_Quality_Forum_2018_Summary_Report.pdf.

GS 20 Academic integrity: Universities promote and ensure academic integrity, and demonstrate fairness, equity and consistency in addressing concerns.

Questions universities and panels might ask:

- How do all parts of the university remain abreast of the full range of risks to academic integrity?
- How are expectations of academic integrity promoted across the university and across all forms of delivery?
- How is advice provided to all parts of the university on preventing and responding to failures of academic integrity?
- How does the university ensure fairness, equity and consistency in its management of academic integrity?
- What reviews of academic integrity has the university undertaken and how has it responded to any such reviews?

Resources:

Considerable attention is being paid to academic integrity globally and several jurisdictions have issued guidance statements or advisory notes on a range of topics:

- UNESCO, IIEP and CHEA Advisory Statement on combatting corruption and enhancing integrity. See https://www.chea.org/userfiles/PDFs/advisory-statement-unesco-iiep.pdf.
- TEQSA 2017 Guidance note on academic integrity. See https://www.teqsa.gov.au/latest-news/publications/guidance-note-academic-integrity.
- TEQSA Good Practice Note on Addressing contract cheating. See https://www.teqsa.gov.au/latest-news/publications/good-practice-note-addressing-contract-cheating-safeguard-academic.
- QAA advice on addressing contract cheating. See https://www.qaa.ac.uk/docs/qaa/quality-code/contracting-to-cheat-in-higher-education.pdf?sfvrsn=f66af681_8.
- NZQA guide to effective practice in preventing and detecting academic fraud. See https://www.nzqa.govt.nz/providers-partners/assessment-and-moderation-of-standards/preventing-detecting-academic-fraud/.
- Resources from TEQSA workshops on academic integrity held in New Zealand in February 2020 are available on the AQA website. See https://www.aqa.ac.nz/sites/all/files/NZ%20TEQSA%20Academic%20Integrity%20Project%20workshop%20NZ%20Feb2020.pdf

GS 21 Assessment in te reo Māori: Assessment in te reo Māori, where appropriate, is facilitated by the university.

Questions universities and panels might ask:

- How does the university facilitate assessment in te reo Māori?

- What trends in assessment in te reo Māori has the university identified and how has it responded to these trends?

- What reviews of assessment in te reo Māori has the university undertaken and how has it responded to any such reviews?

Resources:

- The Te Kāhui Amokura Strategic Workplan workstream on revitalising te reo Māori is relevant to this guideline statement. See https://www.universitiesnz.ac.nz/sites/default/files/uni-nz/FINAL%20201511%20TKA%20Work%20Plan%20Summary%20-%20Fi%20Contact%20Details%20%281%29.pdf

GS 22 Staff recruitment: All staff who teach or supervise, or support teaching or supervision, are appropriately qualified and experienced (including in research as appropriate to role) upon appointment.

Questions universities and panels might ask:

- What are the university's expectations of qualifications and experience for new staff who undertake or support teaching or supervision?

- In what ways do recruitment processes address whether staff are appropriately qualified for the level(s) at which they will be teaching?

- How does the university ensure these processes include all staff who undertake or support teaching or supervision?

- In what ways does the university monitor and report on the effectiveness of its recruitment and appointment processes for staff who undertake or support teaching or supervision?

Resources:

- The Learning and Teaching Guidance for the UK Quality Code includes advice on staff qualifications. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/learning-and-teaching

- TEQSA (2019) Guidance Note on Workforce planning. See https://www.teqsa.gov.au/latest-news/publications/guidance-note-workforce-planning

GS 23 Induction and ongoing expectations: New staff who teach or supervise, or support teaching or supervision, become familiar with academic policies and expectations of the university through effective induction processes and the university has processes to enable all staff to maintain currency with academic policies and expectations.

Questions universities and panels might ask:

- In what ways do the university's induction processes enable staff who undertake or support teaching or supervision to become familiar with academic policies and expectations?

- In what ways does the university enable all staff who undertake or support teaching or supervision to maintain currency with academic policies and expectations?

- Does the university pay particular attention to specific groups of staff who undertake or support teaching or supervision, in terms of becoming familiar and maintaining currency with academic policies and expectations?

- How does the university monitor and report on the effectiveness of induction processes in ensuring all staff who undertake or support teaching or supervision are familiar with academic policies and expectations, and maintain currency?

- Has the university reviewed the effectiveness of its induction processes and how has it responded to any such reviews?

Resources:

- There are bodies of research and good practice with respect to new academic staff. An Ako Aotearoa report by Sutherland and Petersen (2009) examines success and impact factors for early career academics. See https://ako.ac.nz/assets/Knowledge-centre/RHPF-c03-The-success-and-impact-of-early-career-academics/6bfd233ac6/RESEARCH-REPORT-The-Success-and-Impact-of-Early-Career-Academics.pdf

- Yasukawa and Dados (2018) consider the extent of casualisation in Australian universities. See http://www.herdsa.org.au/publications/conference-proceedings/research-and-development-higher-education-re-valuing-higher-23

- The Council of Council of Australasian University Leaders in Learning and Teaching have developed a national learning and teaching induction programme as a MOOC. See https://www.caullt.edu.au/project/a-national-learning-and-teaching-induction-program/

GS 24 Teaching development: Staff who teach or supervise, or support teaching or supervision, are supported to take up opportunities to develop their practice, including the use of innovative pedagogy and new technologies.

Questions universities and panels might ask:

- In what ways does the university support staff who undertake or support teaching or supervision to take up opportunities to develop their practice?

- How does the university ensure that this support is available to all staff and for all forms of delivery?

- Does the university pay particular attention to specific groups of staff who undertake or support teaching or supervision in terms of supporting opportunities to develop their practice?

- How does the university monitor and report on the effectiveness of its support for staff to take opportunities to develop their teaching practice?

- How does the university monitor and report on the development of teaching or supervision practice that is occurring?

Resources:

- There are bodies of research (see, for example, the International Journal of Academic Development at https://www.tandfonline.com/toc/rija20/current) and good practice with respect to teaching development, as well as professional associations (see, for example, the Council of Australasian University Leaders in Learning and Teaching at https://www.caullt.edu.au/) and centres including Ako Aotearoa. See https://ako.ac.nz/

- The New Zealand Council for Educational Research (NZCER) published an article on culturally responsive pedagogies. See https://www.nzcer.org.nz/system/files/journals/set/downloads/2018_1_003_1.pdf

- A 2017 synthesis report of Ako Aotearoa projects highlights the importance of Māori pedagogical approaches in Māori learner success. See https://ako.ac.nz/assets/reports/Synthesis-reports/fa37e45e36/SYNTHESIS-REPORT-Maori-learner-success-in-tertiary-education-Highlights-from-Ako-Aotearoa-supported-research-projects.pdf

- A 2013 UK report outlines new flexible pedagogies. See https://www.heacademy.ac.uk/system/files/resources/npi_report.pdf

- Acode is the peak Australasian organisation for technology-enhanced teaching and learning. See https://www.acode.edu.au/

GS 25 Teaching quality: The quality of all teaching is appropriate and is enhanced by feedback and other processes. Quality shortfalls are addressed proactively, constructively and consistently.

Questions universities and panels might ask:

- In what ways does the university assess that all teaching is appropriate?
- How does the university monitor, report and respond to its assessments of teaching quality?
- What feedback and other processes does the university use to enhance teaching?
- Are there specific groups of teachers or supervisors, students or forms of delivery that the university pays particular attention to?
- Who is responsible for addressing shortfalls in teaching quality?
- How does the university monitor, report and respond to shortfalls in teaching quality?

Resources:

As with other guideline statements in this section, there are extensive bodies of research and professional practice with respect to teaching quality.

- An AQA thematic note summarises the multi-faceted nature of teaching in New Zealand universities. See https://www.aqa.ac.nz/sites/all/files/Thematic%20notes%20Teaching%20quality%20and%20teaching%20excellence_0.pdf
- Recent attention in New Zealand and elsewhere has been on whether 'professional teaching standards' might be valuable in demonstrating teaching quality. See, for example, the UK Professional Standards Framework https://www.heacademy.ac.uk/ukpsf
- A framework developed by Western Australian universities to help clarify what constitutes and provide evidence for quality teaching. See http://uniteachingcriteria.edu.au/.
- The blasst project in Australia developed a standards framework for sessional staff. See http://blasst.edu.au/docs/BLASST_framework_WEB.pdf.
- Ako Aotearoa's 2018 strategic agenda identifies capability building through professional standards as an objective. See https://ako.ac.nz/assets/reports/3ae3181bab/Ako-Aotearoa-Shared-strategic-agenda.pdf.
- An Ako Aotearoa synthesis of recent work on professional standards for tertiary teachers. See https://ako.ac.nz/knowledge-centre/synthesis-reports/professional-standards-for-tertiary-teachers/

GS 26 Teaching recognition: High-quality teaching is recognised and rewarded.

Questions universities and panels might ask:

- In what ways does the university recognise and reward high-quality teaching?
- Who is responsible for the recognition and reward of high-quality teaching?
- How does recognition of high-quality teaching reflect different forms of delivery and different groups of staff?
- How does the university monitor and report on recognition of high-quality teaching?
- Does the university assess whether recognition of high-quality teaching leads to dissemination of good practice or other quality gains? How is this reported and responded to?

Resources:

- AdvanceHE case studies of strategies to embed reward and recognition into academic career development. See https://www.heacademy.ac.uk/knowledge-hub/universities-hr-strategic-enhancement-project
- Ngā Whakawhiwhinga Whaako New Zealand Teaching Excellence Awards. See https://ako.ac.nz/about-us/our-work/teaching-awards/
- Case studies from a UK/Australia project on "processes, policies and practices with regard to promotion, reward and recognition" are available at https://www.heacademy.ac.uk/knowledge-hub/promotion-process-and-policy-ppp

GS 27 Supervision quality: The quality of postgraduate research supervision is ensured.

Questions universities and panels might ask:

- In what ways does the university consider training and experience in the appointment of supervisors for all postgraduate research students?
- How does the university seek and respond to feedback from new or inexperienced supervisors?
- How does the university seek and respond to feedback from all postgraduate research students on the quality of their supervision?
- Are there groups of students that the university pays particular attention to?
- How does the university monitor and report on the quality of postgraduate research supervision across the university?
- Has the university undertaken any review of supervision quality and how has it responded to any such reviews?

Resources:

- The QAA Quality Code (2018) provides Advice and Guidance for research degrees. See https://www.qaa.ac.uk/en/quality-code/advice-and-guidance/research-degrees
- TEQSA (2018) has a guidance note for research and research training. See https://www.teqsa.gov.au/sites/default/files/guidance-note-research-and-research-training-v1-3_0.pdf?v=1530748445
- The Australian Council of Graduate Research has developed principles and guidelines for postgraduate research supervision. See https://www.acgr.edu.au/good-practice/graduate-research-good-practice-principles/
- A compilation of supervisor development and supervisor development resources is available on the fIRST website. See http://pandora.nla.gov.au/pan/154852/20151105-1443/first.edu.au/indexcc8a.html?page_id=61
- ORPHEUS-MED focuses on good practices for PhD 'training' in biomedicine and health sciences. See http://orpheus-med.org/
- Ngā Pae o te Māramatanga have good practice guidelines for supervising Māori postgraduate students. See http://www.maramatanga.co.nz/project/good-practice-guidelines-supervising-m-ori-postgraduate-students

GS 28 Resourcing of postgraduate research students: Postgraduate research students are appropriately resourced and supported to undertake their research.

Questions universities and panels might ask:

- How does the university monitor and report on resourcing and support of postgraduate research students?
- Who is responsible for ensuring that postgraduate research students are appropriately resourced across the university?
- How are expectations and guidelines for appropriate resourcing and support for postgraduate research student set, monitored and reported?
- In what ways does the university seek and respond to feedback on the appropriateness of resourcing and support for postgraduate research students?
- What resourcing and support objectives does the university have for priority groups of postgraduate research students?

Resources:

- The Quality in Postgraduate Research conferences include papers on resourcing and support for postgraduate research students. See http://www.qpr.edu.au/
- A suite of 'respectful research training resources' is scheduled to be launched publicly by the ACGR in early May 2019. See https://www.acgr.edu.au/acgr-to-release-new-suite-of-respectful-research-training-resources/
- A 2018 Ako Aotearoa national project report examined the experiences of early career Māori doctoral students. See https://ako.ac.nz/assets/Knowledge-centre/NPF-15-009-He-Tatau-o-Kahukura/c89aadd7c5/REPORT-Te-Tatua-o-Kahukura.pdf
- A 2019 Higher Education Research and Development paper examines the "contribution of the doctoral education environment to PhD candidates' mental health". See https://www.tandfonline.com/doi/pdf/10.1080/07294360.2018.1556620?needAccess=true
- Deshpande (2017) has examined best practices for support of online postgraduate research students. See https://journals.sagepub.com/doi/10.1177/2347631116681211

GS 29 Postgraduate research student progress: Student progress and achievement is monitored and supported through consistent and clear academic advice, and guidance for students on completion of requirements.

Questions universities and panels might ask:

- How are expectations and guidelines for postgraduate research student progress set, monitored and reported?
- How is advice for postgraduate research student progress developed and communicated?
- In what ways does the university monitor and report on postgraduate research student progress for all students and all forms of delivery?
- How does the university seek feedback from all postgraduate research students on advice and monitoring of progress?
- Who is responsible for monitoring the progress of postgraduate research students?
- Who is responsible for responding to unsatisfactory progress for postgraduate research students?
- Has the university reviewed the effectiveness of how it manages research student progress and how has it responded to any such reviews?

Resources:

- Suggested resources for GS 27 and 28 are also relevant for this guideline statement.
- The ACGR provide guidelines for tracking postgraduate research candidates. See https://www.acgr.edu.au/good-practice/best-practice/
- Ako Aotearoa published a 2011 research report on Best practice in supervisor feedback to thesis students. See https://ako.ac.nz/assets/Knowledge-centre/NPF-08-002-Best-Practice-in-Supervisor-Feedback-to-Thesis-Writers/2334ce033a/RESEARCH-REPORT-Best-Practice-in-Supervisor-Feedback-to-Thesis-Students.pdf

GS 30 Thesis examination: Thesis standards are assured through examination processes that are nationally and internationally benchmarked.

Questions universities and panels might ask:

- In what ways does the university assure national and international standards for theses?
- How does the university monitor and report on national and international standards for theses?
- How does the university ensure that all examiners are aware of national and international standards for theses?
- How does the university monitor and report on examiners' awareness of and conformity to national and international standards for theses?
- How does the university seek and respond to feedback from postgraduate research students on their experience of examination of theses?
- How does the university review its guidelines for postgraduate research student thesis examination?
- Has the university undertaken any reviews of thesis standards or examination processes and how has it responded to any such reviews?

Resources:

- Suggested resources for GS 27 to 29 are also relevant for this guideline statement.
- The QAA has developed a 'Characteristics Statement' for doctoral degrees. See https://www.qaa.ac.uk/docs/qaa/quality-code/doctoral-degree-characteristics-15.pdf?sfvrsn=50aef981_10
- Barnett et al. (2017) provide a comparison of European and North American practices for doctoral training, including assessment. See https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5623696/pdf/FEB4-7-1444.pdf

7 Appendix 2: Cycle 6 Audit Framework and Expected Evidence Summary

The overall scope for Cycle 6 Academic Audit is teaching, learning, support and outcomes for students. See http://www.aqa.ac.nz/sites/all/files/Cycle%206%20%20FINAL%20for%20web%20Oct%2017.pdf for further information.

University teaching is closely inter-related with research; universities have a role as critic and conscience of society; and their Councils have a duty to acknowledge the principles of Te Tiriti o Waitangi. These aspects are reflected in how a university addresses guideline statements in its self-review. This audit framework applies to all students, all delivery and all teachers and supervisors, and those who support teaching and supervision. Universities are expected to place emphasis as appropriate for their student body and priorities:

- all students: part-time, full-time, Māori, Pacific, international, mature, distance, on-line, studying with partners, on different campuses
- all delivery: lectures, tutorials, labs, practicums, WIL, field trips; in person, international, trans-national, distance, mobile
- all staff who teach or supervise or support teaching or supervision: new, established, non-continuing, contract and adjunct staff, and staff on other campuses and in partner organisations.

Section	**Cycle 6 Guideline Statement**	**Expected evidence – this column specifies the sorts of evidence a university is expected to provide, rather than the form of that evidence.** ***Additional/supplemental evidence that might be provided is signaled in italics.***
Preface/introduction	This is about setting the context (including the student body) and priorities of the university in which the audit takes place. It is included here for ease of reference. The documents in the column to the right are the KD – Key documents in the self-review portfolio.	Summary of student body and expected changes over the period of the audit cycle. Student cohorts that the university will consider in its self-assessment of guideline statements. Summary of university staff and planned changes. Summary of university academic programmes and expected changes. Strategies and plans (teaching and learning, student experience and student support, Māori development, Pacific development, equity and diversity) Annual report Organisational chart(s) Chart of academic committees Update on Cycle 5 recommendations and affirmations (from mid-cycle report) Glossary/list of acronyms

A	Leadership and management of teaching and learning and academic quality	
	GS 1. Planning and reporting The university gathers and uses appropriate and valid data and information to establish objectives, plan, assess progress and make improvements in its teaching and learning activities.	Planning and/or quality frameworks. Progress reporting against strategies, improvement initiatives and/or KPIs. Trends and shifts in indicators and/or KPIs. Evidence of improvement. *Evaluations of completed improvements/enhancements.* *Assessing progress could come from SSPs and annual reports.* *Monitoring and reporting dashboards that give sense of embeddedness and alignment with strategy.*
	GS 2. Student voice Improved outcomes for students are enabled through engaging with the student voice in quality assurance processes at all levels, and this is communicated to students.	Student voice policy, charters or agreements (student voice objectives). Outline of student voice mechanisms (committee roles, class reps, student surveys). Assessment of effectiveness/impact of student voice. Evidence of improvement/enhancement resulting from student contribution. Evidence of closing the loop with students. *Reflection of diversity and inclusiveness*
	GS 3. Teaching and learning environments Teaching and learning activities are supported by appropriate learning environments (infrastructure, spaces, media, facilities and resources).	Plans associated with the development of teaching and learning environments (campus developments plans, IT development plans, library plans). Feedback on the appropriateness of teaching and learning environments (student and teacher surveys, reviews).
	GS 4. Academic delegations Academic delegations support consistent and effective decision making and accountability for teaching and learning quality and research supervision.	Delegations schedules, or other schedules of where delegations are set. Evidence that holders of delegations are familiar with their delegations. Evidence of the consistency and effectiveness of decision-making. *Reviews of effectiveness*
	GS 5. Academic risk management Potential disruption to the quality and continuity of teaching and learning at the university, including risks to infrastructure, is mitigated through effective risk management processes.	Risk registers. Evidence of assessment/review of risk registers. (include risks to academic integrity) Tests of preparedness. *Reviews of academic risk*

	GS 6. Progress on the Enhancement Theme (Māori students) The university has achieved the objectives in its enhancement theme plan with respect to Māori students and successful practice has been embedded and is sustainable.	University assessment of progress against its objectives. *Evidence of contribution to the enhancement theme more broadly, for example sharing of resources or good practices with other universities.* Note: It is reasonable to expect that universities who are later in the audit cycle will have made greater progress on their enhancement theme objectives.
	GS 7. Progress on the Enhancement Theme (Pasifika students) The university has achieved the objectives in its enhancement theme plan with respect to Pasifika students and successful practice has been embedded and is sustainable.	University assessment of progress against its objectives. *Evidence of contribution to the enhancement theme more broadly, for example sharing of resources or good practices with other universities.* Note: It is reasonable to expect that universities who are later in the audit cycle will have made greater progress on their enhancement theme objectives.
B	**Student life cycle, support and wellbeing**	**The guideline statements in this section are organised by student life cycle, plus support services. Universities should consider all students and include emphasis appropriate to their student body in their self-review report. Consideration should be given to students who do not follow a 'typical' life cycle.**
	GS 8. Access Access to university, including through recognition of prior learning and credit transfer pathways, is consistent, equitable and transparent for students.	Policies and information for students. Student feedback on admission and selection information and decisions. Objectives and achievements for priority groups. University assessment of equity in terms of its context and priorities. Trends in RPL and credit transfer.
	GS 9. Transitions Transitions for students are supported at all levels of university study, including transitions beyond study and/or to employment, and students are well-equipped to contribute in their chosen fields, and more broadly to the economy and society.	Transitions data, including ranges and for specific groups. Retention and completion data. Employment indicators. Graduate destinations. Achievement/attainment of graduate outcomes. *Employer/other stakeholder perceptions of graduate preparedness*
	GS 10. Academic advice Student achievement is supported through consistent and clear academic advice, including course/paper information and programme planning, and guidance for students on completion of requirements.	Student perceptions of academic advice Assessments of effectiveness and consistency of advice *Other reviews of academic advice.*

	GS 11. Academic complaints, appeals and grievances Academic complaints, appeals and grievances are addressed consistently and equitably. Where appropriate, outcomes of these processes inform improvements.	Student perceptions of academic complaints, appeals and grievance processes and outcomes. University assessment of equity and trends *Evidence of improvements resulting from appeals, grievances or complaints.* *Student association(s)' perceptions.*
	GS 12. Learning support Students have timely and equitable access to appropriate learning support services.	Student perceptions of learning support, with ranges for groups of students as appropriate to the university University assessment of equity
	GS 13. Safety and wellbeing Student wellbeing is supported through the provision of appropriate pastoral and social support services in safe and inclusive environments.	Student perceptions of wellbeing, pastoral and social support, safety and inclusiveness *Other reviews of safety and wellbeing* *Assessment of effectiveness of specific service provision*
C.	**Curriculum, assessment and delivery**	**The guideline statements in this section consider the life cycle and key components of curricula and academic delivery. Universities should consider all aspects and modes of their delivery and give emphasis to on-line, international, distance and other modes as appropriate for their strategies and priorities**
	GS 14. Programme approval Programme standards and relevance are maintained through internal course and programme approval processes that meet national (CUAP/NZQF) expectations and, where appropriate, expectations for other jurisdictions.	Outline of university processes/procedures. CUAP reviews and decisions, including acceptance of GYRs. *Evidence of opportunity for, and responsiveness to, stakeholder input.* *Other reviews of effectiveness of processes, including effectiveness of stakeholder processes.*
	GS 15. Course/paper and programme monitoring The quality of academic programmes and courses/papers is assured and enhanced through ongoing monitoring and academic management.	Expectations of and responsibilities for paper/course and programme monitoring. Evidence of monitoring, such as monitoring reports and/or changes. *Aggregate/synthetic reviews of monitoring issues/changes.*
	GS 16. Review Curriculum relevance and quality is assured and enhanced through regular reviews of programmes and courses/papers and which include input from students, staff, and other stakeholders.	Evidence of relevance and curriculum relevance and quality being enhanced. Schedule of reviews. Evidence of input from students and other stakeholders. Report(s) to CUAP. *Review of reviews.* *Use of subject benchmark statements or Tuning projects, or similar.* *Use of CUAP moderation of reviews.*

	GS 17. Graduate profile Students are aware of and have the opportunity to achieve the intended attributes in graduate profiles and course/paper learning outcomes.	Evidence of student awareness of graduate profiles. Evidence that students have the opportunity to achieve/attain attributes (constructive alignment). *Evidence that graduate profile attributes <u>have</u> been achieved.*
	GS 18. Assessment Assessment is appropriate and effective.	Evidence of assessment being appropriate and effective (student perceptions and other perspectives). *Evidence of progress on assessment strategy.* *Thematic/synthetic reviews of assessment, possibly from programme reviews.* *Other reviews of assessment.*
	GS 19. Assessment standards Assessment and outcome standards are appropriately set and moderated.	Policy and requirements for external referencing, moderation and/or external examining of outcome standards Evidence of moderation of standards (marks/grades) across the university. *Examiners' meeting notes/minutes.* *Evidence of national/international referencing of standards, as appropriate.*
	GS 20. Academic integrity Universities promote and ensure academic integrity and demonstrate fairness, equity and consistency in addressing concerns. (cross-ref to GS 5 Academic risk management)	Demonstrated consideration of full range of potential risks. Evidence of promotion and awareness of academic integrity. Clear advice on prevention and treatment. Assessment of fairness, equity and consistency (eg, annual report to academic committees). *Reviews of academic integrity.*
	GS 21. Assessment in te reo Māori Assessment in te reo Māori, where appropriate, is facilitated by the university.	Trends in assessment being conducted in te reo Māori. *Reviews of use of te reo Māori in assessment.*

D	Teaching quality	Organised by life cycle. All staff who teach or supervise or support teaching or supervision, includes new, established, non-continuing, contract and adjunct staff and staff on other campuses and in partner organisations
	GS 22. Staff recruitment All staff who teach or supervise or support teaching or supervision are appropriately qualified and experienced (including in research as appropriate to role) upon appointment.	Expectations of qualifications and experience for new staff. Evidence that expectations are met.
	GS 23. Induction and ongoing expectations New staff who teach or supervise or support teaching or supervision become familiar with academic policies and expectations of the university through effective induction processes, and the university has processes to enable all staff to maintain currency with academic policies and expectations.	Evidence that induction and other processes include familiarity and currency with academic policies and expectations. *Evidence that new and all staff <u>are</u> familiar with academic policies and expectations.* *Reviews/assessment of effectiveness of processes.*
	GS 24. Teaching development Staff who teach or supervise, or support teaching or supervision, are supported to take up opportunities to develop their practice, including the use of innovative pedagogy and new technologies.	Evidence of support for teaching development opportunities. Evidence of teaching development occurring. *Evaluation of effectiveness of teaching development opportunities.*
	GS 25. Teaching quality The quality of all teaching is appropriate and is enhanced by feedback and other processes. Quality shortfalls are addressed proactively, constructively and consistently.	Evidence of all teaching being appropriate (could include summaries—with ranges—of teaching evaluations or other assessment). Evidence of shortfalls being identified and addressed consistently.
	GS 26. Teaching recognition High-quality teaching is recognised and rewarded	Evidence of recognition and reward. *Assessment of whether recognition leads to dissemination of good practice or other quality gains.*

E	Supervision of postgraduate research students	
	GS 27. Supervision quality The quality of postgraduate research student supervision is ensured.	Evidence of training and experience being considered in supervisor appointment. Feedback from new or inexperienced staff on supervision development. Student perspectives on supervision quality. Evidence of ongoing quality assurance. *Other reviews of supervision quality.*
	GS 28. Resourcing of postgraduate research students Postgraduate research students are appropriately resourced and supported to undertake their research.	Student (and possibly supervisor) perspectives on resourcing and support. *Other reviews or benchmarking of resourcing.*
	GS 29. Postgraduate research student progress Student progress and achievement is monitored and supported through consistent and clear academic advice, and guidance for students on completion of requirements.	Evidence of monitoring and advice. Student perspectives on monitoring and advice. *Other reviews or assessment of effectiveness.*
	GS 30. Thesis examination Thesis standards are assured through examination processes that are nationally and internationally benchmarked.	Evidence of national and international benchmarking of standards. *Other assessment/review of thesis standards.*

8 Appendix 3: Criteria for Auditor Appointment

Auditors are appointed by the AQA Board who will consider the following criteria:

- senior academic, senior management or senior student experience in the teaching and learning activities of universities within the last 5 years (3 years for senior students); or other experience considered relevant by the AQA Board
- substantial experience with academic quality assurance, or other quality assurance contexts
- appreciation of Te Tiriti o Waitangi
- familiarity with New Zealand and/or international contexts of university education and quality assurance, research and best practice in university teaching and learning, and student achievement
- demonstrated abilities to appreciate multiple perspectives, engage effectively with a range of people from students to Vice-Chancellors, and form evidence-based judgments
- record of working constructively in small teams, ability to meet deadlines and maintain confidentiality.
- ability to commit time required for reviewing audit materials, panel meetings, site visits, reviewing and commenting on audit report drafts and providing feedback on experiences of audit
- commitment to participate in auditor training.

Applications to join the register of auditors should address these criteria. A curriculum vitae is also required.

Auditor appointments are for five years and, to maintain the currency requirements, auditors do need to reapply after five years.

9 Appendix 4: More Detailed Indicative Site Visit Schedule

The sessions and timings below are indicative only and will be agreed with universities following the second planning meeting.

DAY One:

Session	Time	Meeting
	8.30am	Health and Safety briefing
	8:45	Mihi whakatau
1	10.00-10.40	Vice-Chancellor
2	10:50 – 11:30	Members of Council
3	11:40 – 12:30	Deputy Vice-Chancellor (Academic)
12:30 – 1:15 working lunch		
4	1:15 – 2:00	PVCs and Deans (or equivalent), senior managers
5	2:10 – 2:40	DVC Māori
6	2:40 – 3-10	DVC Pasifika
3:10 – 3:30 Afternoon tea		
7	3:30 – 4:00	Student Association Executive
8	4:10 – 5:30	Specific probe interviews—5x15-minute sessions: could be campus development/facilities, IT, student administration, international, academic integrity….
5.30pm Tea and coffee delivered to room		
	5.30-6.30pm	Panel meeting

DAY Two: more triangulation/validation interviews—30-minute sessions with 5-minute breaks (5-6 questions per session)

1. Staff on academic committees
2. Heads of departments—includes new HoDs
3. Professional staff—teaching and learning, student learning, library
4. Professional staff—student wellbeing and support (include disabilities)
5. Professorial staff
6. Academic staff—includes new staff
7. HR and academic staff development
8. Postgraduate research students
9. Undergraduate students
10. Postgraduate research student office
11. Academic quality office
12. Student access, equity, careers, success

Session	Time	Meeting
8:30am Tea and coffee delivered to room		
	8:30am	Panel meeting
9	8:45 – 9:15am	
10	9:20 – 9:50	
11	9:55 – 10:25	
Morning tea 10:25 – 10:45		
12	10:45 – 11:15	
13	11:20 – 11:50	
14	11:55 – 12:25	
12.25 – 1:00 Lunch		
15	1.00-1.30pm	
16	1.35-2.05pm	
17	2:10 – 2:40	
2:40 – 3:00 Afternoon tea		
18	3:00 – 3:30	
19	3:35 – 4:05	
20	4:10 – 4:40	
4:40 – 5:00		
21	5:00 – 5:30	Additional session, if needed
	5:30	Panel meeting

DAY Three: call-back interviews (if required), panel meeting, exit meeting

Session	Time	Meeting
	8.30am	Panel meeting
	9.00 – 10.00	Call-back interviews
10.00 – 10.15 Morning tea		
	10.15 – 12.30	Panel meeting
12:30 – 1:00 working lunch		
	1:00 – 1.40	Panel meeting
	1:40 – 2:40	Chair preparation
2:40 – 2:55 Clear papers and room		
7	3:00 – 3:30	Exit meeting with Vice-Chancellor (and invited staff)
3.30pm panel departs		