Report of the 2022 Review of the Committee on University Academic Programmes

Review undertaken by the Academic Quality Agency for New Zealand Universities

April 2022

Te Pokapū Kounga Mātauranga
mō ngā Whare Wānanga o Aotearoa

AQA | Academic
QualityAgency
For New Zealand Universities

Review Report:
Committee on University Academic Programmes (CUAP)

April 2022

Whakarāpopototanga

Ko te Committee on University Academic Programmes (CUAP) tētehi komiti whāiti o te New Zealand Vice-Chancellors' Committee (NZVCC) (e karangatia nei ko Universities New Zealand – Te Pōkai Tara (UNZ)). He wāhanga arotake akoranga kounga a CUAP mō UNZ ki te whakaae, ki te whakamana, ki te mātai i ngā tohu mō ngā whare wānanga. Ka whakarite taunakitanga hoki a CUAP mō te Mana Tohu Mātauranga o Aotearoa (NZQA) i runga i ngā paearu University Entrance (UE).

I runga anō i tāna titikaha kia kounga ngā mahi, ka arotakengia a CUAP e tētehi atu i ia rima tau. Nā te Academic Quality Agency for New Zealand Universities (AQA) ēnei mahi, ā, ka whakaaetia ngā herenga me te NZVCC, kātahi ka whakatūria tētehi Paewhiri ki te whakahaere i te Arotake. Nā te KOWHEORI-19, i tū pāmamao te Arotake 2022 o CUAP. Kua whakaritea e te Paewhiri ētehi whakamihi, kupu tautoko me ngā taunakitanga kia eke panuku tonu a CUAP ki roto i āna mahi, i runga tonu i ngā huringa i roto i te mātauranga matua o te ao, te āhua hoki o te horopaki ki Aotearoa me te pikinga o te kanorau ākonga.

Hui katoa, e whakaaro ana te Paewhiri e whai wāhi tonu ana a CUAP i roto i te mahi whakamau taumata tiketike i ngā hōtaka akoranga i te rāngai whare wānanga. Mārama pū ana ngā tukanga o CUAP, ā, ko te tukanga arotake aropā tētehi tauira mātau, kauanuanu hoki e puta ai te whakapono rirerire, te kaitiakitanga ā-hoamahi o te kounga. Ko te hautūtanga o te Tiamana Tuarua me te tautoko o te UNZ Portfolio Manager – Academic Programmes ko ngā kaiāwhina hirahira ki ngā mahi whakahaere a CUAP. Kua whakapai ake a CUAP i a ia anō atu i tōna arotake tōmua, pērā i ngā whakatikatika ki te tuihono Proposal Management System me te whakawhanake whanaungatanga ki ētehi atu rōpū. Kua hora hoki a CUAP i ētehi mahi tātari mō te pānga o te kōkiritanga o te 180-credit point Master's degrees, ā, e tautoko ana te Paewhiri he tauira pai tēnei mō ētehi atu mahi me te tuari.

Ko te horopaki mō ngā whare wānanga me ā rātou rōpū whakamau kounga (tae noa ki a CUAP) e hurihuri ana. E whakaaro ana te Paewhiri he āheinga mō CUAP kia mārama kehokeho mā te whiwhi mōhiohio me ngā kōrero mai i ngā komiti UNZ, te āta whakarite whakahokinga kōrero, te mātai tauira ki pūnaha kē mā te whakatau pae me te whakapūmau whakaarotau i ēnei kōrerorero, i roto i tētehi tukanga whakamahere ā-tau. Taunga ana te tū a CUAP ki te hāpai i ngā take whakahirahira mō ngā whare wānanga me ngā ākonga, pērā i te mana taurite ki te uru ki ngā whare wānanga mō ngā ākonga Māori me ngā ākonga o te Moana nui a Kiwa.

I tua atu i ngā kupu āwhina ka whiwhi, ka hora hoki, e whakaaro ana te Paewhiri kia whakawhānuitia a CUAP ōna pūkenga, ōna raukaha. Ko ngā mema o CUAP (me tana komiti whāiti University Entrance) kia nui ake, kia rua mema anō ka whakaingoatia e Te Kāhui Amokura, kia whai ārahitanga e pā ana ki Te Tiriti o Waitangi me ngā kupu āwhina mō te Mātauranga Māori e whaipānga ana ki te rāngai whare wānanga. Me whakaatu hoki a CUAP i te māia o ngā mema ki te whakatinana i Te Tiriti o Waitangi. Hei tautoko i te raukaha i te rāngai whare wānanga, e whakaaro ana te Paewhiri kia whakatūria e CUAP tētehi tukanga whakataki pūnaha me ngā āheinga whakatupu ngaio.

E whakaaro hoki ana te Paewhiri kia titiro anō a CUAP ki āna tukanga mō ngā arotake whakaputa, mehemea e nui ana ngā whakaaetanga e rua me tāna mahi tahi ki ngā ākonga. Me hoki anō ki tētehi tono kia uru atu tētehi mema ākonga ka whakaingoatia e Te Mana Ākonga me te utu i ngā mema ākonga o CUAP.

E tono ana a CUAP ki te rīpoata i āna whakautu ki ngā taunakitanga i roto i tētehi pūrongo kotahi tau i muri mai.

Summary

The Committee on University Academic Programmes (CUAP) is a sub-committee of the New Zealand Vice-Chancellors' Committee (NZVCC) (operating as Universities New Zealand – Te Pōkai Tara (UNZ)). CUAP fulfils an academic quality function for UNZ in undertaking programme approval, accreditation and moderation for universities. CUAP also makes make recommendations to the New Zealand Qualifications Authority (NZQA) on University Entrance (UE) criteria.

As part of its own commitment to quality assurance, CUAP undergoes an external review every five years. Reviews are undertaken by the Academic Quality Agency for New Zealand Universities (AQA) which agrees terms of reference with NZVCC and forms a Panel to conduct the Review. Due to COVID-19, the 2022 Review of CUAP was conducted remotely. The Panel has made a series of commendations, affirmations and recommendations intended to help CUAP remain fit for purpose against a backdrop of increasing change in tertiary education globally, the context of current day Aotearoa New Zealand and increasing student diversity.

Overall, the Panel considers that CUAP continues to make an important contribution to maintaining high standards in academic programmes across the university sector. CUAP processes are widely understood, and the peer review process is seen as constructive and respectful, leading to a rigorous high trust/light touch collegial model of quality assurance. The leadership of the Deputy Chair and support from the UNZ Portfolio Manager – Academic Programmes are important contributors to how CUAP operates. CUAP has made positive changes since its last review, including improvements to the online Proposal Management System and developing relationships with other bodies. CUAP has also contributed useful analytical work on the impact of the introduction of 180-credit point Master's degrees and the Panel considers this work provides a model for further work and sharing of good practice.

The context for universities and their quality assurance bodies (including CUAP) is changing. The Panel considers there are opportunities for CUAP to be better informed by accessing information and advice from other UNZ committees, taking a structured approach to seeking feedback, examining models in other jurisdictions through benchmarking and consolidating priorities from this advice in an annual planning process. CUAP is also well positioned to make a greater contribution to addressing important issues for universities and students, including achieving equity in access to university for Māori students and students who are Pacific People.

In addition to the advice it receives and provides, the Panel considers that CUAP should extend its expertise and capability. CUAP membership (and that of its Subcommittee on University Entrance) should be extended to include two members nominated by Te Kāhui Amokura who can provide guidance on Te Tiriti o Waitangi responsiveness and advice on Mātauaranga Māori on behalf of the university sector. CUAP should also reflect on how all how all members are equipped to give effect to Te Tiriti o Waitangi. To support capability across the university sector, the Panel considers that CUAP should develop systematic induction processes and professional development opportunities.

The Panel considers that CUAP should re-examine its processes for graduating year reviews, whether two approval rounds continue to be sufficient and how it works in partnership with students. A proposal to include a student member nominated by Te Mana Ākonga should be revisited and remuneration provided to student members of CUAP.

CUAP is invited to report on how it has responded to recommendations in a one-year follow-up report.

Glossary

AQA	Academic Quality Agency for New Zealand Universities – Te Pokapū Kounga mō ngā Whare Wānanga o Aotearoa
CUAP	Committee on University Academic Programmes
DVC(A)	Deputy Vice-Chancellor (Academic)
DVCs (Academic)	Committee of Deputy Vice-Chancellors (Academic)
ENZ	Education New Zealand
GGP	INQAAHE Guidelines of Good Practice in Quality Assurance
GYR	Graduating Year Review
INQAAHE	International Network for Quality Assurance Agencies in Higher Education
JCG	Joint Consultative Group
NZQF	New Zealand Qualifications Framework
NZQA	New Zealand Qualifications Authority
NZUSA	New Zealand Union of Students' Associations
NZVCC	New Zealand Vice Chancellors' Committee
oPMS	online Proposal Management System
SP	Statement of Performance, required by the Office of the Auditor General
SR	Self-review
SRR	Self-review report
SRP	Self-review portfolio
ToR	Term(s) of reference
UE	University Entrance
UNZ	Universities New Zealand – Te Pōkai Tara

Contents

List of Figures

List of Tables

1 Introduction

The Committee on University Academic Programmes (CUAP) undergoes a five-yearly external review against Terms of Reference (ToR) agreed for each review by the New Zealand Vice-Chancellors' Committee (NZVCC). Reviews are conducted by the Academic Quality Agency for New Zealand Universities – Te Pokapū Kounga mō ngā Whare Wānanga o Aotearoa (AQA). Previous reviews were conducted in 1996, 1999, 2005, 2011 and 2017. The 2011 and 2017 reviews are published on the AQA website.[1]

AQA is an operationally independent entity established by the New Zealand Vice-Chancellors' Committee. Its purpose is to contribute to the advancement of New Zealand university education by:
- engaging as a leader and advocate in the development of academic quality
- applying quality assurance and quality enhancement processes that assist universities in improving student engagement, academic experience and learning outcomes
- supporting confidence in the academic quality of New Zealand universities.[2]

AQA is recognised as being fully aligned with the International Network of Quality Assurance Agencies in Higher Education (INQAAHE) Guidelines of Good Practice (GGP)[3]. Further information about AQA is available at www.aqa.ac.nz.

1.1 Objectives and Terms of Reference for the Review of CUAP 2022

The objectives and terms of reference (ToR) for the 2022 Review of CUAP were agreed by NZVCC in June 2021.

The objectives of the review are that:
- CUAP (and its stakeholders) gain value from their self-review and from the review by an external panel

- confidence in CUAP's quality assurance processes (and therefore in the quality of university academic programmes) is maintained and potentially enhanced.

The review terms of reference draw from the Cycle 6 Academic Audit Framework and processes for universities in Aotearoa New Zealand and the INQAAHE GGP to focus on CUAP's own Terms of Reference. The Review ToR and INQAAHE GGP serve as frameworks against which to critique CUAP and its activities to commend good practice, affirm initiatives underway that the Panel considers will lead to beneficial outcomes, and to make recommendations for the future development of CUAP.

---

[1] Available at https://www.aqa.ac.nz/reports-and-papers?keys=&field_publication_report_date_value_1%5Bvalue%5D%5Byear%5D=&tid%5B%5D=21 (accessed 10 February 2022)

[2] AQA (2020), Constitution. Available at https://www.aqa.ac.nz/sites/all/files/AQA%20Constitution%20Ammended%20Oct%202020.pdf. (Accessed 23 February 2022).

[3] https://www.inqaahe.org/ggp-aligned-agencies. (Accessed 23 February 2022).

Review Terms of Reference:

1. Assess the effectiveness of CUAP's response to recommendations in its 2017 review.

2. Determine how effectively CUAP and its subcommittees meet its Terms of Reference as set out in 2.2 of the CUAP handbook and additional responsibilities as set out in 2.3. The review should assess effectiveness, strengths and progress, challenges and proposed enhancements.

3. Determine the current and future appropriateness of CUAP's composition and structure, standing procedures and key relationships.

4. Consider how CUAP and its ToR support broader goals and expectations of the NZVCC (including Te Tiriti o Waitangi responsiveness, academic freedom and universities' role as critic and conscience of society, and the interdependence of university research and teaching); and how CUAP ToR and processes consider all students and all delivery (in person, international, on-line, trans-national, etc).

5. Where the INQAAHE Guidelines of Good Practice (GGP) are relevant, these may be used as a supporting framework to critique and assess the extent to which CUAP processes and practices reflect international good practice. A suggested mapping of the INQAAHE GGP against CUAP's Terms of Reference is attached (Appendix 1). Even where an INQAAHE GGP may not initially appear to be relevant for CUAP, it may still offer a useful prompt for self-reflection or questioning. However, this should not detract from the focus of the evaluation being on the effectiveness of CUAP in addressing its Terms of Reference.

6. Provide comment on CUAP's Terms of Reference and the composition and structure of the Committee, including comment on possible future priorities, structures or goals.

7. Recommend changes or improvements in CUAP's quality assurance activities, arrangements, practices and processes that will add value for New Zealand universities, students and other stakeholders.

1.1.1 Review process

The process for the review of CUAP follows in principle the process for academic audits of universities. The timeline for the review is set out in Table 1.

Table 1 Review timeline

Review step	Date
Call for submissions	1 September 2021
Submissions due	15 October 2021
Self-review report due	1 November 2021
First Panel meeting	Week of 6 December
Second meeting (site visit)	Week of 31 January 2022
Draft report to AQA Board	Week of 14 March 2022
Draft report to CUAP for matters of clarification and factual correction	Week of 28 March 2022
Final report to VCs	Week of 11 April 2022

The Panel appointed by AQA to undertake the review comprised:

- a senior New Zealand academic who has not had recent or extensive involvement with CUAP (Chair)

- an international auditor with experience of programme approval and accreditation

- a New Zealand academic with experience in managing and/or developing programmes in a university

- a student or recent graduate.

In appointing the Panel, the AQA Board ensured that at least one of the Panel members was Māori. All Panel members have been appointed to the Cycle 6 Register of Auditors and Reviewers. AQA provided the Secretariat for the review. Panel Members are listed at the end of this report (p39).

CUAP was expected to produce a self-review report that provided its self-assessment of how well it met the terms of reference for the review. The self-review report was also asked to:

- include contextual information setting out CUAP's purpose, profile, structure, strategic priorities and operations, and a summary of major developments, achievements, and changes since its last review

- take a self-reflexive evaluative approach and present evidence in line with the 'Guidelines for evidence in Cycle 6 Academic Audit for universities' that allows CUAP to assess effectiveness, strengths, challenges and priorities for enhancement

- identify priorities for changes or improvements in the form of enhancement initiatives.

The self-review report (SRR) submitted by CUAP did not address all terms of reference explicitly. In particular, it did not identify enhancement initiatives developed from undertaking a self-review. The Panel recognises that the COVID-19 pandemic and associated New Zealand Government COVID-19 response measures[4] will have affected self-review activities. However, the Panel gained the view that the self-review report produced by CUAP was not self-reflexive in nature and the process did not engage members of CUAP to the extent that would have been expected. A similar comment was also made about the self-review report for the 2017 review.[5]

In addition to the self-review portfolio (SRP),[6] the Review Panel also had access to additional information provided by CUAP in response to requests from the Panel following its first meeting, submissions made by by 17 groups or individuals (Appendix 2: Submissions) and interviews with 49 people in 15 sessions (Appendix 3: Interview schedule and groups).

---

[4] The New Zealand Government COVID-19 Alert System was in effect from 28 February 2020 to 2 December 2021. The New Zealand Government COVID-19 Protection Framework came into effect on 2 December 2021. See https://covid19.govt.nz/about-our-covid-19-response/history-of-the-covid-19-alert-system/#timeline-of-key-events. (Accessed 23 February 2022).

[5] Town, G.I., Gregory, N. and Timney, B. (2017), Report of the 2017 Review of the Committee on University Academic Programmes, p5. Available at https://www.aqa.ac.nz/CUAP2017. (Accessed 10 March 2022).

[6] The self-review portfolio comprises the self-review report plus supporting documentation and other evidence.

Due to the ongoing COVID-19 pandemic, the 2022 Review of CUAP was conducted remotely via Zoom and followed guidance developed by AQA.[7] This was not the Panel's preferred way of working and did limit opportunities for professional exchange. However, the Panel is confident that it did not affect the willingness of interviewees to share insights with the Panel in an open and constructive manner.

The Panel provided preliminary feedback on its findings at the conclusion of its second meeting and communicated these preliminary findings in a letter to the Chair of CUAP on 8 February 2022.

1.2   History and context of CUAP as a quality assurance body

The history of CUAP and its context as part of a university sector system of quality assurance are important in understanding CUAP's role as quality assurance body. CUAP drew attention to this in its self-review report and interviewees also referred to this. The background to CUAP's role is explained in the self-review report as follows:

> *The Education and Training Act 2020 (replacing the Education Act 1989) provides the legal authority for the Committee on University Academic Programmes (CUAP). Full wording of the relevant sections of the Act is in Appendix 1 [of CUAP's self-review report – not reproduced in this report].*
>
> - *Section 311 provides for the continuation of the New Zealand Vice-Chancellors' Committee (NZVCC, now known as Universities New Zealand – Te Pōkai Tara) and Section 253 describes it as "the body primarily responsible for quality assurance matters" in universities. Universities NZ (UNZ) discharges this responsibility through CUAP and the New Zealand Universities Academic Audit Unit. (The significance of this is explained in the following section.)*
>
> - *Section 312 provides for the NZVCC to set up inter-university course approval and moderation procedures, to approve courses and accredit universities to provide those courses, and to make recommendations to the New Zealand Qualifications Authority (NZQA) on University Entrance (UE) criteria.*
>
> - *Section 453 provides for the NZVCC to exercise for universities the powers of course approval and accreditation exercised by the NZQA for non-university tertiary providers (s439 to s448, s458(1)(b) and s459).*
>
> *The NZVCC established CUAP as its sub-committee to carry out the procedures outlined in Sections 312 and 453. CUAP has established a University Entrance Sub-Committee to carry out the functions related to UE criteria and an Offshore Programmes Sub-Committee to consider proposals for a university to deliver an existing, approved programme offshore (i.e. by means other than online).[8]*

In terms of their quality assurance arrangements, universities in Aotearoa New Zealand are unusual internationally. It would be common in jurisdictions where there is a mature quality culture for universities to be self-approving and self-accrediting with respect to the qualifications and

---

[7] Matear, S.M. (2021). Academic audit in times of ongoing COVID-19: a working paper to guide Cycle 6 Academic Audit. Available at https://www.aqa.ac.nz/node/382 (Accessed 10 February 2022).
[8] SRR, p20.

programmes they offer. The collaborative approach to programme approval and accreditation in which all universities approve programmes to be offered by other universities is also rare and the combination of these two factors probably makes the quality assurance arrangements for universities in Aotearoa New Zealand unique.[9] CUAP's self-review report considered that this may be the case and the point was also made in submissions and by people the Panel met with.

A further point of difference from many other international arrangements is how long these arrangements have been in place. Universities in Aotearoa New Zealand have collaborated on programme approval and accreditation since the dissolution of the national University of New Zealand in 1961.[10]

From a quality assurance perspective, the university sector in Aotearoa New Zealand is collectively self-approving and self-accrediting, but individual universities are not. Universities recognise the benefits of these arrangements and the Panel did not gain any sense that there was a desire to change them. This review will make recommendations for changes that could enhance CUAP's processes and other arrangements, but it will do so in the context of maintaining the overall model of collaborative programme approval and accreditation.

1.2.1 Principles of quality assurance

CUAP's self-review report also sets out the relationship between CUAP and AQA as both give effect to NZVCC's responsibilities for quality assurance. CUAP and AQA work well together, their activities inform one another, and they have jointly agreed principles that underpin quality assurance in the university sector.[11]

The first principle is that quality assurance acknowledges the principles of Te Tiriti o Waitangi and the remaining principles recognise that quality assurance is:

- developed by the universities

- evidence-based

- enhancement-led

- founded on self-review

- assured by peer review

- collective and collegial

- individually binding

- internationally benchmarked

- independently operated

---

[9] See Karakhanyan, S. and Stensaker, B. (2020), "External quality assurance: The landscape, the players and developmental trends", in Karakhanyan, S. and Stensaker, B.(Eds.), Global Trends in Higher Education Quality Assurance. Brill | Sense, Leiden | Boston for a framework of national quality assurance arrangements.
[10] CUAP Handbook, p7.
[11] AQA and UNZ (2013). Academic Quality Assurance of New Zealand Universities. Available at https://www.aqa.ac.nz/sites/all/files/AQA%20UNZ%20QA%20Brochure%202013.pdf (Accessed 28 February 2022).

- publicly accountable
- in partnership with students.

The peer review principle was clearly in evidence throughout the review and several interviewees made positive comments about how CUAP contributes to improvement or enhancement of proposals. However, the Panel saw or heard little other evidence of effect being given to the other principles or the principles informing CUAP's activities.

1.2.2   NZVCC and UNZ

The New Zealand Vice-Chancellors' Committee (NZVCC) is the statutory body with responsibility for quality assurance of universities in Aotearoa New Zealand. However, NZVCC is also known as Universities New Zealand – Te Pōkai Tara (UNZ)[12] and the names NZVCC and UNZ are used interchangeably in practice. The CUAP Handbook refers to CUAP as a committee of Universities New Zealand.[13] This report will mainly use the common usage term of Universities New Zealand – Te Pōkai Tara (UNZ) unless there is a particular need to distinguish NZVCC as the body "primarily responsible for quality assurance matters in respect of universities"[14] and Universities New Zealand - Te Pōkai Tara (UNZ) as the entity that provides a secretariat function, co-ordinates matters across NZVCC/UNZ committees and is responsible for resourcing and other operational matters.

Structurally, CUAP is a sub-committee of NZVCC/UNZ.

1.3   This Report

This report presents the Panel's findings based on the evidence it has considered. Its structure follows the Terms of Reference for this Review of CUAP.

The Panel has commended areas of effective or good practice, affirmed practice that should result in enhancements to the quality assurance system for New Zealand universities and made recommendations where it considers attention needs to be paid to enhancing practice.

A draft of this report was submitted to the Board of the Academic Quality Agency for a quality assurance check on 14 March 2022 and to the Deputy Chair of CUAP and UNZ on 28 March 2022.

This report is released under the authorisation of the AQA Board. All enquiries regarding the report should be directed to Universities New Zealand at contact@universitiesnz.ac.nz.

---

[12] CUAP Handbook, p7.
[13] CUAP Handbook, p12 (Composition, pt. 5).
[14] SRR, p21; New Zealand Government (2020). The Educational and Training Act 2020. Available at https://www.legislation.govt.nz/act/public/2020/0038/latest/whole.html#LMS170676. (Accessed 19 February 2022)

2   ToR #1 Response to Recommendations in the 2017 Review of CUAP

> The first ToR for this review of CUAP is to "Assess the effectiveness of CUAP's response to recommendations in its 2017 review".

CUAP commented on its response to each of the recommendations in its SRR and the Panel further explored responses to recommendations in interviews and by examining supporting information. The Panel's overall assessment was that CUAP had responded to the more functional/instrumental recommendations but had not engaged deeply with recommendations that asked CUAP to reflect on how CUAP assessed its own purpose and performance.

R1 The Panel recommends that CUAP, with the assistance of Universities New Zealand staff responsible for online development, facilitate a discussion with university users of the online Proposal Management System, to identify current challenges, and that a plan then be developed to refine the system to ensure greater ease and efficiency of use.

The Panel's assessment is that while CUAP does respond to feedback and makes improvements to the online system (the inclusion of Graduating Year Reviews was provided as an example), CUAP has tended to be reactive. Further information provided in submissions and gained through interviews supports the view that CUAP is responsive to feedback. However, the system improvements that have been made have been appreciated by users.

The Panel **_commends_** CUAP for improvements to the online platform that have reduced challenges for system users.

In interviews, the Panel was advised that a commitment to redevelop the online system was now in place and a more intentional approach to seeking user views had been initiated.

*The Panel **_affirms_** CUAP continuing to engage with stakeholders and users as they develop the next iteration of the online system.*

The Panel will comment further on CUAP's approach to seeking and using feedback (Section 4.3). A revised approach to seeking feedback does not have to be onerous but would ensure that all stakeholders are canvassed.

Overall, the Panel's assessment is that response to this recommendation has been slow but appreciates that the speed of the response may not be entirely within the control of CUAP. Nonetheless it did not see or hear any evidence that suggested that CUAP had been actively progressing this initiative, nor what the barriers to faster progress had been.

R2 The Panel recommends that CUAP discuss how institutional and professional programme reviews might best be used by CUAP for moderation purposes, and that it develop and implement a process whereby the outcomes of institutional programme reviews are reported and analysed by or for CUAP so that issues and good practice of potential sector impact may be identified.

CUAP developed a discussion paper in response to this recommendation, following which a decision was taken that universities provide the names of qualifications and programmes that had been reviewed in a year. This requirement is now part of the CUAP handbook. The CUAP self-review

report also commented that professional bodies undertook moderation and that AQA included universities undertaking programmes reviews in its academic audit frameworks. The Panel explored this further in interviews and did not gain any sense of the use that these lists of reviews undertaken by universities were put to.

The Panel considers that CUAP's response misses the point of the recommendation, which was how institutional and professional programme reviews could be <u>used</u> for moderation purposes and to identify issues of potential sector impact.

Even if professional body reviews and accreditation reports are not used in the way suggested by the previous review, the Panel considers that CUAP being aware of any adverse findings of professional accreditation reviews is relevant to CUAP's role in upholding programme standards (Section 3.1.2.4). This is particularly the case when an accreditation review occurs shortly after a Graduating Year Review as it could signal an issue that may have been addressed in the programme approval and/or GYR process and would be relevant for sector-level improvement.

*The Panel **recommends** that CUAP consider how it can facilitate sharing good practice where external accreditation process outcomes and information may be relevant.*

R3 The Panel recommends that CUAP revisit R1 from the 2011 Review, to review relevant codes of practice for expert reviewers, and adopt an appropriate set of guidelines for reviewers of New Zealand university programmes for which CUAP approval is sought.

Recommendation 3 also aligns to sharing good practice. CUAP's response is that this was a university responsibility, but a template and guidelines were available. Supporting documentation included guidelines developed by universities. However, the Panel was not clear whether the university templates provided were endorsed by CUAP and were distributed as exemplars of good practice.

CUAP's response to this recommendation did not give any sense that any other codes of practice for expert reviewers had been reviewed.

This is the second time that a recommendation along these lines has not been responded to by CUAP. The Panel appreciates that universities do provide internal guidelines and there appears to be no issue with reviewers understanding what is required. Nonetheless the Panel also heard comment and the point was raised in submissions that a universal set of guidelines would be useful.

*The Panel **recommends** that CUAP assesses national and international codes of practice for external reviewers to develop guidelines for peer reviewers.*

R4 The Panel recommends that CUAP and Universities New Zealand consider introducing electronic approval, both by CUAP and subsequently by the Vice-Chancellors' Committee, for proposals which receive no objections.

This recommendation has been implemented. The Panel will comment further on opportunities for programmes to be approved in Section 3.1.1.3.

R5 The Panel recommends that if electronic approval is considered feasible, then CUAP allows for proposals to be submitted at any time, with the understanding that any proposal for which objections are outstanding will be held as an agenda item for a formal meeting of the Committee.

CUAP has considered this recommendation and commented that streamlining and scheduling changes met the intent of this recommendation. As noted above, the Panel will comment further on opportunities for programmes to be approved in Section 3.1.1.3.

R6 The Panel recommends that CUAP discuss Function 1c of its Terms of Reference and revise the wording to reflect more accurately what is properly and feasibly CUAP business.

CUAP has made a minor change to the wording of this recommendation. The Panel will make further comment on Function 1c in Section 3.1.3.

R7 The Panel recommends that Function 2c of CUAP's Terms of Reference be amended to read: To act for Universities New Zealand in establishing, through its subcommittee on University Entrance and after consulting with NZQA, criteria for discretionary entrance and ad eundem admission at entrance level and to determine whether international qualifications and local foundation programmes meet these criteria.

This recommendation has been implemented, although the final clause was omitted.

R8 The Panel recommends that CUAP consider whether its role in understanding and communicating issues related to school curriculum and the secondary/tertiary interface are sufficiently germane to its purpose as to warrant a specific Function within its Terms of Reference, and if so to draft accordingly a new Function 2d with current 2d becoming 2e.

CUAP agreed that this role was important but in July 2021 determined that a new function was not necessary. The Panel will comment further on university entrance in Section 3.2.

R9 The Panel recommends that CUAP and Universities New Zealand explore ways in which CUAP or a similar group (such as the DVC(A)s) might provide leadership to the university sector in raising and discussing emergent academic and professional issues and issues of concern to the sector, and in facilitating the sharing of good practice.

CUAP's response to this recommendation referred only to the establishment of the Committee of Deputy Vice-Chancellors (Academic). Information gained in interviews suggested that the DVCs (Academic) could provide this leadership, which would then be operationalised by CUAP. The Panel will make further comment on this in Section 3.3.

R10 The Panel recommends that CUAP, with Universities New Zealand, identify potential benchmarking processes or partners and develop a strategy for evaluating CUAP processes against recognised good practice internationally.

In response to this recommendation, CUAP undertook an initial exploration of a potential benchmarking partner. Having decided that partner was not suitable, no further progress appears to have been made although CUAP states that it "accepted the worth of the recommendation". The Panel is of the view that exploring one potential benchmarking partner is not an adequate response

to this recommendation. The Panel will make further comment on how CUAP assures itself that it is consistent with international good practice in Section 3.3.

*The Panel **recommends** that CUAP revisits the benchmarking recommendation from the previous review.*

R11 The Panel recommends that CUAP discuss with Universities New Zealand the form and content of a set of strategic objectives or a strategic plan for the Committee, emphasizing areas where CUAP might take a leadership role in assisting the university sector in understanding potential future developments and in meeting their academic objectives.

CUAP's response to this recommendation was again that UNZ had established a Committee of DVCs (Academic). In the view of the Panel, this response did not address the recommendation. In addressing GGP 1.3.4, CUAP's SRR stated that a strategic plan was not appropriate for CUAP. The Panel will comment further on how CUAP receives and provides strategic advice in Section 3.3.

R12 The Panel recommends CUAP checks, and makes amendments if necessary, to ensure there is consistency between the requirements for decision-making specified in the Standing Procedures and those reproduced in the CUAP Handbook.

This recommendation has been addressed. CUAP advises that this difference is intentional and important.

R13 The Panel recommends that CUAP urgently develop and publish a clear complaints and appeals procedure which must be followed when any decision of CUAP is challenged. To avoid ambiguity, such procedures must differentiate clearly any role of Universities New Zealand as an operational organisation and the Vice-Chancellors' Committee as a decision-making committee of Vice-Chancellors.

This recommendation has been addressed and an appeals process and secretariat has been established.

R14 The Panel recommends that Universities New Zealand publish the report of the 2017 Review and any future reviews on its website as a quality assurance item.

This recommendation has been implemented and the review has been published on the UNZ website.[15] The report is also available on the AQA website.[16]

R15 The Panel recommends that CUAP discuss the form and frequency whereby it conducts its own self-evaluation and puts in place a schedule for this to happen.

CUAP's response to this recommendation is that relevant matters are discussed as part of the annual review of the CUAP Handbook. The Panel is of the view that this is a limited response to this recommendation that does not encourage CUAP to reflect formally on its own performance.

---

[15] https://www.universitiesnz.ac.nz/latest-news-and-publications/report-2017-review-committee-university-academic-programmes-cuap. (Accessed 22 February 2022).
[16] https://www.aqa.ac.nz/CUAP2017 (Accessed 22 February 2022).

R16 The Panel recommends that CUAP prepare an induction resource which is available to all new Committee members, that it provides an individual induction for new student members, and that it provides student members with an attestation of their service.

CUAP's SRR states that CUAP is satisfied with the current process, but it does not provide any evidence on which to base this assertion. The Panel heard in interviews that an induction was provided for new members of CUAP, but this did not appear to be available to members of sub-committees. An induction resource does not need to be onerous but would provide advice and support beyond an induction meeting. The Panel will make further comment on this in Section 3.1.1.3.

R17 The Panel recommends that the Vice-Chancellors' Committee review Committee Composition clause 6b within CUAP's Terms of Reference to ensure it is not constrained unreasonably in its appointment of a Deputy Chair of CUAP, and that urgent consideration be given to succession planning for this role.

This recommendation has been implemented.

3   ToR #2: CUAP's Terms of Reference and Additional Responsibilities

The second term of reference for this review is to "Determine how effectively CUAP and its subcommittees meets its Terms of Reference as set out in 2.2 of the CUAP handbook and additional responsibilities as set out in 2.3. The review should assess effectiveness, strengths and progress, challenges and proposed enhancements."

The second ToR for this review assesses how effectively CUAP meets its own Terms of Reference as set out in 2.2 of the CUAP Handbook and additional responsibilities in section 2.3.

CUAP's Terms of Reference include Functions, Composition, Standing procedures and Secretariat and Appeals Authority. CUAP's composition and standing procedures will be addressed in section 4.

CUAP's self-review report provided information on CUAP's Functions and brief comment was made on CUAPs additional responsibilities in response to a request for further information. CUAP's self-review report also provided comment on INQAAHE's Guidelines of Good Practice but treated these separately and did not integrate them to ask questions about CUAP's Terms of Reference. The self-review report did not identify proposed enhancements arising from self-review activities. CUAP advised that enhancements were identified as part of an annual review of the CUAP Handbook and discussion papers on specific issues.

CUAP's functions are set out in Section 2.2 of the CUAP Handbook and are reproduced at the start of sub-sections in this report for ease of reference.

3.1   CUAP Function 1

CUAP's Function 1 is:

1.   To act for Universities New Zealand and on behalf of the New Zealand community of universities by:
     a.   setting up and applying inter-university programme approval, accreditation, and moderation procedures, which ensure that the quality of programme developments is consonant with high academic standards and mindful of the nation's interests
     b.   granting or refusing approval under the agreed procedures to new qualifications and courses of study, or changes in qualifications and courses of study for which approval is required, and for which due application has been made by a university
     c.   promoting the coherent development of courses of study within the New Zealand university system and ensuring that the quality of programme developments is consonant with high academic standards
     d.   encouraging the development of courses of study within the New Zealand university system that will facilitate the transfer of students between programmes and institutions.

The self-review report presented by CUAP treated all the components of Function 1 as a block. The sub-parts of Function 1 are closely inter-related. However, this section of this report will deal with each sub-part in turn.

3.1.1 Function 1a

CUAP has clearly set up and applies "inter-university programme approval, accreditation, and moderation procedures". The "inter-university" aspect of these procedures is a key feature of the university system in Aotearoa New Zealand's approach to quality assurance. Approval and accreditation are undertaken concurrently and the criteria and standards for approval and accreditation are established in the NZQF Programme Approval and Accreditation Rules.[17] CUAP refers to its Graduating Year Review process as its moderation process.[18]

Function 1a encompasses the largest part of CUAP's activities. Consequently, this is a relatively large section of this report.

3.1.1.1 Approval and accreditation

The CUAP Handbook and the self-review portfolio clearly set out the criteria and standards for approval and accreditation; the Handbook also provides a template for proposals and guidance on requirements. People the Panel spoke to clearly understand the criteria and are committed to maintaining high standards for academic programmes across the university sector.

*The Panel **commends** the understanding of and commitment to the CUAP process across the university sector.*

The NZQF Programme Approval and Accreditation Rules (the Rules) are common to all programme approvals and accreditations across the tertiary education sector in Aotearoa New Zealand. The self-review report explains that "CUAP's procedures ensure these are interpreted and applied in universities by those familiar with custom and practice in relevant disciplines internationally".[19] The Panel explored whether there was confidence that programmes approved by CUAP were consistent with programmes approved in the non-university part of the sector. The Panel also explored how CUAP ensured approval was also consistent with international standards.

The Panel was advised that consistency between university qualifications and programmes approved by CUAP and those approved by NZQA was not assessed. CUAP or university representatives are members of approval panels for non-university degree and above qualifications. This is not entirely a matter for CUAP but consistency of standards across the tertiary education sector is an issue for international reputation and for student mobility across parts of the sector. CUAP and NZQA might explore a light-touch means of being alerted to any developing inconsistencies, beyond the joint monitoring programme agreed for doctoral qualifications. This issue has the potential to increase in significance as qualification changes arising from the Reform of Vocational Education (RoVE) come into effect. For universities this will mainly impact on qualifications at levels 4-6 on the NZQF.

The need to comply with the NZQF Rules may limit CUAP's ability to consider relevant guidelines issued by international networks and other associations (GGP 1.1.2) when formulating its policies

---

[17] https://www.nzqa.govt.nz/assets/About-us/Our-role/Rules/2021/SIGNED-NZQF-Programme-Approval-and-Accrediation-Rules-2021.pdf (accessed 15 February 2022)
[18] CUAP Handbook, p45 (S 6.10).
[19] SRR, p22.

and practices. Nonetheless, the Panel did not gain the sense that CUAP does consider frameworks from other jurisdictions or networks.

In terms of ensuring international standards, people the Panel spoke with indicated that this relies on the expertise and international experience of peer reviewers and the internal reviews and approvals within universities. The Panel does not have any concerns that international programme standards are being met. However, it also heard that CUAP does not have proactive or intentional processes in place to ensure that it remains abreast of international trends and developments, not only in programme standards but also types of programmes and changing learner needs.

The Panel gained the view that CUAP is largely reactive with respect to matters that could affect programme standards or opportunities for future developments.

*The Panel **recommends** that CUAP engage key stakeholders to ensure it is well-informed about international developments.*

The Panel will make further comment on international awareness and connectedness in Section 3.1.1.4.

3.1.1.2   Moderation (Graduating Year Review)

Moderation can take several forms but in CUAP's case moderation refers to the Graduating Year Reviews (GYRs). The requirements and processes for GYRs are set out in Section 6.10 of the CUAP Handbook and CUAP's self-review report considered the GYR process to be a strength of the CUAP process.[20] The self-review report also identified changes to the GYR process to respond to challenges associated with the volume of GYRs and the time available for reviews.

The Panel heard comments and read in submissions that the GYR process, particularly the scrutiny stage, may warrant further attention. CUAP does not routinely report on the numbers of GYRs undertaken (beyond CUAP minutes) and the outcomes of the GYR process, although this information is no doubt available.

The Panel understands that the GYR process was modified in 2020 and 2021 in response to disruption and additional workloads placed upon universities by COVID-19. Under the modified process, universities were able to defer reporting to CUAP on the GYRs. Responses to this accommodation (while universally appreciated) varied from it providing a signal that the GYR process was not providing value, to the view that the GYR should be reinstated with further attention paid to rigour and realism of timelines.

*The Panel **commends** CUAP's flexibility and responsiveness during the COVID-19 period and its awareness of the demands on universities during this period.*

In common with the CUAP approval process, most GYR work appropriately takes place within universities. The Panel considers there is value in the GYR process but ***recommends*** *that CUAP revisit the purpose and processes of the graduating year review, including whether it is more appropriately managed at institutional or CUAP level, and how it might be enhanced to better support institutional*

---

[20] SRR, p25.

learning. The question of whether reporting institutional programme reviews is adding value could be included in this work.

In revisiting its GYR, the Panel suggests that CUAP include the suggestion made in a submission that the GYR template also include an assessment of Te Tiriri o Waitangi responsiveness.

3.1.1.3   Applying procedures

The programme approval, accreditation and moderation procedures of Function 1a are applied through CUAP processes and supported by the online Proposal Management System (oPMS). CUAP processes are set out in the Handbook and explain the inter-relationship between internal university processes and CUAP processes. The Panel also received a short demonstration of the oPMS.

Many people across the university system are involved in approving, accrediting and moderating qualifications and proposals. Without exception, those the Panel spoke with were collegial and constructive and offered valuable insights into their experiences of CUAP processes. This is a significant recognition of how CUAP applies its procedures as it does, from time-to-time, require the balancing of collegial and potentially competitive pressures. The Panel considered that these pressures were well balanced.

*The Panel **commends** the collegial engagement and approach in the role of CUAP processes across the whole of university sector.*

This collegiality can, at least in part, be attributed to leadership shown and support provided by the current Deputy Chair and UNZ Portfolio Manager – Academic Programmes. The Panel heard that the Deputy Chair carried a significant workload and contributed valuable continuity (and consistency) to CUAP's processes and decisions.

*The Panel **commends** the leadership and contribution of the Deputy Chair to CUAP processes.*

As noted in the Panel's comments on CUAP's response to Recommendation 1 from the 2017 Review, the Panel has ***affirmed*** *CUAP continuing to engage with stakeholders and users as they develop the next iteration of the online system.*

With the number and range of people involved with CUAP and its subcommittees, the Panel explored the induction and ongoing professional development they received to support their engagement. The Panel heard that induction was largely informal and did not extend to the subcommittees. Workshops for CUAP coordinators do occur but again these are informal. No feedback on the experience and value of induction or workshops is collected.

*The Panel **recommends** that CUAP develop systematic induction processes that include new members coming into CUAP and its subcommittees, and consider annual professional development opportunities for people in universities who are involved in programme approvals.*

Considering the INQAAHE Guidelines of Good Practice (GGP 1.4.3) (Appendix 4) prompted the Panel to note that systematic attention should also be paid to professional development for staff who support CUAP.

The Panel detected a difference in understanding in terms of how the student member of CUAP was able to engage with the peer review process (e.g., timing of access to the proposals and opportunity to comment), though CUAP assured the Panel that timing of student access was no different. Students will have contributed to programme approval processes within universities as members of academic committees (and potentially in proposal development). The Panel encourages CUAP to work with student members of CUAP to support their engagement with CUAP processes and will comment further on working in partnership with students in section 4.3.3.

CUAP processes are aligned with dates for CUAP meetings and two meetings a year (July and October) are designated for approval and accreditation matters.[21] The potential to provide more opportunities for proposal approvals was raised in Recommendation 5 of the 2017 Review of CUAP (Recommendation 4 is also relevant). CUAP's response to these recommendations was to allow for electronic approval, which means that proposals could be approved before CUAP meetings (if all universities 'sign off' on the proposal), and to move the final meeting of the year from November to October.

However, the Panel read in submissions and heard from a range of stakeholders that adherence to two approval rounds continues to constrain universities in timely programme development. While the benefits associated with having two rounds have been examined, the benefits of having more frequent (or even continuous) opportunities for approval and accreditation would appear to warrant re-examination. There will be some challenges in making changes to long-established processes. However, flexibility shown over the COVID-19 period has demonstrated that changes are possible. CUAP could also consider trialling other options for approval and accreditation (either more frequently or continuously) before making changes. The redevelopment of the oPMS should provide for more frequent programme approval opportunities. In making the recommendation below, the Panel is conscious that impacts on CUAP in potentially managing more than two approval rounds would need to be balanced with both opportunities and load on universities. It may be that analysis of previous CUAP proposals could identify further sets of proposals that attract relatively little comment. This may provide an opportunity to amend CUAP processes and facilitate some faster approvals.

*The Panel **recommends** that CUAP explore whether two programme approval rounds continue to be sufficient for timely approval of proposals to support university initiatives.*

Application of CUAP procedures is guided by the CUAP Handbook. The Panel found that the CUAP Handbook includes a variety of styles with some sections being narrative-dense and others lacking interpretation (see below). The Handbook is reviewed annually, and the Panel gained the view that these reviews tend to be reactive. This approach has led to a series of incremental changes to the Handbook. The Panel also read in submissions and heard from interviewees that the Handbook could benefit from a major overhaul. This could happen in conjunction with the development of the new Proposal Management System and should also include user input.

---

[21] CUAP Handbook, p43 (S6.6.1).

3.1.1.4   High academic standards and nation's interests

The final clause of Function 1a is that the "quality of programme developments is consonant with high academic standards and mindful of the nation's interests". The Panel is confident that high academic standards are considered in programme developments but was less clear about how the 'nation's interests' were gauged. The CUAP Handbook does not provide advice on interpreting this phrase in the context of programme developments, nor is it mentioned in the self-review report.

The Panel explored what was meant by 'nation's interests' in interviews and was provided with the example of whether particular languages should continue to be available in universities in Aotearoa New Zealand. This issue had also been explored in the 2017 External Review of CUAP with that Panel suggesting the clause be removed from Function 1a as it lacked clarity.[22]

The Panel for this review considered there were several areas in which programme developments could be "mindful of the nation's interests". They include the extent to which programme developments reflect international trends in how qualifications are structured and delivered (for example, degree apprenticeships, associate degrees, micro-credentials, online and third-party delivery) so that the nation's programmes remain internationally relevant; or national developments such as inclusion of Mātauranga Māori in qualifications. While CUAP's Terms of Reference would not preclude such developments, they are similarly not particularly configured to promote thinking about them. The Panel expands on the suggestion of the previous Panel to suggest that the phrase 'nation's interests' should either be explained or removed.

With respect to inclusion of Mātauranga Māori in qualifications, the Panel agrees with a point made in submissions that CUAP could be well placed to monitor how Mātauranga Māori and Te Reo Māori are being incorporated in university qualifications in Aotearoa New Zealand. This was expressed in a submission as an opportunity "to refresh metrics that record how universities are increasingly honouring Te Tiriti …". The Panel will comment on the need to address CUAP's current lack of capability to assess how Mātauranga Māori is treated in programme proposals in Section 4.1.

3.1.2   Function 1b

CUAP's method for "granting or refusing approval to new qualifications and courses of study, or changes in qualifications and courses of study" is based on peer review of proposals, plus the resolution and committee processes set out in sections 6.5.1 and 6.6 of the CUAP Handbook.

3.1.2.1   CUAP decision-making

CUAP meets three times a year. This is a reduction in the number of annual meetings since the last review. The Panel gained the view that CUAP's collegiality extends to discussions at CUAP meetings.

CUAP's approach to decision-making is summarised in Table 2 below:

---

[22] Town, et al. (2017), p13.

Table 2: Summary of CUAP decision-making

Time frame	
Week 0	Proposals submitted
3 weeks	Comments and responses visible only to commenting university
3-8 weeks	Comments and responses visible to all.
	Proposals may be 'signed off' (approved) during this period
8 weeks	Proposals that have been signed off by all other universities are approved by the Chair and noted at the next CUAP meeting.
	Proposals where 1 university (or more) has not signed off are referred to the next meeting of CUAP.
CUAP meeting	Decisions on proposals by majority vote.
	Approval may be unconditional, deferred (second-chance), conditional (review assessment) or declined.
2 weeks	Deferred decisions (second-chance) proposal to address issues outstanding after the CUAP meeting.
	Decisions require unanimous approval

The Panel read in submissions that aspects of this process could be considered inconsistent and potentially unfair, although it also noted that CUAP does place emphasis on collegiality and making decisions that both respect individual university autonomy and uphold standards across the university sector as a whole.

The concerns raised were the ability of universities who have previously signed off on a proposal to re-enter the debate if a proposal is referred to a CUAP meeting and the need for unanimous approval in second chance resolutions. Although these issues were raised in a minority of submissions, they are important points, and the Panel suggests there would be merit in CUAP discussing them again and including the rationale for differences in the CUAP Handbook.

3.1.2.2 Numbers of proposals

Over the past five years, an average of 86 proposals (excluding programme deletions) have been submitted to Round 1 and an average of 107 to Round 2 (Figure 1). The average percentage of proposals amended during the peer review process is 32% with a range from 19.4% to 51.9%. As indicated in CUAP's self-review report,[23] this demonstrates a high level of engagement in the peer review approval process from both reviewing and submitting universities.

---

[23] SRR, p24.
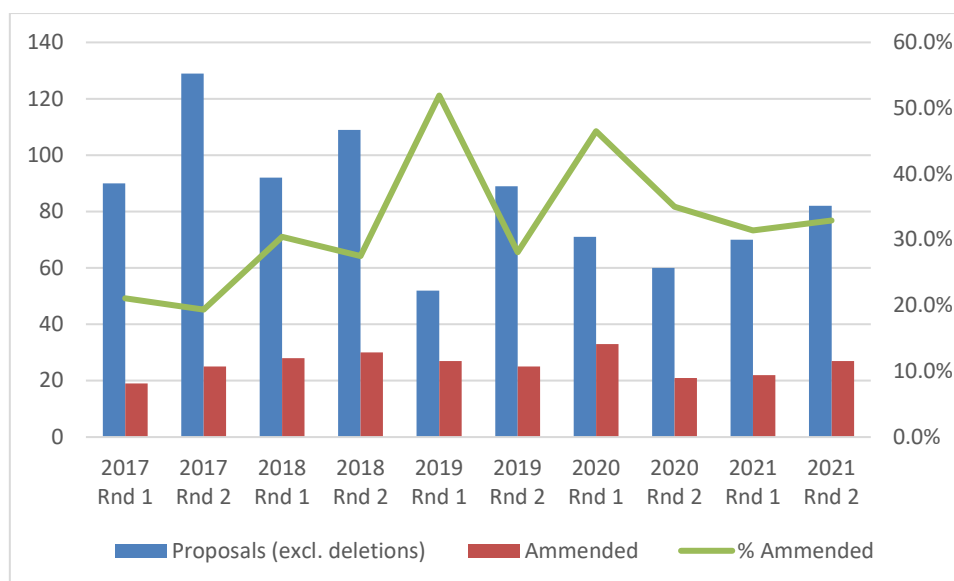
Figure 1: CUAP Proposals 2017-2021 (Source: developed from data provided by CUAP)

As well as indicating a high level of engagement with the peer review process, having almost a third of proposals amended may also indicate areas where further guidance would be valuable for submitting universities. One submission suggested that most amendments were requirements for further detail or clarifying intentions. That may be so, but it would still be useful for submitting universities to appreciate if there are particular areas where further detail or clarity is required.

Relatively few proposals raise issues that are not resolved in the peer review process. These proposals are discussed at CUAP meetings (Figure 2). CUAP's self-review report suggests that these proposals are "likely to involve discussions of principle that have generic implications". The Panel suggests it could be helpful in informing future developments if these matters of principle are recorded centrally and periodically reconsidered in aggregate.

Of the over 800 proposals submitted to CUAP between 2017 and 2021, only 1 proposal has not subsequently been approved.

Figure 2: Proposals discussed at CUAP meetings (Source: developed from data provided by CUAP)

3.1.2.3   Peer review

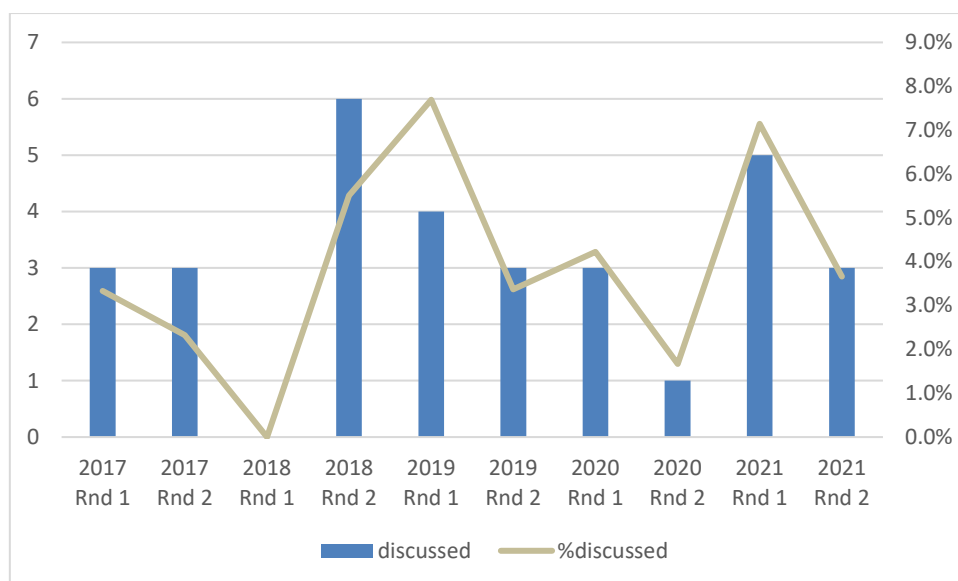Peer review is seen as a strength and defining characteristic of CUAP approval, accreditation and moderation processes. It helps give effect to the research-teaching nexus in university teaching through having discipline experts critique proposals from other universities. The Panel heard that peer review was fundamental in maintaining standards.

The peer review process allows submitting universities to respond to peer comments. Responses can include amending the original proposal to address matters raised by peer reviewers. The CUAP process is constructive in allowing proposals to be improved during the peer review process.

*The Panel **commends** CUAP for its peer review process, which is constructive and adds value.*

Potential disadvantages of peer review were also recognised. These include a tendency for peers to assess proposals in terms of what already exists and potentially limiting innovation. The point was made that other factors (including funding settings and the NZQF) also act as restraints on innovation. The Panel considered however that CUAP again manages the potential tension between peer review and innovation well.

The Panel explored how peer reviewers were selected and what guidance they were provided with. The previous review of CUAP had recommended that a set of generic guidelines be developed by CUAP. CUAP has chosen not to adopt this recommendation, arguing that providing guidance is a matter for each university but has provided examples of guidance from two universities as a supporting document. The Panel was not entirely convinced by this argument but was satisfied that peer reviewers did receive good guidance that set out both the substantive matters of review and the collegial and constructive 'tone' for reviews.

*The Panel **commends** CUAP for its respectful peer review process and for the way in which this respectful approach has clearly been communicated.*

3.1.2.4 Qualifications with professional accreditation requirements

For qualifications with professional accreditation requirements, CUAP requires evidence of acceptability to the professional body before the proposal is submitted to CUAP. The Panel noted that professional bodies have different requirements for accreditation, including some that do not provide accreditation until teaching had commenced or graduates had completed. This matter was also raised in submissions and the Panel suggests that CUAP consider options for approving a proposal that has a plan and timeline for accreditation in place.

Such an approach would require CUAP to be advised of relevant outcomes of professional accreditation processes as suggested in the Panel's comments on CUAP's response to recommendation 2 from the 2017 Review of CUAP.

3.1.3 Function 1c

The previous two reviews of CUAP have made recommendations that Function 1c either be deleted or amended. As noted in Section 2, CUAP has made a minor amendment to the wording of Function 1c. It retained the phrase "consonant with high academic standards" which the 2017 Panel had noted was already included in Function 1a.

CUAP's self-review report argues that Function 1c has an important role in promoting consistency of standards. The Panel agrees that this is an important role but suggests that the wording of Function 1c could be clarified.

There is some difference of view about CUAP's view of Function 1c. CUAP's self-review report suggests that Function 1c allows CUAP to assess the strategic relevance of international developments for universities in Aotearoa New Zealand, while some submissions argue that Function 1c promotes the status quo and impedes innovation. These differing views provide further support for the need to clarify the intent of Function 1c and it may be useful to reconsider the wording proposed by the 2017 Review panel.

It appeared to the Panel that Function 1c (following clarification) could support revisiting Recommendation 10 (benchmarking) from the 2017 Review to provide evidence that CUAP's programme approval processes were consonant with high international standards.

3.1.4 Function 1d

Function 1d encourages the development of courses of study that facilitate student mobility. CUAP's self-review report states that Function 1d is "achieved through the policies of individual universities" referring to universities' individual credit transfer arrangements.

The Panel was made aware of a UNZ project on credit recognition and transfer, and some submissions referred to significant differences in credit recognition and transfer and the difficulties these presented for students. The Panel does not share CUAP's view that the UNZ project is not directly relevant to Function 1d and suggests that Function 1d be revisited once the recommendations from the credit recognition project are available.

The Panel __recommends__ that CUAP revisit the view that current work on credit transfer is not directly relevant to CUAP and /or its Subcommittee on University Entrance.

The CUAP self-review report raises a question about whether differences in entry standards between degrees in the university sector and those in the non-university sector may contribute to a risk to the international reputation of degrees from Aotearoa New Zealand and disadvantage students. The Panel suggests that this issue could be included in any work examining the potential for inconsistencies between CUAP and NZQA programme approvals as suggested in Section 3.1.1.1.

3.2 CUAP Function 2

2. To act for Universities New Zealand:
    a. as the body which the New Zealand Qualifications Authority (NZQA) will consult about policies and criteria for the approval of courses of study and their accreditation in the universities
    b. through its subcommittee on university entrance, as the body which is consulted by NZQA on the standards to be established for entrance to university, and which makes recommendations to NZQA on such standards. *Note: Before setting such standards, NZQA is required to consult the Council of each university as well as Universities New Zealand.* [italics in original]
    c. in establishing, through its subcommittee on university entrance and after consulting with NZQA, criteria for discretionary entrance and ad eundem admission at entrance level
    d. in obtaining university representatives for NZQA approval panels, committees and other similar bodies, as required.

CUAP Function 2 is concerned with relationships with NZQA including matters related to programme approval and accreditation (Function 1a), entrance to university and university representation on NZQA panels, committees and other bodies.

3.2.1 Function 2a

CUAP's self-review report refers to Section 452 of the Education and Training Act 2020 which empowers NZQA to make rules including New Zealand Qualifications Framework (NZQF) Qualification Listing and Operational Rules 2021 and the Programme Approval and Accreditation Rules 2021.[24] Unless exempted Rules are binding on universities.

The Programme Approval and Accreditation Rules 2021 establish the criteria CUAP must apply in Function 1a and the listing rules set out the processes CUAP must follow to list qualifications approved by CUAP on the NZQF.

CUAP's self-review report also comments that recent changes have been in response to matters in the non-university sector.[25] However, changes to address matters in the non-university sector, when they are enacted as Rules, could affect CUAP and universities. The Joint Consultative Group

---

[24] SRR, p31.

[25] A significant work programme, including a Reform of Vocational Education (RoVE), in the non-university part of the tertiary education sector has been underway since the beginning of 2019. Other developments have included a new Tertiary Education Strategy and Statement of National Education and Learning Priorities in 2020.

(JCG) serves as a forum where potential changes can be signalled at an early stage, allowing university perspectives to be communicated.

Changes in the non-university part of the tertiary education sector are ongoing and include a review of the NZQF. Remaining abreast (or ahead) of these developments will continue to be a matter for CUAP's attention, as well as managing a balance between university sector priorities and priorities for the whole of the sector. Further potential changes to the NZQF include listing micro-credentials as well as qualifications.[26]

New types are courses are emerging globally and universities in Aotearoa New Zealand Universities need to align with market trends as part of remaining competitive. Short courses and micro-credential are recognised by students and employers. It is critical that there is a framework and guidelines on the development of such courses and their alignment with award courses, credit pathways and standards at relevant qualifications levels.

*The Panel **recommends** that CUAP continue to work with NZQA to develop advice and guidelines on micro-credentials and how they align with qualifications.*

3.2.2   Function 2b

CUAP's self-review report indicates that Function 2b is rarely used, although the impacts of the COVID-19 pandemic on candidates for university entrance (UE) led NZQA "to modify temporarily the UE standard"[27] in 2020. Conditions for discretionary entrance were also varied.

CUAP provided information (Figure 3) that demonstrated the persistent gap in UE attainment for Māori students and Pacific Peoples students in Year 13. This is not entirely a CUAP issue, but the Panel considered that CUAP and its Subcommittee on University Entrance contributes to the interface between school and university and could contribute useful advice to addressing these gaps.

---

[26] Education and Training Amendment Bill (No 2). Available at
https://legislation.govt.nz/bill/government/2021/0102/latest/LMS607976.html?src=qs (Accessed 18 February 2022).
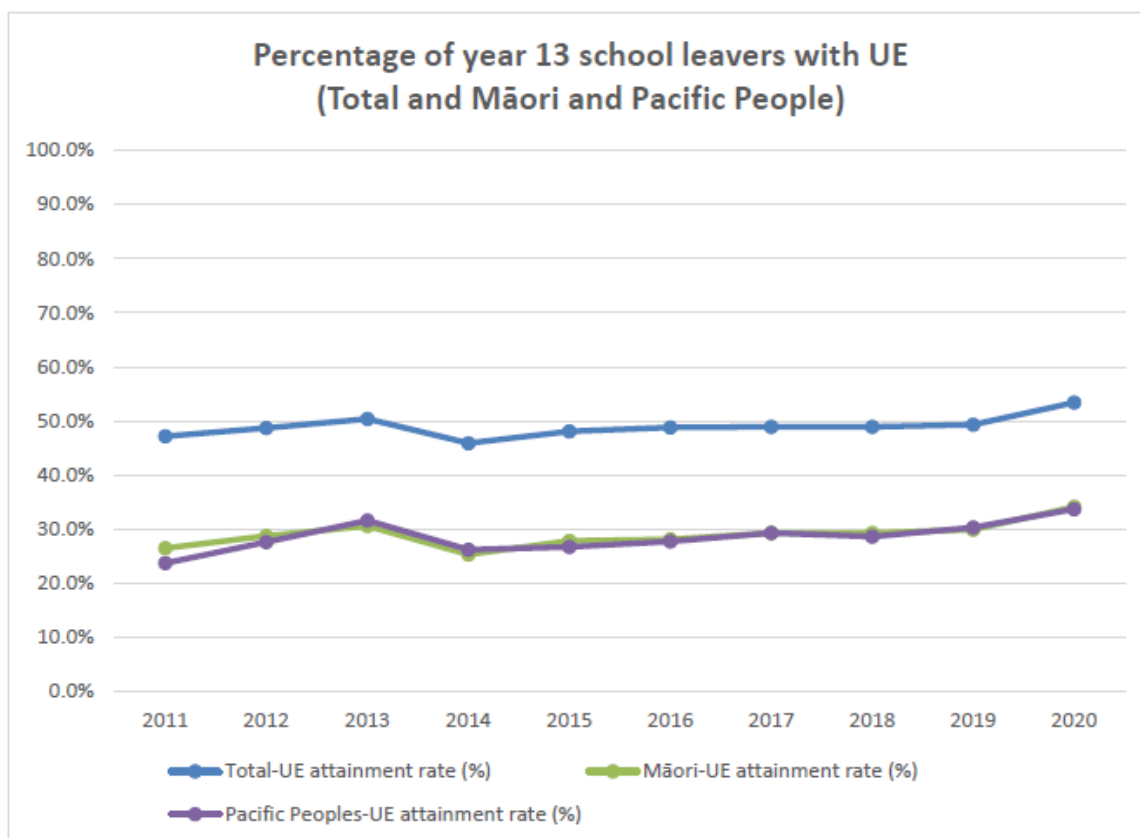[27] SRR, p32.

Figure 3: UE Attainment (Source: CUAP Additional Information)

Others the Panel spoke with expressed concern about how well UE was preparing school leavers for university study. These might be different issues, but both would support a more proactive engagement in modifying the UE standard.

*The Panel **recommends** that CUAP and its Subcommittee on University Entrance consider taking a more strategic and proactive approach to access to university, with a view to contributing to achieving equity in access to university for Māori students and students who are Pacific People.*

In addressing this recommendation, CUAP and its Subcommittee on University Entrance should work with Te Kāhui Amokura and others, including Pacific Peoples, who can provide insight and guidance to address this complex and important issue.

3.2.3   Function 2c

Function 2c is concerned with alternative Year 13 qualifications and grade levels required for international qualification for entrance to university. CUAP (through the Subcommittee on University Entrance) maintains statistics on students admitted under discretionary entrance and *Ad Eundem Statum* pathways and their first year at university academic achievement. These data are distributed to universities and the Portfolio Manager Academic Programmes alerts universities to any unexpected variances in the data.

The Panel considered that this was an example of how data collected by CUAP could be used to inform further development.

3.2.4   Function 2d

Function 2d supports CUAP's contribution to the wider tertiary sector by providing nominees for NZQA review panels and other initiatives, including the review of the NZQF. From the information provided to the Panel, it appears that most of this work is undertaken by the CUAP Deputy Chair.

3.3   CUAP Function 3

3.   To provide advice and comment on academic developments across the university system to institutions, professional bodies and agencies.

CUAP's self-review report provided only a short comment on Function 3 and saw it as CUAP's responsibility to communicate CUAP processes and quality assurance in universities more broadly to international and domestic audiences. CUAP does provide briefings for international delegations and has initiated work to raise awareness and understanding of CUAP's processes with professional bodies in Aotearoa New Zealand. The Panel affirms this work and encourages CUAP to systematically seek feedback on this aspect of its work (see also Section 4.3).

*The Panel **affirms** CUAP's initial work in building awareness and relationships with professional bodies.*

The Panel also learned that CUAP distributed an analysis of trends in enrolments in postgraduate qualifications following the introduction of 180-credit point Master's degrees and that universities had found this useful. This is an example of the sort of analysis that CUAP (with the support of other UNZ capacity) is well placed to contribute and that can help inform universities' own planning.

*The Panel **affirms** the analytic work undertaken on the 180-credit point Master's and considers it could provide a model for future analysis that would be of value to universities.*

However, the Panel also read in submissions and heard from interviewees that CUAP could both provide further advice and benefit from advice to inform its own decision-making and developments. This advice could come from other UNZ committees and other bodies with an interest in the development of high-quality academic programmes.

CUAP indicated in its self-review report that a strategic plan would not be appropriate for CUAP (GGP 1.3.4). In response to a Recommendation from the previous Review (R#9), CUAP noted that UNZ had established the Committee of Deputy Vice-Chancellors (Academic). The Panel took this to mean that the DVCs (Academic) would lead on strategic matters and that CUAP would take a more operational role. This interpretation was not consistently reflected among those the Panel spoke with and some interviewees suggested that some issues 'fell through the gaps' between committees. The Panel suggests that a feedback step be included for matters referred from CUAP to other committees.

*The Panel **affirms** the establishment of a functional relationship between the Committee of Deputy Vice-Chancellors Academic and CUAP on issues of quality assurance.*

Whether or not CUAP does have its own strategic planning role—and the Panel understands that it may not—CUAP does exist in a strategic context and is dealing with matters that are subject to a great deal of external change. These include changes to forms and types of qualifications, changes to

delivery modes (with increased use of educational technology), increased student diversity, expectations to be responsive to (or honour, using the language in the Education and Training Act 2020[28]) Te Tiriti o Waitangi, changes to the New Zealand Qualifications Framework and even new models of quality assurance.

The Panel is firmly of the view that CUAP would benefit from a 'planning session' on an annual basis to allow it to systematically consider advice that is available from UNZ committees (particularly Te Kāhui Amokura, the DVCs (Academic), the International Committee, the Research Committee and the Planning Committee). Advice from these (and other) committees could include, but not be limited to, matters such as Te Tiriti o Waitangi responsiveness, international trends, the research-teaching nexus and funding of tertiary education that will affect future qualifications. Such advice would add to CUAP's reflection on feedback on its own performance (see Recommendation 17) and contribution, and help inform how CUAP is preparing to respond to external changes and pressures.

*The Panel **recommends** that CUAP work with UNZ to increase horizontal connectedness across the UNZ secretariat and portfolios to support a strategic approach to opportunities (including innovation) and challenges in quality assurance. This approach should include transparency in assigning responsibilities.*

*The Panel **recommends** that CUAP undertake an annual planning process that enables future focused and outwardly looking discussions to inform future CUAP priorities.*

3.4   CUAP Function 4
4.   To undertake specific tasks as may be requested of it from time to time by Universities New Zealand.

With respect to Function 4, the CUAP self-review report referred to the establishment of an Offshore Programmes Subcommittee. The Panel wondered, if this was now an ongoing part of CUAP's responsibilities, whether it should be more explicitly referenced in CUAP's Terms of Reference?

Although CUAP's self-review of this function focused on off-shore delivery of already approved programmes, it did raise the question of whether CUAP, in its approval and monitoring criteria, should consider to a greater extent how programmes were delivered. According to Section 4.2 of the CUAP Handbook, "CUAP's role is confined to ensuring that appropriate methods are proposed".

Given the considerable disruption to delivery due to the COVID-19 pandemic, the Panel explored the issue of the role of delivery in quality. There was agreement from some groups that greater attention to how teaching and learning occurred as well as curriculum content could be useful as "high academic standards" include delivery.

3.5   Secretariat and Appeals Authority
The CUAP Handbook states that "the committee shall be serviced through Universities New Zealand under the overall direction of the Chief Executive".[29] In practice, the Portfolio Manager – Academic

---

[28] The Educational and Training Act 2020. Available at
https://www.legislation.govt.nz/act/public/2020/0038/latest/whole.html#LMS170676. (Accessed 19 February 2022)
[29] CUAP Handbook, p14.

Programmes provides support for the committee. The UNZ Chief Executive attends all meetings of CUAP.

The Panel heard that the Portfolio Manager – Academic Programmes was responsive and helpful in providing guidance and responding to feedback.

*The Panel **commends** the Portfolio Manager – Academic Programmes for their responsiveness to and support for those who manage CUAP processes within universities.*

However, the Panel also heard that CUAP works on a very 'thin' resource base. This was acknowledged in submissions and interviews with appreciation for the volume of work that it achieved with limited resources.

*The Panel **commends** the work to support CUAP that is achieved from the focused resources that it deploys.*

CUAP Term of Reference 22 specifies that the UNZ Chief Executive will "establish a suitable person to act as the CUAP Appeals authority". Point 16 of the CUAP ToR (Standing procedures) establishes processes for addressing disputes. The appeals process and authority were established in response to a recommendation in the 2017 Review of CUAP. No appeals have been received and therefore the effectiveness of these processes is untested.

3.6   Additional responsibilities

Additional responsibilities for CUAP are set out in Section 2.3 of the CUAP Handbook. They are the Joint Consultative Group (JCG), the Standing Committee on University Entrance, and Other bodies.

The Panel has already noted with respect to Function 2a that the Joint Consultative Group serves as a forum where upcoming matters can be discussed at an early stage.

The Panel was not clear why the Standing Committee on University Entrance was an additional responsibility when Function 2 is concerned with university entrance and CUAP has the power to establish subcommittees. Similarly, the activities under 'Other bodies' would seem to be very similar to Function 2d or Function 4. The Panel also wondered at what point did responsibilities cease being 'additional' and be incorporated into CUAP's Terms of Reference. These matters could be addressed in a review of the Handbook as suggested in section 3.1.1.3.

4   ToR #3: Composition, Standing Procedures and Key Relationships

The third term of reference for this review is to "determine the current and future appropriateness of CUAP's composition and structure, standing procedures and key relationships".

4.1   Committee Composition

The CUAP Handbook sets out the composition of the committee in items 5-11 of its Terms of Reference, and specifically in TOR 6 as follows:

- chairperson appointed by Universities New Zealand, currently a member of that committee or a member of the staff of a university

- a deputy chairperson appointed by Universities New Zealand

- one representative of each university, currently a member of the staff of that university, usually the Deputy Vice-Chancellor Academic or equivalent, or delegate

- one nominee of the New Zealand Union of Students' Associations.

CUAP's terms of reference allow for a limited amount of substitution of members by universities but make the point that "*… effectiveness of the committee depends on continuity between meetings and it is important that members attend all meetings wherever possible"*.

The membership of the Subcommittee on University Entrance is set out in Appendix A and the Offshore Programmes Subcommittee in Appendix G of the CUAP Handbook.

The self-review report makes comment on where the composition of CUAP can be found and suggests that the composition contributes to sharing of good practice between universities[30] but does not otherwise comment on committee composition. Therefore, the Panel explored this term of reference in interviews and drew on comments provided in submissions.

CUAP's criteria for programme approval include "Te Tiriti o Waitangi: A statement of the implications for how this proposal is consistent with the university's commitment to the principles of Te Tiriti o Waitangi". The Panel considered this criterion was awkwardly phrased. However, the more substantive point is that the composition of CUAP does not provide expertise to allow the adequacy of this criterion to be addressed. It can be expected that this, along with other criteria would be addressed in peer review; however, if a proposal is referred for discussion at a CUAP meeting, CUAP does not have the expertise to assess whether the criterion has been adequately addressed.

The same concern exists for CUAP's ability to assess how peer review has treated the inclusion of Mātauranga Māori in proposals or proposals submitted in Te Reo Māori.

This report has commented on the gaps that exist in access to university for Māori students. The Subcommittee on University Entrance also lacks expertise to inform and ensure that the needs of Māori students are consistently reflected in discussions and in advice that is provided by the Sub-committee to CUAP.

---

[30] SRR, p27.

*The Panel **recommends** that the membership of CUAP and the Subcommittee on University Entrance both be extended to include two members nominated by Te Kāhui Amokura who can provide guidance on Te Tiriti o Waitangi responsiveness and advice on Mātauaranga Māori on behalf of the university sector.*

In making this change to the composition of CUAP and the Subcommittee on University Entrance, CUAP would be contributing to the university sector's move towards Te Tiriti responsiveness as a whole and showing leadership in giving meaningful effect to partnership. The Panel also recognises that Te Tiriti o Waitangi responsiveness is not solely a matter for Māori.

*The Panel **recommends** that CUAP reflect on how all members are equipped to give effect to Te Tiriti o Waitangi.*

Te Tiriti o Waitangi responsiveness will be an ongoing process that will also be guided by the university sector's Te Tiriti Framework currently being developed by Te Kāhui Amokura and NZVCC. CUAP should be open to further changes in requirements or processes as it transitions to a quality assurance body that reflects the context of Aotearoa New Zealand, and the needs of Māori students and staff in universities.

The Panel reinforces the argument that while having members of CUAP who are Māori would provide ethnicity balance, the competency and capability of the members is critical to give effective leadership in Te Tiriti responsibilities. This leadership and support must enhance the university sector efforts to include Mātauranga Māori in qualifications and qualifications in Te Reo Māori in a similar way to how CUAP requirements and processes provide support and guidance for programme development in universities. However, the Panel is also conscious that CUAP responding to Te Tiriti o Waitangi would increase the workload for Māori staff in universities. Therefore, the Panel urges consideration and management of such burden by universities.

The Panel noted a view in a submission that expanding membership of CUAP was not desirable and additional representation of stakeholders could be addressed through expanding consultation requirements. It is the Panel's view that expanding consultation requirements would not address Te Tiriti o Waitangi obligations. This work must be undertaken in an active engagement with Te Kāhui Amokura.

The Panel makes two further recommendations about the composition of CUAP's subcommittees and access to expertise and provision of guidance.

*The Panel **recommends** that the currently unfilled co-opted schools' representative positions on the subcommittee be filled.*

With respect to the Offshore Programmes Subcommittee, the Panel also explored the expertise that this subcommittee can access. International and transnational education has been dramatically affected by the COVID-19 pandemic and this area is likely to be increasingly dynamic. The Panel considers there would be value in this Subcommittee being able to get advice from those closely involved in the development of international education, including with transnational education and third-party delivery. This could also help CUAP be responsive to international opportunities for universities.

*The Panel **recommends** that the membership of the Offshore Programmes Subcommittee be extended to include a nominee from the UNZ International Committee, or an international expert, who can provide sector-level advice to the Subcommittee and to CUAP.*

Section 3.2.2 of this report commented on the gaps in access to university that also exist for students who are Pacific People. The Panel suggests that CUAP also consider how it and its committees, particularly the Subcommittee on University Entrance, are informed and equipped to make decisions that will also address gaps in access for students who are Pacific People. The Panel will make a further comment on committee membership in Section 4.1.

4.2   Standing Procedures

CUAP's Standing Procedures are set out in points 12 – 20 of CUAP's Terms of Reference. No points about the standing procedures were raised in submissions or interviews. The Panel notes, however, that responding to recommendations, particularly those concerned with committee composition, could mean consequential changes to standing procedures.

4.3   Key relationships

The Panel explored CUAP's key relationships. They considered these relationships to be with the universities themselves, NZQA, professional bodies, students and AQA. These relationships all have different dimensions and, overall, the Panel considered that CUAP manages stakeholders and relationships well to ensure a collaborative quality assurance process.

*The Panel **commends** CUAP's management of stakeholders and relationships in a complex environment to ensure a collaborative quality assurance process.*

However, the Panel also gained the view that CUAP could be better informed about stakeholder perceptions and needs. This is part of proactively strengthening the information that CUAP has available to it (section 3.3) and ensure that it is aware of future priorities. It is critical that CUAP engages with various stakeholders and establishes mechanisms to collect and act on feedback from universities, professional bodies, NZQA, Education NZ and other stakeholders.

*The Panel **recommends** that CUAP implement a systematic, formal, approach to seeking feedback from stakeholders.*

4.3.1   Universities

From information provided in submissions and in interviews, the Panel found that CUAP was valued and respected by the universities. The Panel explored the need for CUAP to have a continuing role, given that it is unusual internationally for well-performing universities with mature quality cultures not to be individually self-accrediting. It heard that CUAP's ability to deliver a light-touch but rigorous quality assurance process was appreciated.

*The Panel **commends** CUAP for its delivery of a high trust/light touch rigorous model of quality assurance.*

4.3.2 NZQA

The relationship with NZQA was constructive and this engagement provided opportunities to engage collaboratively on issues of whole sector interest. Reference to the relationship with NZQA was also made in sections 3.2.1 and 3.2.4.

*The Panel **affirms** CUAP's relationship building and quality engagement with NZQA across key sectorial issues.*

The Panel has previously commented on relationships with professional bodies and affirmed CUAP's efforts in developing these relationships further.

4.3.3 Students

Recognition of the contribution that students can make to quality assurance and the value of a partnership approach is growing internationally and in Aotearoa New Zealand. Here, this recognition is reinforced in the objectives of the Statement of National Education and Learning Priorities and Tertiary Education Strategy which have an objective of learners being at the centre of education.[31]

CUAP currently has one student member. This is a significant undertaking given the diversity of students in Aotearoa New Zealand. The Panel is concerned that a single student member of a committee means that little support is available to that student and that it risks being a tokenistic approach to engaging students in quality, as well as restricting the opportunity for students to add value to CUAP's deliberations..

The Panel understands that a recommendation from CUAP to appoint a Māori student as a second student member of CUAP was recently deferred by the Vice-Chancellors.

*The Panel **recommends** that the appointment of a Māori student (nominated by Te Mana Ākonga) as a second student member of CUAP be revisited.*

This recommendation is separate from the recommendation to add two members nominated by Te Kāhui Amokura to CUAP. Both recommendations are important and serve different, but complementary, purposes. CUAP members nominated by Te Kāhui Amokura will provide leadership in addressing Te Tiriti o Waitangi responsiveness. A second student member will strengthen CUAP's ability to work in partnership with students. However, reflecting Te Tiriti o Waitangi responsiveness, the student member of CUAP should be a Māori student.

The Panel was concerned to learn how students had heard feedback on the proposal to add a Māori student representation to CUAP. Students had heard an adversarial response including that a Māori student would be focused on activism rather than quality. The Panel was disappointed that this was the impression that stakeholders were left with and encourages respectful dialogue on the contribution (from a strengths-based perspective) that would be added by a Māori student member of CUAP in addressing this recommendation.

A Māori student member of CUAP could also encourage the engagement of Māori students with quality assurance processes in universities. It was suggested on a submission that an AQA working

---

[31] https://assets.education.govt.nz/public/Documents/NELP-TES-documents/FULL-TES-2020.pdf (Accessed 20 February 2022).

paper[32] applying the "Whiria Ngā Rau"[33] model developed by students with the support of the Ministry of Education could provide advice to CUAP on working in partnership with students in academic quality.

A second student member of CUAP would also be consistent with recent UNZ practice on other committees with student members (the Committee on University Student Pastoral Care)[34] and recommendations made in the 2020 external review of AQA.[35]

To help ensure that students feel their contributions are valued and to support students to make contributions, the *Panel **recommends** that student members of CUAP are remunerated*.

4.3.4   AQA

CUAP's self-review report makes multiple references to AQA. This is not surprising as the activities of the two bodies intersect and both are entities established by the NZVCC to give effect to its responsibilities for quality assurance in the university sector.[36]

AQA has undertaken previous reviews of CUAP. In this review, however, the Panel felt that the role of secretariat to the review had constrained input that AQA might have otherwise provided to the review. The current vacancy in AQA staffing contributed to this lack of input as separation of activities was not possible with a single AQA staff member.

Submissions also commented on the relationship between CUAP and AQA, noting that with the establishment of the Committee on University Student Pastoral Care (CUSPaC), there are now three NZVCC entities setting quality assurance expectations for universities in Aotearoa New Zealand. The Panel wonders whether there would be merit in extending the next external review of AQA, scheduled to coincide with the review phase of Cycle 6 Academic Audit, to be a review of the external quality assurance system for the universities, rather than reviewing constituent parts separately.

---

[32] Smith, S. (2021). Students in Quality: A working paper to guide AQA's response to its 2020 external review recommendations. Available at https://www.aqa.ac.nz/sites/all/files/Students%20in%20Quality%20Working%20Paper%20%28FINAL%29%202.pdf (Accessed 1 March 2022).

[33] Ministry of Education in partnership with Te Mana Ākonga, New Zealand Union of Students' Associations, Tauira Pasifika, and the National Disabled Students' Association (2021). Whiria Ngā Rau: Progressing from student voice to partnerships". Available at https://www.students.org.nz/whiria-nga-rau (Accessed 1 March 2022).

[34] https://www.universitiesnz.ac.nz/committee-university-student-pastoral-care-cuspac-0 (Accessed 22 February 2022).

[35] Recommendation 8, https://www.aqa.ac.nz/sites/all/files/AQA%20External%20Review%20Report%202020%20NZVCC.pdf,. (Accessed 22 February 2022).

[36] New Zealand Government (2020). The Educational and Training Act 2020. Available at https://www.legislation.govt.nz/act/public/2020/0038/latest/whole.html#LMS170676. (Accessed 19 February 2022)

5   ToR #4: Broader Goals and Frameworks

> The fourth term of reference for this review is "consider how CUAP and its ToR support broader goals and expectations of the NZVCC (including Te Tiriti o Waitangi responsiveness, academic freedom and universities' role as critic and conscience of society, and the interdependence of university research and teaching); and how CUAP's ToR and processes consider all students and all delivery (in person, international, on-line, trans-national, etc)".

CUAP's self-review report for this review did not comment to any extent on this term of reference. However, reference was made in submissions to how CUAP might contribute to Te Tiriti o Waitangi responsiveness and to the Tertiary Education Strategy and Statement of National Education and Learning Priorities.

The broader goals and expectations of the NZVCC could be considered to be reflected in the NZVCC annual Statement of Objectives and Statement of Performance (SP). CUAP's self-review report indicates that this "sets out the objectives and achievements of CUAP in carrying out the legal mandate of UNZ".[37] The SPs for 2018-2020 were provided as supporting documents for the review and the 2021 SP was accessed from the UNZ website.[38]

The SP reports on five objectives that contribute to an Academic Quality Assurance output for NZ:
  (a)   To complete the two annual rounds of approvals for new university academic programmes

  (b)   To develop and improve quality assurance arrangements in New Zealand universities

  (c)   To work effectively with the New Zealand Qualifications Authority (NZQA) to fulfil statutory responsibilities and promote quality assurance.

  (d)   To consider matters relating to university entrance, and to contribute to the process of curriculum development and examination in the senior secondary school

  (e)   To work effectively with the Academic Quality Agency for New Zealand Universities to fulfil Universities NZ's responsibilities for quality assurance in the universities.

Performance relating to these objectives is expressed in terms of CUAP's (including its subcommittees) activities. Therefore, the Panel considers that CUAP does support the broader goals and expectations of the NZVCC.

The Panel has commented and made recommendations with respect to Te Tiriti o Waitangi responsiveness in sections 3.1.1.4 and 4.1 and commented on how CUAP processes give effect to the research-teaching nexus in section 3.1.2.3. No comment was made on universities' role as critic and conscience of society in either CUAP's self-review report or in interviews, although a small number of submissions did make brief reference to the critic and conscience role, with one submission suggesting that AQA was a more appropriate body to comment on this role.

---

[37] SRR, p34.
[38] New Zealand Vice-Chancellors' Committee Financial Statements 2021. Available at https://www.universitiesnz.ac.nz/sites/default/files/uni-nz/documents/NZVCC%20-%20FS%20%20Audit%20Report%202021%20Publish%20copy.pdf (Accessed 21 February 2022).

The Panel has also made recommendations that address how CUAP might better reflect student diversity (Section 4.3.3) and commented on how CUAP might further reflect on how delivery is considered in quality assurance in Section 3.4.

6   ToR #5: INQAAHE

The fifth term of reference for this review indicated that "where the INQAAHE Guidelines of Good Practice (GGP) are relevant, these may be used as a supporting framework to critique and assess the extent to which CUAP processes and practices reflect international good practice".

The fifth term of reference for this review suggested using the INQAAHE Guidelines of Good Practice (GGP) as a supporting framework to provide another quality assurance lens through which to assess CUAP's processes and practices as an external quality assurance body.

CUAP's self-review report provided comment on selected GGP. The Panel has responded to these comments in Appendix 4, which provides a commentary on CUAP's processes and practices against the GGP.

More broadly, the Panel used the GGP as prompts to ensure it was taking a well-rounded view of the Terms of Reference for this review. Overall, the Panel considers that the GGP have provided a useful supplementary framework for the review. The guidelines where the Panel considered CUAP would have further work to do to meet the guideline correspond to areas where it has made recommendations. However, it is not the intent of this review to assess CUAP against the GGP and not all GGP are relevant to CUAP.

7 ToR #6 and #7: Conclusion

The final two terms of reference for this review are to:

"provide comment on CUAP's Terms of Reference and the composition and structure of the Committee, including comment on possible future priorities, structures or goals"; and

"recommend changes or improvements in CUAP's quality assurance activities, arrangements, practices and processes that will add value for New Zealand universities, students and other stakeholders".

The Panel has made comment on ToR 6 and 7 of this review in the preceding sections. They are consolidated here to present the Panel's findings in the form of commendations, affirmations and recommendations.

Overall, the Panel found good support for CUAP's quality assurance processes across the university sector, with CUAP's contribution to the quality of programmes in universities in Aotearoa New Zealand being respected within and beyond the university sector. The conclusions drawn in this review are intended to help CUAP remain fit for purpose against a backdrop of increasing change in tertiary education globally, the context of current day Aotearoa New Zealand, and increasing student diversity.

The Panel has made eleven commendations, five affirmations and eighteen recommendations.

7.1 Commendations, affirmations and recommendations

7.1.1 Commendations

C1.   The Panel **commends** CUAP for improvements to the online platform that have reduced challenges for system users.

C2.   The Panel **commends** the understanding of and commitment to the CUAP process across the university sector.

C3.   The Panel **commends** CUAP's flexibility and responsiveness during the COVID-19 period and its awareness of the demands on universities during this period.

C4.   The Panel **commends** the collegial engagement and approach in the role of CUAP processes across the whole of university sector.

C5.   The Panel **commends** the leadership and contribution of the Deputy Chair to CUAP processes.

C6.   The Panel **commends** CUAP for its peer review process which is constructive and adds value.

C7.   The Panel **commends** CUAP for its respectful peer review process and for the way in which this respectful approach has clearly been communicated.

C8.   The Panel **commends** the Portfolio Manager – Academic Programmes for their responsiveness to and support for those who manage CUAP processes within universities.

C9.   The Panel **commends** the work to support CUAP that is achieved from the focused resources that it deploys.

C10. The Panel **commends** CUAP's management of stakeholders and relationships in a complex environment to ensure a collaborative quality assurance process.

C11. The Panel **commends** CUAP for its delivery of a high trust/light touch rigorous model of quality assurance.

7.1.2 Affirmations

A1. The Panel **affirms** CUAP continuing to engage with stakeholders and users as they develop the next iteration of the online system.

A2. The Panel **affirms** CUAP's initial work in building awareness and relationships with professional bodies.

A3. The Panel **affirms** the analytic work undertaken on the 180-credit point Master's and considers it could provide a model for future analysis that would be of value to universities.

A4. The Panel **affirms** the establishment of a functional relationship between the Committee of Deputy Vice-Chancellors Academic and CUAP on issues of quality assurance.

A5. The Panel **affirms** CUAP's relationship building and quality engagement with NZQA across key sectorial issues.

7.1.3 Recommendations

R1. The Panel **recommends** that CUAP consider how it can facilitate sharing good practice where external accreditation process outcomes and information may be relevant.

R2. The Panel **recommends** that CUAP assesses national and international codes of practice for external reviewers to develop guidelines for peer reviewers.

R3. The Panel **recommends** that CUAP revisits the benchmarking recommendation from the previous review.

R4. The Panel **recommends** that CUAP engage key stakeholders to ensure it is well informed about international developments.

R5. The Panel **recommends** that CUAP revisit the purpose and processes of the graduating year review, including whether it is more appropriately managed at institutional or CUAP level, and how it might be enhanced to better support institutional learning.

R6. The Panel **recommends** that CUAP develop systematic induction processes that include new members coming into CUAP and its subcommittees, and consider annual professional development opportunities for people in universities who are involved in programme approvals.

R7. The Panel **recommends** that CUAP explore whether two programme approval rounds continue to be sufficient for timely approval of proposals to support university initiatives.

R8. The Panel **recommends** that CUAP revisit the view that current work on credit transfer is not directly relevant to CUAP and /or its Subcommittee on University Entrance.

R9. The Panel **recommends** that CUAP continue to work with NZQA to develop advice and guidelines on micro-credentials and how they align with qualifications.

R10. The Panel **recommends** that CUAP and its Subcommittee on University Entrance consider taking a more strategic and proactive approach to access to university, with a view to contributing to achieving equity in access to university for Māori students and students who are Pacific People.

R11. The Panel **recommends** that CUAP work with UNZ to increase horizontal connectedness across the UNZ secretariat and portfolios to support a strategic approach to opportunities (including innovation) and challenges in quality assurance. This approach should include transparency in assigning responsibilities.

R12. The Panel **recommends** that CUAP undertake an annual planning process that enables future focused and outwardly looking discussions to inform future CUAP priorities.

R13. The Panel **recommends** that the membership of CUAP and the Subcommittee on University Entrance both be extended to include two members nominated by Te Kāhui Amokura who can provide guidance on Te Tiriti o Waitangi responsiveness and advice on Mātauaranga Māori on behalf of the university sector.

R14. The Panel **recommends** that CUAP reflect on how all members are equipped to give effect to Te Tiriti o Waitangi.

R15. The Panel **recommends** that the currently unfilled co-opted schools' representative positions on the subcommittee be filled.

R16. The Panel **recommends** that the membership of the Offshore Programmes Subcommittee be extended to include a nominee from the UNZ International Committee, or an international expert, who can provide sector-level advice to the Subcommittee and to CUAP.

R17. The Panel **recommends** that CUAP implement a systematic, formal, approach to seeking feedback from stakeholders.

R18. The Panel **recommends** that the appointment of a Māori student *(nominated by Te Mana Ākonga)* as a second student member of CUAP be revisited.

R19. To help ensure that students feel their contributions are valued and to support students to make contributions, the Panel **recommends** that student members of CUAP are remunerated.

7.2 Follow-up Report

The Panel invites CUAP to provide a follow-up report one year after the release of this report. Following the processes agreed for the Cycle 6 Academic Audits of universities in Aotearoa New Zealand, CUAP's follow-up report should be made publicly available.

7.3   Members of the Review Panel

Dr Darryn Russell (Chair)
Chief Executive Heretaunga Tamatea Settlement Trust
Hastings

Professor Lois Surgenor
Associate Dean (Academic) Division of Health Sciences and Professor in Psychological Medicine
University of Otago

Professor Mahsood Shah
Dean of Swinburne Sydney
Swinburne University of Technology, Australia

Mary Jane Kivalu
Postgraduate student
University of Otago

Secretariat:
Sheelagh Matear
Executive Director
Academic Quality Agency for New Zealand Universities

7.4   Acknowledgements

The Panel wishes to acknowledge and thank CUAP, particularly the outgoing Deputy Chair and the UNZ Portfolio Manager – Academic Programmes for the provision of the self-review portfolio and additional information. It also wishes to thank everyone who took the time to make a submission on the review and who met with the Panel.

The translation of the Summary into Te Reo Māori was undertaken by Dr Petina Winiata, Te Taioho Ltd.

Appendix 1: Suggested Map of GGP to CUAP ToR

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
To act for Universities New Zealand and on behalf of the New Zealand community of universities by: a. setting up and applying inter-university programme approval, accreditation, and moderation procedures, which ensure that the quality of programme developments is consonant with high academic standards and mindful of the nation's interests b. granting or refusing approval under the agreed procedures to new qualifications and courses of study, or changes in qualifications and courses of study for which approval is required, and for which due application has been made by a university c. promoting the coherent development of courses of study within the New Zealand university system and ensuring that the quality of programme developments is consonant with high academic standards d. encouraging the development of courses of study within the New Zealand university system that will facilitate the transfer of students between programmes and institutions.	1.1.2 The EQAA takes into consideration relevant guidelines issued by international networks and other associations, in formulating its policies and practices. 3.1.1 The EQAA recognises that institutional and programmatic quality and quality assurance are primarily the responsibility of the higher education institutions (HEIs) themselves, and respects the academic autonomy, identity and integrity of the institutions and programmes. 3.2.1 The EQAA recognises and values institutional diversity and translates this valuation into criteria and procedures that take into account the identity and goals of higher education institutions. 3.2.2 The standards or criteria developed by the EQAA have been subject to reasonable consultation with stakeholders and are revised at regular intervals to ensure relevance to the needs of the system. 3.2.3 Standards or criteria take into consideration the specific aspects related to different modes of provision, such as transnational education, distance or online programmes or other non-traditional approaches to HE as relevant to the context in which they operate. 3.2.4 Standards or criteria explicitly address the areas of institutional activity that fall within the EQAA's scope, (e.g., institutional governance and management, programme design and approval, teaching and learning, student admission, progression and certification, research, community engagement) and on the availability of necessary resources (e.g., finances, staff and learning resources). 3.2.5 Criteria or standards and procedures take into account internal follow up mechanisms, and provide for effective follow up of the outcomes of the external reviews. 3.2.6 The EQAA procedures specify the way in which criteria will be applied and the types of evidence needed to demonstrate that they are met. 3.3.1 The EQAA carries out an external review process that is reliable and based on published

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
	criteria and procedures. It follows a self-assessment or equivalent, and includes an external review (normally including a site visit or visits), and a consistent follow up of the recommendations resulting from the external review.

3.3.2 The EQAA has published documents, which clearly state what it expects from higher education institutions, in the form of quality criteria, or standards and procedures, for self-assessment and external review.

3.3.3 The external review process is carried out by teams of experts consistent with the characteristics of the institution/programme being reviewed. Experts can provide input from various perspectives, including those of institutions, academics, students, employers or professional practitioners.

3.3.4 The EQAA has clear specifications on the characteristics and selection of external Reviewers, who must be supported by appropriate training and good supporting materials such as handbooks or manuals.

3.3.5 External review procedures include effective and comprehensive mechanisms for the prevention of conflicts of interest, and ensure that any judgments resulting from external reviews are based on explicit and published criteria.

3.3.6 The EQAA's system ensures that each institution or programme will be evaluated in a consistent way, even if the external Panels, teams, or committees are different.

3.3.7 The EQAA carries out the external review within a reasonable timeframe after the completion of a self-assessment report, to ensure that information is current and updated.

3.3.8 The EQAA provides the higher education institutions with an opportunity to correct any factual errors that may appear in the external review report.

3.4.1 The EQAA provides clear guidance to the institution or programme in the application of the procedures for self-evaluation, the solicitation of assessment/feedback from the public, students, and other constituents, or the preparation for external review as necessary and appropriate. |

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
To act for Universities New Zealand: a. as the body which the New Zealand Qualifications Authority (NZQA) will consult about policies and criteria for the approval of courses of study and their accreditation in the universities b. through its subcommittee on university entrance, as the body which is consulted by NZQA on the standards to be established for entrance to university, and which makes recommendations to NZQA on such standards. *Note: Before setting such standards, NZQA is required to consult the Council of each university as well as Universities New Zealand.* c. in establishing, through its subcommittee on university entrance and after consulting with NZQA, criteria for discretionary (provisional) entrance and ad eundem admission at entrance level d. in obtaining university representatives for NZQA approval panels, committees and other similar bodies, as required.	*Same set of GGP as for F1 could also be applied to this Function*
To provide advice and comment on academic developments across the university system to institutions, professional bodies and agencies.	Also 1.1.2 2.2.1 The EQAA is open to international developments in quality assurance and has mechanisms that enable it to learn about and analyse the main trends in the field. 2.2.2 The EQAA collaborates with other QA agencies where possible, in areas such as exchange of good practices, capacity building, and review of decisions, joint projects, or staff exchanges. 3.1.2 The EQAA promotes the development and appropriate implementation of IQA processes in accordance with the understanding that the primary responsibility for assuring quality resides with the institutions and its programmes. 4.1.1 The EQAA provides full and clear disclosure of its relevant documentation such as policies, procedures and criteria. 4.1.2 The EQAA reports its decisions about higher education institutions and programmes. The content and extent of reporting may vary with cultural context and applicable legal and other requirements. 4.1.3 The EQAA has mechanisms to facilitate the public a fair understanding of the reasons supporting decisions taken.

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
	4.2.1 The EQAA discloses to the public the decisions about the EQAA resulting from any external review of its own performance. 4.2.2 The EQAA prepares and disseminates periodically integrated reports on the overall outcomes of QA processes and of any other relevant activities.
To undertake specific tasks as may be requested of it from time to time by Universities New Zealand.	
Composition (and structure)	1.3.1 The EQAA has a governance structure consistent with its mission and objectives, and adequate mechanisms to involve relevant stakeholders in the definition of its standards and criteria. 1.3.2 The composition of the decision-making body and/or its regulatory framework ensure its independence and impartiality. 1.3.3 The EQAA's organisational structure makes it possible to carry out its external review processes effectively and efficiently
Standing procedures 12. The committee will establish and make known such detailed rules of procedure as it judges necessary to the regular conduct of its business, particularly in the discharge of its functions as set out in paragraphs 1 and 2 above. 13. The committee will carry out its work within the terms of reference as approved by Universities New Zealand, and through consultation with each of the participating universities. Changes to the terms of reference may be initiated by Universities New Zealand or by the committee by way of recommendation to Universities New Zealand. 14. Each university represented on the committee is deemed to have agreed to recognise the standing of the committee in decisions taken within its terms of reference and undertakes to submit all relevant course and programme proposals to the committee. 15. Where necessary decisions will be made by simple majority vote of the members, the chairperson having a casting vote, but no deliberative vote. Except when acting as the chairperson, the deputy chairperson does not have a vote.	1.1.1 The EQAA has an established legal basis and is recognized by a competent external body 1.1.3 The EQAA has a clear and published policy for the prevention of conflicts of interest that applies to its staff, its decision-making body, and the external Reviewers. 1.2.1 The EQAA has a written mission statement and a set of objectives that explicitly provide that external quality assurance of higher education is its major concern, describe the purpose and scope of its activities and can be translated into verifiable policies and measurable objectives. 1.3.4 The EQAA has a strategic plan that helps assess its progress and plan for future developments. 2.1.1 The EQAA operates with transparency, integrity and professionalism and adheres to ethical and professional standards. 3.1.3 The EQAA bears in mind the level of workload and cost that its procedures will place on institutions, and, strives to make them as time and cost effective as possible.

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
16. Any dispute as to whether a particular decision of the committee has been properly taken within the terms of reference, apart from section 1(b), shall be referred to the Vice-Chancellors' Committee, whose decision shall determine the dispute. A dispute relating to a decision taken under Function 1(b) shall be referred to the Chief Executive of Universities New Zealand who shall ask the CUAP Appeal Authority to determine the dispute, having regard for the Rules for Approval and Accreditation and the Application of those rules set out in the CUAP Handbook. A determination by the CUAP Appeal Authority will be binding.

17. The committee shall have the power to establish subcommittees (whose members need not be members of the committee) on a continuing or ad hoc basis to deal with specific matters arising from its functions. All such subcommittees will be responsible to the committee and through it to Universities New Zealand.

18. The committee will meet twice yearly for the purposes of programme approval and accreditation, and at other times as it may determine.

19. Expenses incurred by members attending meetings of the committee or approved meetings of any of its subcommittees shall be met as follows:
a. the expenses of members appointed under 6(c) above shall be met by the universities under the current policy of Universities New Zealand for equalising such expenses between universities.
b. approved expenses of members appointed under 6(a), (b) or (d) above shall be met by Universities New Zealand.

20. Universities New Zealand's Conflict of Interest policy will apply (see Appendix J). | 5.1.1 The EQAA decisions take into consideration the outcomes of both the institution's self-assessment process and the external review; they may also consider any other relevant information, provided this has been communicated to the HEIs.

5.1.2 The EQAA decisions are impartial, rigorous, and consistent even when they are based on the reports of other quality assurance bodies.

5.1.3 The EQAA decisions are based on published criteria and procedures, and, can be justified only with reference to those criteria and procedures.

5.1.4 Consistency in decision-making includes consistency and transparency in processes and actions for imposing recommendations for follow-up action.

5.1.5 The EQAA's reported decisions are clear and precise. |
| Secretariat and Appeal Authority | 1.4.1 The EQAA has a well-trained, appropriately qualified staff, able to conduct external evaluation effectively and efficiently in accordance with its mission statement and its methodological approach.

1.4.2 The EQAA has the physical and financial resources needed to fulfil its goals and carry out the activities that emerge from its mission statement and objectives.

1.4.3 The EQAA provides systematic opportunities for the professional development of its staff. |

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
	5.2.1 The EQAA has procedures in place to deal in a consistent way with complaints about its procedures or operation. 5.2.2 The EQAA has clear, published procedures for handling appeals related to its external review and decision-making processes. 5.2.3 Appeals are conducted by a Panel that was not responsible for the original decision and has no conflict of interest; appeals need not necessarily be conducted outside the EQAA.
Additional responsibilities (2.3) (and relationships) JCG, SCUE, Other bodies	6.2.1 The EQAA cooperates with appropriate local agencies in the exporting and importing countries and with international networks. This cooperation is oriented to improve mutual understanding, to have a clear and comprehensive account of the regulatory framework and to share good practices. 6.2.2 The EQAA seeks ways to cooperate in the external quality assurance in transnational education provision, for example through mutual recognition.
Other	2.1.2 The EQAA has in place mechanisms that enable it to review its own activities in order to respond to the changing nature of higher education, the effectiveness of its operations, and its contribution towards the achievement of its objectives. 2.1.3 The EQAA periodically conducts a self-review of its own activities, including consideration of its own effects and value. The review includes data collection and analysis, to inform decision-making and trigger improvements. 2.1.4 The EQAA is subject to external reviews at regular intervals, ideally not exceeding five years. There is evidence that any required actions are implemented and disclosed. 6.1.1 The EQAA in a sending country makes clear that the awarding institution is responsible for ensuring the equivalent quality of the education offered, that the institution understands the regulatory frameworks of the receiving countries, and that the institution provides clear information on the programmes offered and their characteristics. 6.1.2 Students and other stakeholders receive clear and complete information about the awards delivered.

CUAP ToR	INQAAHE GGP (to prompt reflexive and review questions)
	6.1.3 The rights and obligations of the parties involved in transnational education are clearly established and well known by the parties.

Appendix 2: Submissions

Written submissions were received from:

- Ako Aotearoa
- Education New Zealand Manapou ki te Ao
- Individual submission
- Lincoln University | Te Whare Wānaka o Aoraki
- Massey University | Te Kunenga ki Pūrehuroa
- New Zealand Post Primary Teachers' Association Te Wehengarua
- New Zealand Registered Architects Board – Te Poari Kaihoahoa Ngaio Rēhita o Aotearoa
- NZQA | Mana Tohu Mātauranga o Aotearoa
- Te Herenga Waka - Victoria University of Wellington
- Te Kāhui Amokura
- Te Tāhuhu o te Mātauranga Ministry of Education
- Te Tatau o te Whare Kahu | Midwifery Council
- The New Zealand Vice-Chancellors' Committee
- University of Canterbury | Te Whare Wananga o Waitaha
- University of Otago | Te Whare Wānanga o Otāgo
- University of Waikato | Te Whare Wānanga o Waikato
- Waipapa Taumata Rau | The University of Auckland

Appendix 3: Interview schedule and groups

Day 1 Tuesday 1 February 2022	Day 2 Wednesday 2 February 2022	Day 3 Thursday 3 February 2022
Strategic framing/purpose and internal CUAP perspectives and workings	Wider and other perspectives; specific functions	Triangulation, call backs and reaching conclusions
10-11 Panel-only time Question allocation	10-10:30 Panel time	10-10:30 Panel time
	Session 8. 10:30-11:00 Te Kāhui Amokura	10:30-11:30 Panel work
11:00-11:20 Welcome	Session 9. 11:10-11:40 DVCs (Academic)	
Session 1. 11:30-12:10 Chair of NZVCC, Deputy Chair and (former/incoming) Chair of CUAP	Session 10.11:50-12:20 International	11:30-12:30 Call backs- if necessary
Session 2. 12:20-12:50 CE UNZ	Session 11. 12:30-1:00 NZQA	12:00-1:00 Panel time
LUNCH/Panel time	LUNCH/Panel time	1:00-1:40 LUNCH
Session 3. 1:30-2:10 System Demo and Programme Manager	Session 12. 1:30-2:00 Not allocated	1:40-3:00 Commendations, Affirmations and Recommendations
Session 4. 2:20-3:00 Dep Chair and Chair SCUE	Session 13. 2:10-2:40 People responsible for selecting peer reviewers in universities	
Session 5. 3:10-3:50 CUAP members	Session 14. 2:50-3:20 SCUE members	3:00-3:30 Chair prep
Session 6. 4:00-4:30 CUAP managers	Session 15. 3:30-4:00 Offshore delivery	3:30-4:00 Exit meeting CUAP Chair
Session 7. 4:40-5:10 Individual CUAP member	Session 16. 4:10-4:40 Students	
Panel time: reflections on the day	Panel time: reflections and ID callbacks.	

Appendix 4: Commentary on INQAAHE GGP

This Appendix provides the Panel's commentary on CUAP's processes and practices against the INQAAHE Guidelines of Good Practice.

Section 1: The structure of the External Quality Assurance Agency (EQAA)

1.1   Legitimacy and recognition

1.1.1   The EQAA has an established legal basis and is recognized by a competent external body.

CUAP's self-review explains that the Education and Training Act (2020) provides the legal basis for CUAP.[39]

1.1.2   The EQAA takes into consideration relevant guidelines issued by international networks and other associations, in formulating its policies and practices.

The Panel recognised that CUAP paid close attention to its own guidelines. It felt, however, that CUAP paid limited attention to guidelines issued by other bodies. The emphasis placed on CUAP being unusual internationally may have limited CUAP's openness to examining guidelines and practices from other jurisdictions. The uniqueness of CUAP is based on how it undertakes quality assurance (having all universities contribute collaboratively) rather than what it quality assures. Other quality assurance bodies do undertake programme approval and the Panel considers there would be merit in CUAP remaining abreast of developments in quality assurance approaches to programme approval.

1.1.3   The EQAA has a clear and published policy for the prevention of conflicts of interest that applies to its staff, its decision-making body, and the external Reviewers.

CUAP's self-review explains that CUAP as a subcommittee of UNZ is subject to the UNZ Conflicts of Interest policy.[40] This is reproduced in Appendix J of the CUAP Handbook.

1.2   Mission and purposes

1.2.1   The EQAA has a written mission statement and a set of objectives that explicitly provide that external quality assurance of higher education is its major concern, describe the purpose and scope of its activities and can be translated into verifiable policies and measurable objectives.

The UNZ Statement of Objectives provides overarching direction for CUAP's activities and the CUAP's self-review indicates that the CUAP Handbook "sets out the purpose and scope" of CUAP's activities. The Panel considers that this is consistent with the intent of this guideline.

---

[39] SRR, p34.
[40] SRR, p34.

1.3 Governance and organisational structure

1.3.1 The EQAA has a governance structure consistent with its mission and objectives, and, adequate mechanisms to involve relevant stakeholders in the definition of its standards and criteria.

The Panel considers that CUAP's governance structure is appropriate and has made recommendations to support it remaining so in the context of current day Aotearoa New Zealand. The Panel has also recommended that CUAP enhance its approaches to gaining feedback and input from stakeholders.

1.3.2 The composition of the decision-making body and/or its regulatory framework ensure its independence and impartiality.

CUAP's composition and decision-making approach support impartiality. Independence is not a question for CUAP as the committee is established for the universities to be collectively self-approving and self-accrediting.

1.3.3 The EQAA's organisational structure makes it possible to carry out its external review processes effectively and efficiently.

CUAP's organisational structure and processes enable a light touch/high trust model of quality assurance that is also rigorous. This is appreciated by universities and the Panel has commended this approach.

1.3.4 The EQAA has a strategic plan that helps assess its progress and plan for future developments.

The Panel appreciates why CUAP might not have its own strategic plan but has recommended that CUAP consider how it sets priorities within the strategic context in which it operates.

1.4 Resources

1.4.1 The EQAA has a well-trained, appropriately-qualified staff, able to conduct external evaluation effectively and efficiently in accordance with its mission statement and its methodological approach.

The Panel has commended staff across the university system for their commitment to CUAP and the leadership and support provided by the Deputy Chair and UNZ Portfolio Manager – Academic Programmes. It has also recommended a more systematic approach to induction and provision of professional development opportunities.

1.4.2 The EQAA has the physical and financial resources needed to fulfil its goals and carry out the activities that emerge from its mission statement and objectives.

CUAP's self-review[41] notes that financial arrangements are set out in CUAP's Standing Procedures, and physical (and digital) infrastructure is provided by UNZ. The Panel has commended the work that CUAP undertakes from a 'thin' resource base.

1.4.3 The EQAA provides systematic opportunities for the professional development of its staff.

---

[41] SRR, p36.

The Panel disagrees with the statement in the CUAP self-review that this guideline is "close to being non-applicable". It has recommended that CUAP pay further attention to professional development and this guideline provides a prompt that systematic attention should also be paid to professional development for staff who support CUAP.

Section 2: Accountability of the EQAA

2.1   Quality assurance of the EQAA

2.1.1   The EQAA operates with transparency, integrity and professionalism and adheres to ethical and professional standards.

The Panel has no doubt that CUAP conforms to this guideline.

2.1.2   The EQAA has in place mechanisms that enable it to review its own activities in order to respond to the changing nature of higher education, the effectiveness of its operations, and its contribution towards the achievement of its objectives.

The Panel has made recommendations on how CUAP can enhance the mechanisms through which it is informed about the changing nature of tertiary education and commented on how CUAP might reflect on its own performance.

2.1.3   The EQAA periodically conducts a self-review of its own activities, including consideration of its own effects and value. The review includes data collection and analysis, to inform decision-making and trigger improvements.

The Panel gained the view that annual review was focussed on the CUAP handbook, which does capture CUAP activities well. It has recommended that CUAP be more intentional about reflecting on its activities and setting priorities. The Panel has also commented that the examples of analytical work it has been advised of could provide a model for further work.

2.1.4   The EQAA is subject to external reviews at regular intervals, ideally not exceeding five years. There is evidence that any required actions are implemented and disclosed.

This review, and the previous reviews undertaken by AQA, constitute regular external reviews.

2.2   Links to the QA community

2.2.1   The EQAA is open to international developments in quality assurance and has mechanisms that enable it to learn about and analyse the main trends in the field.

The Panel has made recommendations regarding how CUAP might ensure it is well informed about international developments.

2.2.2   The EQAA collaborates with other QA agencies where possible, in areas such as exchange of good practices, capacity building, and review of decisions, joint projects, or staff exchanges.

CUAP collaborates closely with QA agencies in Aotearoa New Zealand (AQA, NZQA) and the Panel has recommended that CUAP revisit a benchmarking recommendation made by the Panel undertaking the 2017 review of CUAP.

Section 3: The EQAA's framework for the external review of quality in higher education institutions

3.1 The relationship between the EQAA and higher education institutions

3.1.1   The EQAA recognises that institutional and programmatic quality and quality assurance are primarily the responsibility of the higher education institutions (HEIs) themselves, and respects the academic autonomy, identity and integrity of the institutions and programmes.

The Panel is confident that CUAP meets this Guideline. Institutional responsibilities are set out in the CUAP Handbook. The Panel has recommended that CUAP revisit responsibilities for the GYR process.

3.1.2   The EQAA promotes the development and appropriate implementation of IQA processes in accordance with the understanding that the primary responsibility for assuring quality resides with the institutions and its programmes.

The Panel considers CUAP meets this Guideline.

3.1.3   The EQAA bears in mind the level of workload and cost that its procedures will place on institutions, and, strives to make them as time and cost effective as possible.

The Panel is confident that CUAP meets this Guideline and has commended CUAP for its high trust/light touch, rigorous model of quality assurance.

3.2 The definition of criteria for external quality review

3.2.1   The EQAA recognises and values institutional diversity and translates this valuation into criteria and procedures that take into account the identity and goals of higher education institutions.

The Panel considered that CUAP does recognise and value institutional diversity. Although qualifications need to meet common criteria (established by the NZQF Programme and Accreditation Rules), CUAP does not involve itself in what qualifications a university chooses to offer, as long as these meet quality standards.

3.2.2   The standards or criteria developed by the EQAA have been subject to reasonable consultation with stakeholders and are revised at regular intervals to ensure relevance to the needs of the system.

As the standards or criteria are set by the NZQF Programme and Accreditation Rules, CUAP has relatively little scope to revise these. However, CUAP's self-review did draw attention to how CUAP's input had led to a change in the definitions for Master's degrees.

3.2.3 Standards or criteria take into consideration the specific aspects related to different modes of provision, such as transnational education, distance or online programmes or other non-traditional approaches to HE as relevant to the context in which they operate.

CUAP's self-review indicates that, in CUAP's view, mode of delivery is a matter for the universities and CUAP's "role is confined to ensuring that appropriate methods are proposed". The Panel believes these two statements may be contradictory. If CUAP has a role in ensuring that delivery methods are appropriate, then it does consider aspects related to modes of provision.

CUAP takes a direct interest in offshore delivery and has a well-developed appendix with clear requirements to guide its decisions in this respect. The Panel has commented on whether the composition of the Offshore Programmes Subcommittee has access to all available expertise.

3.2.4 Standards or criteria explicitly address the areas of institutional activity that fall within the EQAA's scope, (e.g., institutional governance and management, programme design and approval, teaching and learning, student admission, progression and certification, research, community engagement) and on the availability of necessary resources (e.g., finances, staff and learning resources).

The CUAP Handbook clearly sets out what is within CUAP's scope.

3.2.5 Criteria or standards and procedures take into account internal follow up mechanisms, and, provide for effective follow up of the outcomes of the external reviews.

The Panel has recommended that CUAP revisit its GYR provisions and suggests including in this work how the requirements for reporting institutional programme reviews add value.

3.2.6 The EQAA procedures specify the way in which criteria will be applied and the types of evidence needed to demonstrate that they are met.

These are set out in the CUAP handbook.

3.3 The external review process

3.3.1 The EQAA carries out an external review process that is reliable and based on published criteria and procedures. It follows a self-assessment or equivalent, and, includes an external review (normally including a site visit or visits), and a consistent follow up of the recommendations resulting from the external review.

CUAP's self-review comments that this guideline is not applicable to CUAP. The Panel considers that CUAP's programmes approval process is the external review process in the context of CUAP.

3.3.2 The EQAA has published documents, which clearly state what it expects from higher education institutions, in the form of quality criteria, or standards and procedures, for self-assessment and external review.

The CUAP Handbook sets out the process and the Panel has commended the understanding of and commitment to CUAP shown across the university sector.

3.3.3   The external review process is carried out by teams of experts consistent with the characteristics of the institution/programme being reviewed. Experts can provide input from various perspectives, including those of institutions, academics, students, employers or professional practitioners.

In this context, CUAP's external review process is carried out through peer review. The Panel has commended CUAP's constructive peer review process. The Panel has also affirmed CUAP's work in building awareness and relationships with professional bodies and made recommendations for student contribution.

3.3.4   The EQAA has clear specifications on the characteristics and selection of external Reviewers, who must be supported by appropriate training and good supporting materials such as handbooks or manuals.

The Panel explored how peer reviewers were selected and considers the 'disciplinary expert' characteristic to be sufficient in practice. However, the Panel has commented that universities would find guidance in undertaking peer review (in additional to the CUAP Handbook) useful and has recommended that consideration be given to professional development opportunities for those involved in CUAP processes, including peer review.

3.3.5   External review procedures include effective and comprehensive mechanisms for the prevention of conflicts of interest, and, ensure that any judgments resulting from external reviews are based on explicit and published criteria.

The Panel has commented briefly on the dispute and appeal provisions available to CUAP and those subject to its decisions. It has also noted that CUAP is subject to the UNZ Conflicts of Interest policy.

3.3.6   The EQAA's system ensures that each institution or programme will be evaluated in a consistent way, even if the external Panels, teams, or committees are different.

CUAP's processes provide for consistency and the Panel has commended the Deputy Chair for their contribution to achieving this.

3.3.7   The EQAA carries out the external review within a reasonable timeframe after the completion of a self-assessment report, to ensure that information is current and updated.

In the context of CUAP, the guideline is taken to refer to CUAP's timelines for decision-making and programme approvals. CUAP's timelines are clearly set out and adhered to. The Panel has recommended that CUAP consider whether adherence to two programme approval rounds is placing an unnecessary constraint on universities.

3.3.8   The EQAA provides the higher education institutions with an opportunity to correct any factual errors that may appear in the external review report.

CUAP processes provide for factual errors in peer review to be addressed during the peer review process and again at CUAP meetings, if necessary.

3.4   The requirements for self-evaluation

3.4.1   The EQAA provides clear guidance to the institution or programme in the application of the procedures for self-evaluation, the solicitation of assessment/feedback from the public, students, and other constituents, or the preparation for external review as necessary and appropriate.

The CUAP handbook provides this guidance.

Section 4: The EQAA and its relationship to the public

4.1   Public reports on EQAA policies and decisions

4.1.1   The EQAA provides full and clear disclosure of its relevant documentation such as policies, procedures and criteria.

The CUAP Handbook fulfils this guideline and is available on the UNZ website.

4.1.2   The EQAA reports its decisions about higher education institutions and programmes. The content and extent of reporting may vary with cultural context and applicable legal and other requirements.

Decisions are communicated through CUAP meeting minutes and, indirectly, through a qualification being listed on the NZQF. The Panel notes that a suggestion made by the 2017 review panel that CUAP "could provide much better communication" does not seem to have been addressed.[42]

4.1.3   The EQAA has mechanisms to facilitate the public a fair understanding of the reasons supporting decisions taken.

The CUAP self-review amended this guideline to omit reference to "the public". External bodies invited by AQA to make a submission on this review of CUAP commented that they had insufficient understanding to make a submission. The Panel has affirmed the work CUAP is doing in building awareness and relationships with professional bodies. While professional bodies are not "the public", this would seem to be a useful step.

4.2   Other public reports

4.2.1   The EQAA discloses to the public the decisions about the EQAA resulting from any external review of its own performance.

---

[42] Town et al. (2017), p22.

The Panel has noted that in response to Recommendation 14 from the 2017 review, that review was published on the UNZ website.[43]

4.2.2   The EQAA prepares and disseminates periodically integrated reports on the overall outcomes of QA processes and of any other relevant activities.

In addressing this guideline, the CUAP self-review referred to the UNZ Statement of Performance. While the Statement of Performance does provide reporting, it does not capture all CUAP's activities. GYR reporting is a notable omission. The Panel considered CUAP's processes and practices did not capture the intent of this guideline.

Section 5: Decision making

5.1   The decision-making process

5.1.1   The EQAA decisions take into consideration the outcomes of both the institution's self-assessment process and the external review; they may also consider any other relevant information, provided this has been communicated to the HEIs.

CUAP processes address the guideline. If insufficient disciplinary expertise is available, CUAP may require an external review.[44]

5.1.2   The EQAA decisions are impartial, rigorous, and consistent even when they are based on the reports of other quality assurance bodies.

The Panel has commented on the rigorous and consistent nature of CUAP's approach to quality assurance.

5.1.3   The EQAA decisions are based on published criteria and procedures, and, can be justified only with reference to those criteria and procedures.

The Panel did not read or hear any comment to the contrary. The CUAP Handbook makes clear what is (and is not) CUAP business.

5.1.4   Consistency in decision-making includes consistency and transparency in processes and actions for imposing recommendations for follow-up action.

CUAP's procedures provide for a "review assessment" which is a form of conditional approval and requires a university to report to the July meeting of the following year. CUAP does not otherwise normally impose recommendations but does have the power to withdraw approval where there are good grounds for doing so.[45]

5.1.5   The EQAA's reported decisions are clear and precise.

---

[43] https://www.universitiesnz.ac.nz/latest-news-and-publications/report-2017-review-committee-university-academic-programmes-cuap. (Accessed 22 February 2022).
[44] Section 6.4.6 CUAP Handbook, p42.
[45] Section 6.7.3 CUAP Handbook, p44.

Decisions are reported in CUAP meeting minutes. The UNZ Portfolio Manager – Academic Programmes provides supplementary explanation if required.

5.2   The EQAA's process for appeals and complaints

CUAP's arrangements for appeals and complaints conform with the guidelines in this section.

5.2.1   The EQAA has procedures in place to deal in a consistent way with complaints about its procedures or operation.

5.2.2   The EQAA has clear, published procedures for handling appeals related to its external review and decision-making processes.

5.2.3   Appeals are conducted by a Panel that was not responsible for the original decision and has no conflict of interest; appeals need not necessarily be conducted outside the EQAA.

Section 6: The QA of cross border higher education

6.1   Criteria for cross border higher education

CUAP's Self-review set out its treatment of cross-border education[46] in explaining how it fulfilled its Function 4[47] with further comment in response to GGP 3.2.3.[48] Requirements and approval processes for cross-border education are set out in Appendix G of the CUAP Handbook. CUAP does not typically engage with the EQAA in other countries but requires that overseas and offshore HEIs have the appropriate local standing and meet quality standards.

6.1.1   The EQAA in a sending country makes clear that the awarding institution is responsible for ensuring the equivalent quality of the education offered, that the institution understands the regulatory frameworks of the receiving countries, and that the institution provides clear information on the programmes offered and their characteristics.

CUAP requirements in Section 13.4 meet this guideline.

6.1.2   Students and other stakeholders receive clear and complete information about the awards delivered.

If CUAP wishes to support cross-border education further, it could pay attention to this guideline.

6.1.3   The rights and obligations of the parties involved in transnational education are clearly established and well known by the parties.

---

[46] CUAP uses the terms 'overseas' and 'offshore' and does not use the term 'cross-border education'.
[47] SRR, p33.
[48] SRR, p28.

CUAP requires an agreement to accompany proposals for programmes to be offered offshore. The agreement "defines the means by which the quality of the student experience will be assured and the academic standards of the programme maintained, and which ensures that the collaborative arrangements operate smoothly in terms of clear channels of communication, accountability and authority".[49]
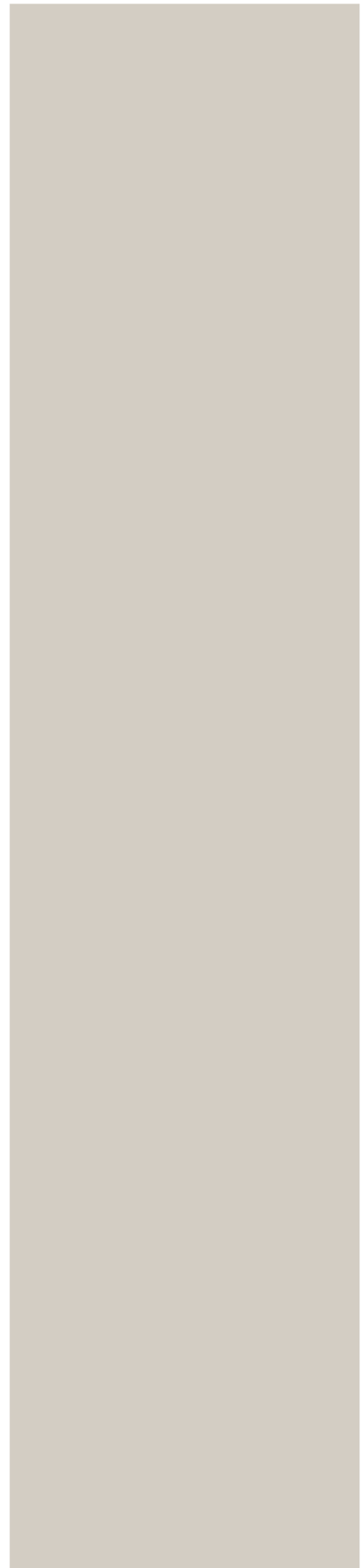
6.2 Collaboration between agencies

The Panel did not explore collaboration between CUAP and agencies in other (offshore) jurisdictions. Again, If CUAP wishes to support cross border education further, this is something it could consider.

6.2.1 The EQAA cooperates with appropriate local agencies in the exporting and importing countries and with international networks. This cooperation is oriented to improve mutual understanding, to have a clear and comprehensive account of the regulatory framework and to share good practices.

6.2.2 The EQAA seeks ways to cooperate in the external quality assurance in transnational education provision, for example through mutual recognition.

---

[49] Section 13.4.3 CUAP Handbook, p62.

AQA | Academic **Quality**Agency
For New Zealand Universities