

**UNIVERSITY
OF WAIKATO**

TE WHARE WÄNANGA O WAIKATO

ACADEMIC

AUDIT REPORT

CYCLE 4 NOVEMBER 2010



New Zealand Universities Academic Audit Unit

Te Wāhanga Tātari

University of Waikato
Te Whare Wānanga o Waikato

Academic Audit Report
Cycle 4

November 2010

This audit report is the fifth report of Cycle 4 academic audits to be administered by the New Zealand Universities Academic Audit Unit - Te Wāhanga Tātari during the period 2008-2012. Cycle 4 academic audits are whole of institution reports, and follow Cycle 1 audits on whole of institution in 1995-1998; Cycle 2 audits on research, research students, and research-teaching nexus in 2000-2001; and Cycle 3 audits on teaching quality, programme delivery, and the achievement of learning outcomes in 2003-2006.

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

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

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Preface

Background

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

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

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

The Process of Audit

The process of audit requires a self-assessment which informs an audit Portfolio (structured with respect to the Cycle 4 indicative framework as set down in the NZUAAU 2007 *Academic audit manual*³) in which the university evaluates its progress towards achieving its goals and objectives related to the focus of the audit, identifies areas for improvement, and details intended plans, strategies and activities with respect to enhancement initiatives. After examining the Portfolio, and seeking further information if necessary, the audit panel conducts interviews during a site visit to the university to seek verification of materials read, and to inform an audit report which is structured in accordance with the indicative framework. The report commends good practice and makes recommendations intended to assist the university in its own programme of continuous improvement of quality and added value in the activities which are the focus of Cycle 4 audit⁴.

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

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

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

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

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

University of Waikato Academic Audit

The University of Waikato submitted its self-review Portfolio on 17 May 2010. The Panel appointed to carry out the academic audit of the University met in Christchurch on 16 June 2010 for a preliminary meeting at which it evaluated the material it had received, and determined further materials required. The Chair of the Panel and the NZUAAU Director undertook a Planning Visit to the University on 16 July 2010 to discuss the supply of the further materials requested as well as arrangements for the site visit. A four-day site visit by the whole panel to The University of Waikato in Hamilton took place on 10-13 August 2010 hosted by the Vice-Chancellor, Professor Roy Crawford. This was preceded on 9 August by a one-day visit by the Chair and the Director to Tauranga where they were hosted by University of Waikato staff and the CEO of Bay of Plenty Polytechnic Dr Alan Hampton. During the site visits, the Panel interviewed 141 people – members of Council, staff, students and stakeholders, including Bay of Plenty Polytechnic staff.

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

Dr Jan Cameron

Director

November 2010

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Summary

General

The University of Waikato

The University of Waikato has a main campus in Hamilton and also offers programmes in Tauranga in association with the Bay of Plenty Polytechnic. The University has plans for further developments in Tauranga, including research development in association with regional interests. The 2010 audit self-review and site visit spanned a period during which the University was undertaking significant changes in management, academic structures and strategic direction.

Vision, Strategy and Plans

The University's *Vision 2005-2015* is to deliver a world-class education and research portfolio, to provide a university experience which is distinctive and to pursue strong international linkages. The University has a number of dimensions in which it might claim to be "world class" and a number of characteristics which make it "distinctive". In particular, the University demonstrates real strength and commitment in serving its regions. It is suggested the University might be more forthright in promoting these aspects.

Planning

The University *Strategy* specifies six high level goals intended to achieve the Vision. A pyramid of plans flows down from these statements; key over-arching plans are in place with others in development. With the exception of the Teaching and Learning Plan and Framework, the strategies for implementation of plans were unclear and there was not always a clear coherence between various planning documents. However the University has clearly achieved significant progress since it embarked on the restructuring project in 2005.

Management structure

The new structure and lines of accountability were articulated clearly. The Panel considered that full benefits to be gained from the key pan-institution roles represented by the Pro Vice-Chancellors might be constrained by their part-time status. The restructuring project is predicated on a "One University" goal, to improve operational effectiveness and efficiency and to ensure all parts of the university are moving in the one, same, direction. Most staff appear to support this project.

Governance

While the Council's clear distinction between management and governance is appropriate, the Council needs to ensure full support is given to University staff in critical areas of quality assurance and risk management oversight.

Teaching and Learning

Learning and Teaching Plan

The University is commended for its comprehensive Teaching and Learning Plan and Teaching and Learning Framework which gives effect to the Plan.

Teaching Development and Evaluation

The Teaching Development Unit (TDU) and the Waikato Centre for eLearning (WCEL) provide appropriate support for staff. The restructuring and clarification of responsibilities offer opportunity for the development of a flexible education plan which includes, but is not limited to e-learning.

Research-informed Teaching

The University has clear expectations of staff which ensure that students are taught only by staff who are research-active. The University also expects that teaching will be informed by current pedagogical research.

The Library

The University is in the process of major development of its Library and student hub. The Panel was impressed by the design which has earned a five star rating from the NZ Green Building Council, by the Library's international benchmarking processes and by the comprehensive service provided to both staff and students. In particular, the support for postgraduate students is commended.

Student support

Relative to other universities, the University's students include significant proportions of first-in-family students, students from outside Hamilton and Māori students. It responds in a variety of ways to their needs including, for example, whanau/parents induction; whanau floors in the Halls of Residence; an orientation programme for first-year-at-Waikato students; on-line interactive workshops for students whose first language is not English. The University is commended for its comprehensive pastoral care and student support. It is suggested that student support would be further enhanced by introduction of an institution-wide process to identify and support students at risk.

Research

Research Plan

The Research Plan has clear goals, KPIs and accountabilities. Those staff charged with leading research activities in the University demonstrate commitment, energy and achievement.

Research Capability

The University has in place a range of strategies to enhance research capability and make clear the output expectations of all staff. There was some concern about the size of the load borne by some high-performing staff who also supervise large numbers of research students.

Research Infrastructure

Strategic investment funds are being allocated to the development of new Research Institutes. The potential exists for research centres and institutes to reinforce the University's distinctiveness. Staff

reported satisfaction with the research infrastructure.

PhD Student Support and Supervision

While the University has a good induction process for PhD students it has yet to finalise its “statement of expectations” regarding minimum resources provided to PhD students. The Panel commended the systematic processes for building and managing staff capability in research supervision, and the establishment of a register of supervisors and chief supervisors for those staff who met specified criteria.

Te Tiriti o Waitangi

Stakeholder Engagement

The University is located in the rohe Waikato Tainui. It has long association also with Kīngitanga and over 16 iwi of the Central North Island and Bay of Plenty. The University’s determination to manage this complex set of relationships through extensive, inclusive and relevant engagement is commended.

University Culture

It is apparent that the University embraces its strong Māori identity and heritage. Kīngitanga Day is an institution-wide non-teaching day which includes community activity; buildings include Māori design elements; many staff – not only Māori – are competent in te reo and Māori protocols are a widely accepted and respected feature of the University.

Māori Students

Just under 20% of Waikato students identify as Māori. In addition to pastoral support, a range of services is available to support Māori academic achievement at both undergraduate and postgraduate level. The Panel was impressed by the breadth of opportunity provided for Māori language speaking students, including those from Kura Kaupapa and Whare Kura to be taught, supervised and assessed in te reo Māori.

Māori Staff

Relative to the demographic profile of the region, the University has a small number of Māori academic staff, especially in senior positions. These staff carry an additional load with respect to their community responsibilities.

Māori Research

An academic and business case has been prepared for a new Māori Research Institute. The need for enhanced critical mass of Māori researchers and PhD supervisors has been identified.

Pacific Peoples

Pacific Staff and Students

Less than 5% of students identify as Pacific peoples. While the consideration given by the School of Māori and Pacific Development to those staff and students is appreciated by them, it is apparent that Pacific people wish to have their own identities recognised separately. The University has some support provision for Pacific students, mostly resourced from external funding.

Engagement with the Community It is suggested that the University seek more active engagement with Pacific peoples communities.

Staff: Academic, Management and Professional Support

Staffing Strategy The University has adopted a workload formula but does not yet have a detailed workload plan. Adherence to the workload formula is variable, especially for staff with significant administrative or community responsibilities.

Staff Induction and Professional Development Administrative induction is comprehensive. Academic orientation is embedded within a wider professional development framework developed and run by a network of providers (Teaching Development Centre; Waikato Centre for eLearning; Research Office; Library; Postgraduate Office; and the Professional Development Unit of Human Resources). The University will offer a higher educational leadership and management programme in 2011 aimed at staff at middle management level.

Staff Appraisal and Recognition Staff are routinely evaluated in their core activity areas. A Professional Goal Setting process includes both formative and summative assessments aimed at building capability. The introduction of individualised auto-populated academic portfolios covering staff activity and achievement is commended. A number of avenues are used for recognising outstanding performance, including administrative excellence.

Institutional Quality Assurance

Quality Assurance System The University has appropriate quality assurance mechanisms in place and collects a range of institutional data. These need to be further coordinated into a more coherent, linked, framework.

Papers Taught Off-campus The Panel was satisfied that the University has in place adequate processes to ensure equivalence of delivery and outcome for papers taught at sites outside Hamilton.

Assurance of Teaching Quality Regular paper and teaching evaluations could be run more efficiently on-line, and at every offering of a paper. The University is exploring ways of using data provided by the Australasian Survey of Student Engagement (AUSSE). A Student Experience Taskforce is charged with further developing survey administration, data analysis and interpretation and the use of data.

Risk Management The University is working on ways to identify and mitigate risks inherent in or arising from all its activities. A risk register has been adopted. It is suggested that Council should assume some formal oversight of institutional risk.

Community Engagement

Stakeholder Engagement	The University demonstrates its commitment to its community via an array of activities in Hamilton and beyond, and by the input it seeks to the University Strategy. Te Rōpū Manukura ensures engagement with local iwi. The Vice-Chancellor's leadership is widely acknowledged as being pivotal to these interactions.
Community Input to Research and Teaching	The University uses appropriate processes to participate in research collaborations and gain input from key stakeholders and expert groups to programme development and discipline-related initiatives such as the "Science on the Farm" website.
Relationship with the Bay of Plenty	The University is a partner in an ambitious project in the Bay of Plenty aimed at identifying and meeting that region's educational, economic and social goals. The project includes development of the Western Bay of Plenty Tertiary Education Action Plan which will see the University contributing relevant and complementary expertise to the region.

External Academic Collaborations and Partnerships

The University in Tauranga	The University has a Deed of Cooperation with the Bay of Plenty Polytechnic which covers complementary programmes and teaching, joint marketing and promotion and some shared services ⁵ . Students may commence university study in Tauranga for completion in Hamilton or may transfer credit from some polytechnic programmes.
Other Tertiary Providers	Various different arrangements facilitate pathways between polytechnics, wānanga and the University.
Internationalisation	In 2009 10% of students were international. The International Plan provides for student recruitment and support.
International Collaborations	The University is involved in a wide range of collaborations with institutes and institutions world-wide. For example, the University has formal academic partnerships with universities in China.; the INTERCOAST project in Tauranga is in partnership with the University of Bremen (Germany); a relationship with the University of York includes opportunity for professional development exchanges of senior academic and non-academic staff.

⁵ The Deed of Cooperation was extended on 24 August 2010 to include Te Whare Wānanga o Awanuiārangi, Whakatane

Commendations, Affirmations and Recommendations

Key: C = Commendations R = Recommendations A = Affirmations

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

Governance and Management

- | | | |
|----|-----|---|
| C1 | P20 | The Panel commends the University on the implementation of its new organisational structure. |
| C2 | P21 | The Panel commends the University on the “One University” concept. The Panel noted, however, that the implications of this concept for staff and students need to be embedded and understood more widely. |
| C3 | P22 | The Panel commends the University on its bold and ambitious vision to be “world class”. However the University needs to identify more precisely what this means in relation to its teaching, research and other activities. |
| C4 | P23 | The Panel commends the University for the development and operationalization of its sustainability strategy as outlined in its Environmental Policy across the full spectrum of University activities. |
| R1 | P21 | It is recommended that the University integrate and synchronise its various planning documents so that they present to the community a coherent strategy for achieving the University’s Vision. |
| R2 | P23 | The Panel recommends that what is distinctive about the University of Waikato and its teaching and research be identified, made explicit and widely understood within the University and the communities it serves. |
| R3 | P23 | The Panel recommends that Council demonstrate greater engagement with the University and its Vision. |

Teaching and Learning and Student Support

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|----|-----|--|
| C5 | P25 | The Panel commends the University on the connection between the Teaching and Learning Framework and the Teaching and Learning Plan and the evidence of consultation that has occurred during the development and implementation. |
| C6 | P25 | The Panel commends the University on the emphasis it is continuing to place on teaching excellence in the Performance Based Research Funding era. |

C7	P27	The Panel commends the Library and the support services its staff provide to staff and students.
C8	P29	The Panel commends the University on its comprehensive student support services and pastoral care programme, including the services offered by its Halls of Residence.
R4	P26	The Panel recommends that the University develops a comprehensive flexible education plan that includes e-learning and addresses delivery to the Tauranga students.
R5	P29	The Panel recommends that the University develops a student transition programme that extends beyond orientation and includes, in particular, a comprehensive institution-wide students-at-risk programme to close the loop between enrolment and completion.

Research

C10	P30	The Panel commends the energy, commitment and achievements of the University's research leaders.
C11	P32	The Panel commends the systematic process of managing, supporting and building capability of postgraduate supervision
C12	P32	The Panel commends the orientation, induction and mentoring processes for PhD students.
<i>A1</i>	P31	<i>The Panel affirms the growth of PhD enrolments.</i>
<i>A2</i>	P31	<i>The Panel affirms the development of a statement which sets out the expectations of individual members of academic staff from Professors to Lecturers regarding research productivity.</i>
<i>A3</i>	P33	<i>The Panel affirms the development of the "Statement of Expectations" which outlines the minimum resources that the University will make available to enrolled postgraduate students.</i>
R6	P31	The Panel recommends that the University responds to the risk it faces in some areas of being unduly dependent for research productivity on a small number of high performing research staff.

Te Tiriti o Waitangi

C12	P34	The Panel commends the University's determination to manage the complex set of relationships deriving from its links with the large number of iwi within its regions and to achieving extensive, inclusive and relevant engagement.
C13	P35	The Panel commends the extent to which the principles of the Treaty and the values underlying it are embedded and expressed within the culture of the University, including Māori student support, community engagement, campus culture and the overall distinctiveness of the University.

A4 P36 *The Panel affirms the University's response to the challenge of a new generation of Te Kura Kaupapa Māori students by providing opportunity to be taught, supervised and assessed in te reo Māori.*

Pacific Peoples

R7 P38 **The Panel recommends that the University's planning and organisational processes should recognise the needs and aspirations of staff and students who identify as Pacific peoples as a distinctive stakeholder group.**

R8 P38 **The Panel recommends that the University explores the opportunities presented by close proximity to the largest community of Pacific peoples, in particular in Manukau.**

Staff: Academic, Management and Professional Support

C14 P42 The Panel commends the introduction of the individual academic staff portfolios including auto-populated data sets.

A5 P40 *The Panel affirms the University's recognition of the importance of workforce planning and the need for it to ensure the academic staff profile enables the University to meet its ambitions.*

A6 P41 *The Panel affirms the development of a range of professional development activities for staff.*

Institutional Quality Assurance

A7 P44 *The Panel affirms the regular paper and teacher evaluations. The Panel suggests, however, that the University explores shifting to on-line evaluations and doing these every time papers are offered.*

A8 P46 *The Panel affirms the establishment of the Risk Register.*

R9 P43 **The Panel recommends that as a matter of urgency the University completes the implementation of the recommendations of the Cycle 3 audit and establishes a quality assurance system that includes planning, monitoring, review and improvement and which feeds back into professional development and enhancement.**

R10 P44 **The Panel recommends that within its existing survey framework the University introduces more systematic benchmarking and mechanisms for student feedback.**

Community Engagement

C15 P48 The Panel commends the Vice-Chancellor's leadership and commitment to stakeholder engagement.

- | | | |
|------------|-----|--|
| C16 | P50 | The Panel commends the University of Waikato’s presence in Tauranga and the educational, economic and social contribution it makes to achieving the goals of the Bay of Plenty region. |
| C17 | P50 | The Panel commends the University’s strong community engagement with its wide range of stakeholders representative of the educational, economic, environmental, social and cultural goals of the Waikato region. |
| R11 | P48 | The Panel recommends that the University seeks stronger engagement with Pacific peoples communities. |

External Academic Collaborations and Partnerships

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|-----|-----|--|
| C18 | P54 | The Panel commends the University’s development of international partnerships and collaborations which involve teaching and research and which embrace both academic and management staff. |
|-----|-----|--|

1

Introduction

1.1 The University of Waikato – Te Wānanga o Waikato

The University of Waikato, located in Hamilton, enrolled its first students in 1964. Since 1998 the University has also offered papers in Tauranga. The University is located in the rohe⁶ of Waikato Tainui and takes very seriously its recognition of Kīngitanga⁷ and commitment to Tainui and other iwi⁸ of the central North Island.

The University has developed into an institution with approximately 2000 staff (1500 FTE) and 13,000 students (10,606 EFTS). Just under 20% of Waikato students identify as Māori, approx 10% are international students and just under 5% identify as Pacific peoples⁹.

Over 80 qualifications are offered¹⁰, taught from the Faculties of Arts and Social Sciences; Education; Law; Computing and Mathematical Sciences; and Science and Engineering; the School of Māori and Pacific Development; and the Waikato Management School. The faculties and schools are headed by Deans who hold management responsibility. In addition, the Pathways College offers bridging, foundation and English language programmes for all levels of study, as well as academic skills support and Continuing Education programmes.

The University offers a number of programmes in association with the Bay of Plenty Polytechnic. It has articulation agreements for programme delivery, including programmes in China, and a joint Master of Science and a joint doctoral programme with the University of Bremen (Germany).

WaikatoLink is the University's commercialization and technology transfer office.

While the University places importance on its international connections, it sees itself as “aligned unambiguously”¹¹ with an Aotearoa/New Zealand national and cultural identity. Its motto *Ko Te Tangata*, “for the people” reflects the University's philosophy of being in, of and for its community¹².

⁶ Transl. region or area. <http://www.newzealand.com/travel/maori-glossary/maori-definitions/rohe.cfm>

⁷ The Māori King Movement or Kīngitanga is a movement that arose among some of the Māori tribes of New Zealand in the 1850s to establish a symbolic role similar in status to that of the monarch of the colonising people, the British. <http://en.wikipedia.org/wiki/Kingitanga>

⁸ Transl. tribe or clan.

⁹ See Appendix 1, Statistical Information.

¹⁰ See Appendix 1, Statistical Information.

¹¹ 2010 University of Waikato Calendar p12.

¹² University of Waikato Charter, *op.cit* p17.

Cycle 4 Academic Audit

For its self-review the University of Waikato used a synthesis of the 2007 Academic Audit Indicative Framework¹³ and the new (2009) evaluation questions¹⁴. That is, within the chapter headings common to both schema the University endeavoured to explain its commitments, strengths, challenges, monitoring activities and enhancement initiatives (as suggested in the Cycle 4 Audit Manual with respect to the indicative framework) by answering the 2009 questions “how does the University know?”.

The resulting self-review report and appended documents thus took a structure which did not map easily onto either framework. However, audit should address the University’s own objectives and in the case of the University of Waikato these were laid out very clearly in the introduction to the self-review report. In particular, the self-review report notes, “This Portfolio is formative in intent... [T]he University has focused on explaining how it operates and also what it knows about its successes and challenges. The Portfolio has been used internally as a constructive opportunity to build shared understanding and identify its achievements and areas where the University will prioritise for further improvement.”¹⁵ The Panel Chair and the Director concluded that the report in fact addressed the key audit questions for all important areas, namely

- What are the internal quality procedures?
- Are they appropriate?
- Are they effective?
- How does the University know?

The University of Waikato self-review report is a very comprehensive document. This report from the audit panel does not address every activity discussed in the self-review, or documented in the supporting material. Rather, the report refers to the matters to which the Panel thought it was most important to pay close attention, particularly in light of the University’s own goals and commitments.

The self-review report incorporated 47 “Progress Points”. Many of these are descriptive and thereby set a clear direction for intended action. The list of enhancements appended to this report¹⁶ is a summarised list derived from the self-review report. The list has been confirmed by the University as consistent with the intent of its Progress Points.

Response to Cycle 3 Academic Audit

The University has documented its progress to date on all recommendations arising from the 2005 Cycle 3 Academic Audit¹⁷. A number of the initiatives outlined in the Cycle 4 self-review report arise from those recommendations.

¹³ Appendix 5

¹⁴ Appendix 6

¹⁵ Self-review Report p3.

¹⁶ Appendix 2.

¹⁷ Self-review Report pp124-128.

The audit panel understands that the prioritising given to restructuring and in particular to the appointment of individuals into key roles which will steer the University in its core functions has meant that some progress has possibly been slower than might have been expected. The full implementation of the external academic review schedule, for instance, was deferred while the academic reorganization was being completed.

Apart from one area related to institutional quality assurance and one related to the development of a Pacific strategy, the Panel was satisfied that the University is meeting the objectives of the Cycle 3 recommendations. The University is aware of the work it still needs to do in the above two areas.

2

Governance and Management

2.1 The University's Vision and Strategy

The University of Waikato's motto Ko Te Tangata ("For the people") refers to the University's emphasis on collegiality and the importance it places on people. The University Vision explains its intent to be "in, of and for the community"¹⁸.

The Vision 2005-2015 for the University of Waikato, approved by Council in 2005¹⁹, is to

- deliver a world-class education and research portfolio
- provide a full and dynamic university experience which is distinctive in character
- pursue strong international linkages to advance knowledge.

The overarching themes of the Vision are thus

- excellence
- distinctiveness
- international connectedness.

The University's Strategy has six high level goals²⁰:

1. Provide a world-class, relevant and sustainable programme of teaching and learning.
2. Be recognised nationally and internationally as making a contribution to New Zealand's tertiary education and research sectors that is significant, distinctive and reflective of the University's values.
3. With an international perspective, contribute to the educational, social, cultural, environmental and economic development of our region and nation.
4. Be recognised nationally and internationally for research excellence in our areas of expertise.
5. Achieve management and operational excellence in support of teaching, learning, postgraduate supervision and research.
6. Apply strong leadership and best practices to ensure that governance and management activities are coordinated, complementary and effective in achieving the University's goals.

The audit panel addressed these themes and goals throughout its work, and in particular the appropriateness and effectiveness of the University's processes in ensuring its capability to achieve its Vision.

¹⁸ The University of Waikato *Vision* (2005-2015) p5.

¹⁹ *Op.cit.* p3.

²⁰ The University of Waikato *Strategy* (2010-2013) p1

2.2 The Restructure

Goal 5 of the University's Strategic Plan is to “achieve management and operational excellence in support of teaching, learning, postgraduate supervision and research”.

In 2009 the University embarked on a major restructure²¹ to prepare itself for anticipated challenges both externally and internally over the next decade and beyond. Externally the University knows it will face, *inter alia*, increased competition for top students; pressures from changes to government funding and capped enrolments; increasing expectations of the “student experience”; an ageing workforce; and exponential changes in information systems and communications technology. Internally the University knows it will need to respond effectively, systematically and economically to the changing operating environment.

The restructuring project encompasses all university activity. At the time of the audit site visit a number of key changes had been made or initiated, including a new senior management structure, a number of plans, and a proposed new academic structure.

The three main components and key elements of the restructure are as follows.

Academic structure: Six faculties (headed by Deans) constituted from departments or schools, which will report to the faculty Dean. Principal budget units will be the faculties.

A new Māori and Pacific Development Institute (comprising the former School of Māori and Pacific Development and the new Māori Research Institute (with the PVC (Māori) taking the role of Dean).

New Research Centres and Institutes

The Pathways College will reside within the Faculty of Education.

Key academic roles: Vice-Chancellor

Deputy Vice-Chancellor – oversees delivery on the Academic and Research Plans.

5 part-time Pro Vice-Chancellors, in Teaching & Learning; Research; Postgraduate; International; and Māori who have pan-university responsibility for development and oversight of plans and policies.

Deans, who are responsible for delivering agreed outcomes at faculty level.

Key support roles (termed “Tier 1” senior management²²), reporting directly to the Vice-Chancellor:

Registrar who will lead university support services (*to be appointed*)²³.

²¹ University of Waikato Proposed New Organizational Structure – v4. 30 October 2009.

²² Self-review report p63.

²³ The University has since decided not to proceed with the Registrar position and has appointed an Assistant Vice-Chancellor(Executive) and an Assistant Vice-Chancellor(Operations).

Chief Financial Officer
Head of Human Resources
Director of Development

Beneath this senior management structure a detailed operational and administrative support structure and reporting matrix has been mapped (Tier 2 management²⁴). Details, including the responsibilities of senior roles, were made available to the Panel in the document *Proposed Organisational Structure – v4* dated 30 October 2009.

While the restructure is not yet completed, almost all major changes have been initiated and most key roles filled. Reports from staff interviewed indicated that the restructure had been well received within the University, is operating well and is contributing to the “One University” objective. In particular, the teams appointed to lead research and teaching and learning are clearly being effective (see Chapter 5) although the Panel wondered whether the size of the part-time Pro Vice-Chancellor positions is adequate given the fundamental importance of these roles in helping achieve the University’s objectives, and the pan-university responsibilities which are actually being discharged by the incumbents. The restructuring has been successful in clarifying the roles of Deans as being the people responsible for implementation of the “One University” policy and processes at faculty level.

The Panel viewed the strategic planning documents of four faculties. These varied in structure and design, and some were still in working draft form. The University might find it helpful to establish a common template for faculty strategic plans.

It appeared to the Panel that further work might yet need to be done on communicating the restructuring changes, their intent and effect. In this connection the Panel noted the various initiatives currently being undertaken with this end in mind, including the interactive website “VC on Demand”, and the considerable consultation and discussion by the Vice-Chancellor. Importantly, despite having been through a period of extensive change, students and staff interviewed, without exception, spoke positively of the University being a good place to work and study.

C1. The Panel commends the University on the implementation of its new organizational structure.

2.3 Planning

The Strategic Plan is conceptualised in a pyramid-shaped planning framework with the University’s Charter, Vision and Strategy at the apex, underpinned by an Academic Plan and Operations Plan, which are in turn supported by other plans focused on core activities and supporting processes²⁵.

One aspect which concerned the Panel was the relationship between the various strategic documents underpinning the restructure. The Vision, Strategy and Plans need to be a coherent set of documents, telling the same story. In this case the Vision of where the University of Waikato will be in 2015 isn’t replicated in the Strategy, which has another set

²⁴ *Ibid.*

²⁵ The University of Waikato *Strategy* (2010-2013) p 10.

of goals. In the various Plans there is another set of [different] things to be done. Certainly, if all the actions in the various plans are achieved then the University will achieve its Vision, but the different documents currently lack obvious coherence and might give an impression of a lack of connectedness. This is exacerbated by the different implementation and expiry dates for key plans. While the Panel understands that some plans are fundamental to core business (eg the Research Plan; the Teaching and Learning Plan) and thus have greater urgency attached to them, it nevertheless felt that differing timelines and start/implementation dates tended to confuse.

The intent and effect of the different strategic documents might well be understood by those intimately involved in planning (Vice-Chancellor; Senior Management) but it seemed possible, even likely, that the complexity impedes staff understanding.

R1. It is *recommended* that the University integrate and synchronise its various planning documents so that they present to the community a coherent Strategy for achieving the University's Vision.

2.4 "One University"

As indicated in its motto, the University of Waikato places emphasis on its people. The overarching theme of the self-review report is "One University"²⁶ which is the fundamental objective of the University's restructuring project.

Main objectives of the "One University" project have been to improve operational efficiency, gain consistency and achieve a shared understanding of the core business of the University. The Panel gained from its interviews reflections that progress has been made in shifting the University from a somewhat siloized mode of operating across service provision, accountability for expenditure, and academic processes. In describing what "One University" means to them, staff referred, for instance, to "faculties all heading in the one direction, [on a] common path"; about having the same standards and processes across campus; about centralising resources; about increased tendencies to break down departmental walls towards more interdisciplinary work.

In addition, inclusion of staff and students in Tauranga into the "One University" has been addressed by establishment of joint academic and operations committees and by regular visits to Tauranga of senior University staff based in Hamilton. Despite these efforts though, some staff and students interviewed in Tauranga still felt marginalised.

C2. The Panel *commends* the University on the "One University" concept. The Panel has noted, however, that the implications of this concept for staff and students need to be embedded and understood more widely.

2.5 A "World Class" University

The Strategic Plan outlines a range of key actions required to achieve the goal of being a "world class" university, including excellent staff, organisational structures and academic programmes which align with the University's priorities, quality assurance mechanisms,

²⁶ University of Waikato Self-Review Portfolio 2010, p6.

teaching which is informed by research outcomes and collaborative ventures which will assist with ensuring a “comprehensive and seamless tertiary education system in the region”.

Senior staff interviewed were clear that “world class” meant recognition by their peers that the University’s research and teaching and learning are of high international standard. For academic staff “world class” most frequently pertains to their own discipline, denoting acknowledgement and recognition by international colleagues. For service departments, such as the Library and Facilities Management, regular international benchmarking is a routine mechanism for assessing against a “world class” standard.

In teaching and research there are clearly significant pockets of activity which are leading examples of international excellence. The Panel was impressed by what the University has managed to achieve on what, in international terms, is relatively modest funding. One suggestion from the Panel is that the University identify further which of its activities might be highlighted as defining its world class character. The Panel also noted that while a tension could potentially be perceived between world class aspirations and regional priorities and relevance (see Chapter 9), it was the Panel’s view that it is *not* inconsistent or contradictory to aspire to be a world class regional university.

C3. The Panel commends the University on its bold and ambitious vision to be “world class”. However the University needs to identify more precisely what this means in relation to its teaching, research and other activities.

2.6 Distinctiveness

Goal 2 of the University’s Strategic Plan is to *be recognised nationally and internationally as making a contribution to New Zealand’s tertiary education and research sectors that is significant, distinctive and reflective of the University’s values.*

The University values

- *Tū ngātahi me te Māori* - partnership with Māori
- *Mahai pono* - acting with integrity
- *Whakanui i ngā huarahi hou* - celebrating diversity
- *Whakarewa i te hiringa i te mahara* - promoting creativity²⁷.

When exploring with different groups of staff and students what they believed makes Waikato “distinctive”, the Panel heard several different themes reiterated, including the level of student support and pastoral care (see Chapter 3); the quality and affordable cost of the Halls of Residence (see Chapter 3); and the extent to which principles of sustainability permeated operational activity. Most consistent reference was made, in particular, to the opportunities and responsibilities arising from being geographically in the heart of the Waikato, and the embeddedness of Māori cultural values in the programmes and activities of the University (see Chapter 6) and the extent to which the university interacts with the regions and responds to regional needs and aspirations (see Chapter 8). The pervasiveness of the values underpinning some of these traits was described in some cases as intended to be

²⁷ The University of Waikato *Strategy* (2010-2013) p 2.

“subliminal”. The Panel was of the view that the characteristics highlighted above are indeed distinctive and might well confer a competitive advantage on the University. However they need to be identified more explicitly, such that the message the University wishes to communicate about itself is well accepted and understood within the University community and is articulated consistently.

R2. The Panel *recommends* that what is distinctive about the University of Waikato and its teaching and research be identified, made explicit and widely understood within the University and the communities it serves.

C4. The Panel *commends* the University for the development and operationalisation of its sustainability strategy as outlined in its Environmental Policy across the full spectrum of University activities.

2.7 Governance

Goal 6 of the University’s Strategic Plan is to “*apply strong leadership and best practices to ensure that governance and management activities are coordinated, complementary and effective in achieving the University’s goals*”.

The Panel identified two areas where governance and management did not appear to be “coordinated and complementary” in achieving the University’s goals.

Risk management is discussed in Chapter 8. The Panel felt the risks faced by any university are sufficiently serious in potential impact for the university that they should be addressed at governance level, as a responsibility of a member of Council.

Given that the five-yearly academic audit is the University’s only systematic benchmarked quality check across all activities which support the core functions of teaching and learning, research and community engagement, the Panel was disappointed it was able to meet only one Council member during the site visit. The Panel reviewed Council minutes in the period leading up to the audit and understands that Council sees the academic audit as a management activity. While the Panel is clear that it does not wish to signal a need for Council involvement in university management, it nevertheless is of the view that the Vice-Chancellor and his senior leadership team deserve overt support for the significant work undertaken by the University in preparing for this audit and facilitating its conduct. This is especially so when it is appreciated that audits such as this one provide a baseline check on the University’s capability in achieving its new vision.

R3. The Panel *recommends* that Council demonstrate greater engagement with the University and its Vision.

3

Teaching and Learning and Student Support

3.1 The Teaching and Learning Plan

The first Goal of the University's Strategic Plan is to “*provide a world-class, relevant and sustainable programme of teaching and learning*”.

To that end, the University has developed a Teaching and Learning Framework (2010-2012) and from that a Teaching and Learning Plan (2010-2012) approved by Council on 10 March 2010. These two documents are informed by the University's Academic Plan (2008-2010). The University has also appointed a Pro Vice-Chancellor (Teaching and Learning) and a Pro Vice-Chancellor (Postgraduate). It has a Postgraduate Studies Committee, a Teaching and Learning Committee and an Academic Programmes Committee.

The Teaching and Learning Plan and Framework, overseen by the Teaching Quality Committee, was developed after extensive consultation with University staff. The Plan's seven goals are²⁸

1. The University demonstrates that it values and supports effective teaching and supervision.
2. Effective teaching and supervision are consistently demonstrated.
3. Appropriate learning outcomes are clearly stated and inform teaching and postgraduate supervision.
4. Assessment policies and procedures facilitate student learning and set out clear and appropriate standards of achievement.
5. Teaching and post-graduate supervision are research-informed.
6. Each student has the opportunity to develop his or her full academic potential.
7. Technologies, facilities and infrastructure support excellence in teaching, learning and innovation.

The Plan includes appropriate KPIs and requires six monthly reporting by the Deputy Vice-Chancellor to the Teaching Quality Committee, Academic Board and Council on activities and actions.

The Framework²⁹ expands on the Plan to outline the context in which the Goals are to be achieved, and to identify relevant policies and procedures, specific actions required to achieve the Plan's goals, and where the responsibility lies for those actions. In particular, the Framework identifies gaps in plans, processes and reports, including those that exist but need to be revised (as well as where new processes, policies and reports need to be developed). The Framework concludes with an overview statement of the principal responsibilities in the quality assurance of teaching and learning³⁰, namely:

²⁸ University of Waikato Teaching and Learning Plan 2010-2012, p1.

²⁹ University of Waikato Teaching and Learning Framework 2010-2012.

³⁰ *Op.cit.* pp20-23

- Quality Assurance and Academic Processes – Academic Programmes Committee and Teaching quality Committee responsibilities.
- Research Committee
- Boards of Studies
- School/Department Processes
- Quality Assurance and Human Resources
- Quality Assurance, Facilities and Facilities Management - Educational Technology Committee advises the ICT Strategy and Policy Committee and the Capital Development Committee

Additional reporting mechanisms are mentioned (eg reports from the Planning, Policy and Information Office). It is noted that formal external academic programme reviews are being deferred while the restructure is in process but are expected to resume in 2011.

The Panel heard that pan-University staff buy-in to the Teaching and Learning Plan was still sometimes a challenge. However it was commented that consultation about the Teaching and Learning Plan “changed how conversations [about teaching] happened”. The Plan was thought to be facilitating the “One University” approach to teaching and learning. Notable achievements, including national teaching awards, were provided as evidence of teaching effectiveness. Examples of excellent teaching are celebrated. The impact of PBRF in privileging research was acknowledged but several staff interviewed spoke of initiatives which were likely to be effective in redressing this imbalance. A number of examples were brought to the Panel’s attention which reinforced the University’s objective of valuing and supporting effective teaching and supervision.

- C5. The Panel *commends* the University on the connection between the Teaching and Learning Framework and the Teaching and Learning Plan and the evidence of consultation that has occurred during the development and implementation.**
- C6. The Panel *commends* the University on the emphasis it is continuing to place on teaching excellence in the Performance Based Research Funding era.**

3.2 Teaching Development and Evaluation

It was felt by staff that since Cycle 3 the University had got better at monitoring and improving teaching across the University. The Teaching Development Unit and Waikato Centre for eLearning were spoken of with approval. The Teaching Development Unit, for instance, works with departments and schools to assist in developing graduate attributes for programmes – a challenge which the University identified in its self-review report³¹. The number of staff attending workshops and using technology is monitored. Students are also surveyed on their experience of the use of technology in their education, via a regular biennial survey and via questions integrated into the regular paper surveys. The Panel heard that students in Tauranga sometimes experience frustration with inadequate video delivery; the Panel suggests that teachers providing this form of delivery be required to achieve a level of competence which does not compromise the learning experience of students at the viewing end.

³¹ Self-review Report pp20-21

The Waikato Centre for e-Learning is responsible for “leading, promoting and supporting effective engagement with technology. It investigates, develops and maintains innovative elearning environments and technologies [and] aims to build capacity and capability of staff.”³² Staff suggested that an elearning strategy is needed to make best use of the expertise and ideas which the University has in the education technology area. It was commented that with the restructure and clarification of responsibilities development of such a strategy might now be possible. However, the Panel is of the view that, commendable though these initiatives are, they should be seen within the broader context of flexible education; that is, in the context of giving students greater flexibility in relation to such matters as how, when and where they study, about what they study and the pace at which they do so, and how and when they are assessed.

R4. The Panel *recommends* that the University develops a comprehensive flexible education plan that includes e-learning and addresses delivery to the Tauranga students.

3.3 Research-informed Teaching

There is an expectation that all staff teaching University of Waikato programmes be research-active and that staff seeking promotion demonstrate achievement in both teaching and research³³. This expectation applies to those teaching into one- and two-year diplomas (such as those taught in Tauranga), which are characterized as being the first part of a degree. To this end, senior management at Bay of Plenty Polytechnic explained the developmental work underway to link polytechnic staff into joint research projects with university staff. This commitment to research-informed teaching is reflected in the University’s workload allocation formula of 40-40-20 (teaching-research-professional and community activity) which is intended to ensure that all staff have opportunity to engage in all core university activities, including research appropriate to their teaching and programme development. The expectation that staff are research-active applies not just to discipline-related research but also to the application of current educational research to their teaching practice. It is expected that “some proportion of staff” will be involved in research around teaching and learning in their own discipline.³⁴

3.4 The Library

The University’s library redevelopment is a major project, scheduled for completion in June 2011. The University is justifiably proud of its five star rating from the NZ Green Building Council for the building and its infrastructure. The Panel was also impressed by the extent to which library staff benchmarked their service, not just nationally but internationally.

³² *op.cit.* p21.

³³ See reference to Staff Profiles, Ch 6.

³⁴ Self-review report p45.

Library staff explained the changing nature of student use, and the ways in which library staff are addressing these. Examples included a virtual reference desk; a virtual book provision service whereby students can order books directly from the on-line catalogue; an instant message service for queries; an information coaching page on MOODLE subject sites established in consultation with subject coordinators. Library staff monitor student feedback and in 2007 undertook extensive analysis of this to inform the development project.

The Panel was interested in a stated aim in the self-review portfolio³⁵ that the Library would contact every postgraduate student to provide them with individual research consultations. The Library responded that in the first half of 2010, 900 one-to-one one hour sessions had been conducted with postgraduate students, in addition to sessions with over 100 undergraduate students and nearly 400 staff. Other classes had also been offered and extensive consultation with Deans and other academic staff was also reported.

C7. The Panel commends the Library on the support services its staff provide to staff and students.

3.5 Student Support

Student learning support and wellbeing are addressed in the Teaching and Learning Plan (Goal 6) and in the Academic Plan. The University sees these being provided through a “four-tier”³⁶ model comprising

- The Waikato Pathways College (academic development, including preparation and bridging programmes, for students from pre-degree to postgraduate)
- Student and Academic Services (pastoral care)
- Faculties (academic support and advice, structured counselling and pastoral care)
- The Library.

Achievements documented for the Pathways College³⁷ include a range of on-line interactive workshops; identification and implementation of a range of self-access language development software packages suitable for both domestic and international students; specialized academic workshops for particular cohorts of students (eg NZAID); Thesis Writing Circles to support postgraduate students.

Other academic support initiatives for students include the *Student Assessment Handbook* covering rules, regulations and guidelines for good practice and including a statement of expectations of student responsibilities and staff responsibilities³⁸ as well as a section on useful links and information sources. It is noted that in the 2008 AUSSE (see Chapter 8) both

³⁵ P25.

³⁶ Self-review report pp 25-26.

³⁷ Self-review report pp27-29

³⁸ *Student Assessment Handbook* p4.

first year and later year Waikato students scored more highly on the “supportive learning environment” scale than did any other benchmark group.³⁹

The University is committed to providing a unique “Waikato experience” “which is more than just an accumulation of knowledge”⁴⁰. A key component of this “Waikato experience” is the inclusion of Māori values and tikanga that is evident in the scope of activities and programmes that are in place, considered in Chapter 5. Beyond that, the Panel heard from staff and students about a wide range of support services, which are also summarised in the self-review report⁴¹.

A particular focus of the Panel was introduction to university. All new first-year-at-Waikato students have a powhiri followed by two days of orientation based in their school or faculty. Publications, workshops and orientation guides for such students are routine. The University provides a whanau/parents induction, which in 2010 was attended by 500 family members. Parents are offered a guide for parents of “first-in-family” students, which outlines university support services and how parents can help the student in their family. Adult students are offered evening workshops.

The Panel visited the Halls of Residence and was impressed by the quality of provision for relatively modest fees. The Halls provide special floors for Māori students, where there is no requirement to speak te reo Māori. A *fale*⁴² for Pacific Students was less successful and has been discontinued. Instead a Pacific peoples tutor provides support across the Halls for those students. International students are offered a three week preparatory course. The Halls mentoring programme, introduced in 2003, includes an academic coordinator who monitors student success, as well as academic tutors. Since 2003 pass rates for residential students have been high. Academic recognition prizes have also been introduced.

The University has no centralized system for identifying students at risk, although some individual departments, schools and faculties do this. The Panel would encourage the University to systematize mechanisms for doing this. Some faculties maintain records for students who have been through pathways programmes and are able to track their later achievement. Although transferring students may participate in the first year orientation, the Panel felt a gap remained for supporting students who are not first year.

A small number of individual students reported being unable to identify or access services needed, but the assessment of most students was very favourable. In particular, the Health Service and Disability support were reported as “fantastic”; the support of teaching staff was appreciated; the friendliness of the University was praised.

C8. The Panel commends the University on its comprehensive student support services and pastoral care programme, including the services offered by its Halls of Residence.

³⁹ AUSSE 2008 University of Waikato Executive Summary Report, p1. Benchmark groups were Australasia; US and a benchmark group chosen by the University.

⁴⁰ The University of Waikato *Vision* (2005-2015) p 3.

⁴¹ Pp 28-31.

⁴² Transl. House (in this case, home floor)

R5. The Panel *recommends* that the University develops a student transition programme that extends beyond orientation and includes, in particular, a comprehensive institution-wide students-at-risk programme to close the loop between enrolment and completion.

4

Research

4.1 The Research Plan

Goal 4 of the University Strategy is to be *recognised nationally and internationally for research excellence in our areas of expertise*.

The goals specified in the *Research Plan 2010-2012* are to

1. Conduct excellent research
2. Develop the University's research reputation
3. Increase the proportion of research postgraduate students and enhance research postgraduate outcomes
4. Attract increased external investment in research and in the commercialization of intellectual property.

The KPIs attached to the Research Plan are quantitative measures, referring to Performance-Based Research Fund (PBRF) assessment; numbers of publications and research contracts; institutional world ranking as in THES; postgraduate numbers and completions; research revenue⁴³.

Responsibility for research rests with the Deputy Vice-Chancellor, assisted by a Pro Vice-Chancellor (Research) who has responsibility for developing and monitoring the Research Plan. The Panel was provided with Research Plans for some faculties. These appeared to be in an early stage of development. Faculty plans are the responsibility of the relevant Deans. It is intended that the newly-appointed PVC (Research) will facilitate integration of the research goals across faculties.

The Panel met a number of the University's research leaders and was very impressed by their energy, enthusiasm and commitment to research and to advancing the University's research agenda.

C9. The Panel commends the energy, commitment and achievements of the University's research leaders.

4.2 Research Capability

The University's overall PBRF scores improved by 25% between the first and second rounds of assessment. The University is actively preparing for the third round. The Panel felt that the University's intention to increase its PBRF scores substantially again in the 2012 round is ambitious. The Panel was told that each school has its own targets for PBRF. Apparent

⁴³ University of Waikato Research Plan 2010-2012.

anomalies in quality-assured research outputs were explained as reflecting individual staff members' strategic management of their research portfolios.

The Panel was perplexed by the apparent decrease in the number of academic research staff during a period in which the number of postgraduate students, and particularly of PhD students, has increased. The increase in postgraduate students was attributed to the increasing attractiveness of New Zealand for international PhD students, due to government fee policy – just under half of Waikato's PhD students are international students. The decline in staff numbers was attributed in part to the retirement of staff and in part to downstream effects of staff reductions in 2005. However the University has pointed out that although the total number of research staff decreased, the number of academics qualified to supervise, and to be chief supervisors, actually increased during this period. It was suggested that in some areas there is now "greater efficiency" in that workload is now shared more equitably, relieving the pressure on some staff which might otherwise have resulted from declining staff numbers.

A1. The Panel *affirms* the growth in PhD enrolments.

Since the Cycle 3 Academic Audit a range of processes has been introduced or developed to assist with achieving higher standards of scholarship and research excellence. These include a Formative Research Exercise which identifies the development needs of all academic staff in the University, the development of individual staff portfolios recording staff outputs (see Chapter 7, Staffing) and the strengthening of professional development in research and postgraduate supervision⁴⁴. The Panel heard that there are now clearly-articulated expectations of research outputs for all staff. It also heard that some staff who had not wanted to meet these expectations had made their own strategic choices to leave and work elsewhere.

Staff spoke of the very high workload carried by a small number of high-performing research staff who had high individual research loads and also, probably as a consequence, were sought after as PhD supervisors. The 40-40-20 workload formula is intended to ensure staff allocate time for research as well as teaching. In one faculty efforts were made to distribute duties in such a way that teaching and research loads were skewed into separate semesters, facilitating larger amounts of time for research in one part of the year. It was harder to work the 40-40-20 formula for staff who had significant community obligations.

A2. The Panel *affirms* the development of a statement which sets out the expectations of individual members of academic staff from Professors to Lecturers regarding research productivity.

R6. The Panel *recommends* that the University responds to the risk it faces in some areas of being unduly dependent for research productivity on a small number of high performing research staff.

4.3 PhD Supervision Capability

The University has appointed a part-time Pro Vice-Chancellor (Postgraduate), who chairs the Postgraduate Studies Committee and oversees postgraduate activity across the University. The Postgraduate Office provides administrative support and each faculty also has an

⁴⁴ See Self-review Report p38.

Associate Dean (Postgraduate). The PVC (Postgraduate) also monitors staff capacity, ensuring those who are eligible to supervise are in fact supervising, and works with the Teaching Development Unit to provide relevant professional support for staff and students. This commitment indicates how seriously the University takes its postgraduate supervision responsibility.

The University has embarked on a systematic process of building and monitoring the capability and quality of postgraduate supervisors. This not only includes a range of workshops, but also includes specific criteria for qualification to be a supervisor or chief supervisor and processes to ensure less experienced staff receive support and guidance to become supervisors. Any PhD supervisor must have a doctorate, must be research-active and must have supervised Masters theses to completion. In addition, a Chief Supervisor must have supervised at least two PhDs to completion and must have received training to be a chief supervisor. In some areas of low capacity, supervision of a single PhD to completion might be acceptable provided the staff member has other relevant experience. All approved Supervisors and Chief Supervisors are identified on respective Registers.

It was observed by staff that within this system those who supervised Masters theses might be a “forgotten cohort” and that perhaps similar provision should be made for them.

C10. The Panel commends the systematic process of managing, supporting and building capability for postgraduate supervision.

4.4 PhD Student Support

The Panel was shown various handbooks and was told of a variety of support activities for postgraduate students and their supervisors – for example, the Postgraduate “Conversations”; workshops for supervisors, chief supervisors, oral examiners and for students; the “Postgraduate Research Month” (and a complementary “Postgraduate Research Day” in Tauranga); the “Thesis in Three” [minutes] competition. Postgraduate students told of differing experiences, with some wanting more workshops and pastoral support. A staff member completing postgraduate work reported good support within the school but noted that supervisors are often pressured because of other commitments. The services provided by the Library have already been noted (Chapter 3). Overall the Panel felt the supervision and support provided to postgraduate students was commendable.

C11. The Panel commends the orientation, induction and mentoring processes for PhD students.

The University has no formal institutional supervision contract between itself and the student, although some supervisors provide these. There is a rigorous system of six-monthly reporting on student progress which, once signed off by the student and supervisor, is submitted to the department/school head, the faculty postgraduate representative, the Postgraduate Office and the PVC (Postgraduate). Any systemic problems might thereby be identified at the appropriate level.

The PVC (Postgraduate) and the Postgraduate Committee are working with the Postgraduate Students’ Association to draw up a learning resources agreement, benchmarked against other universities and against the Australasian guidelines on health and safety. This minimum

expectations agreement outlines what the university will deliver. It does not address the student's obligations or commitment.

A3. The Panel affirms the development of the “Statement of Expectations” which outlines the minimum resources that the University will make available to enrolled postgraduate students.

4.5 Research Centres and Research Infrastructure

The University has three levels of research groupings: Research Units (or Groups); Research Centres and Research Institutes. These are differentiated in scale and location. Research units or groups usually operate within a school or faculty, do not have financial independence and do not have dedicated staff; Research Centres are usually interdisciplinary, are likely to be funded at least in part externally and have a full-time Director; it is expected that Research Institutes would normally involve partner institutions external to the University and would have established funding streams⁴⁵. The Panel explored the establishment guidelines and terms of reference for Research Centres and Institutes. It learned that Centres had various pathways to establishment, some being motivated by major grants (eg FRST awards), some reflecting international collaborations and some reflecting regional imperatives, opportunities or relationships. All are subject to approval by the Academic Board.

Strategic investment funds were allocated at the beginning of 2010 to establish four new Research Institutes. A review of existing Research Centres and Institutes identified the Wilf Malcolm Institute of Educational Research as an exemplar for the new developments, in terms of administrative structure to support researchers, research impact and contribution to beneficial educational research outcomes.⁴⁶ In some existing Centres research developers have been appointed to undertake such work as management of contracts, thereby relieving high-performing researchers of additional responsibilities. The potential exists for some Research Centres to reinforce the University's distinctive characteristics, for example in its association with the environment or with Māori language, culture and communities.

Staff reported satisfaction with the University's infrastructure and in some instances praised the University's ability to fund capital equipment and cutting-edge technology. Some staff accessed equipment through partnerships with other institutions (including in Australia). The situation regarding infrastructure support was perhaps summed up by the staff member who said the situation is “healthy – but we cannot be complacent”.

⁴⁵ Principles, Guidelines and Processes for the Establishment and Management of Research Units/Groups, Centres and Institutes 2008.

⁴⁶ Self-review Report p39.

5

Te Tiriti o Waitangi

5.1 Vision and Goals

In referring to a distinctive “Waikato experience” which is unique in the educational system of New Zealand, the *Vision* of the University of Waikato states that this experience “must reflect [the University’s] partnership with Māori as intended by the Treaty of Waitangi.”⁴⁷

The University of Waikato is located within the rohe of Waikato Tainui. It has long associations not just with Tainui and Kīngitanga but also with the Māori communities and iwi of the Central North Island. In 1990 the University established a unique governance arrangement through Te Rōpū Manukura, a forum of 16 Central North Island iwi which partners the University Council as the Kaitiaki of Te Tiriti o Waitangi at governance level⁴⁸. The Panel also heard of the University’s positive interactions with iwi of the Bay of Plenty and with Te Whare Wānanga o Awanuiarangi in the context of its partnerships in Tauranga.

C12. The Panel commends the University’s determination to manage the complex set of relationships deriving from its links with the large number of iwi within its regions and to achieving extensive, inclusive and relevant engagement.

The University’s *Vision* refers to a commitment in providing leadership in research and education relevant to the needs and aspirations of iwi and Māori communities and to partnerships with Māori being “an essential and integral element” of the University’s identity. It notes that this consideration will be fundamental to every aspect of the University, from its physical campus to its campus culture.⁴⁹

During its time on the Hamilton campus of the University of Waikato the Panel was made very aware of the many aspects of campus life which reflected this Vision – for example, the careful arrangements for the Panel’s welcome to the University by a whakatau; the Māori design elements in buildings; provision for whanau (family) during student orientation; the university-wide Kīngitanga Day⁵⁰; marae graduations and university-wide student welcome; and the reported competence of many staff, not just Māori staff, to participate in Māori tikanga (cultural practices). The Tainui Advisory Forum provides support for the University kaumatua (elder) and advice to the University on protocol and policy related to the University marae and University events. It was clear to the Panel that Māori culture, values and language are valued across the University community.

⁴⁷ University of Waikato *Vision* (2005-2015) p1.

⁴⁸ University of Waikato *Whanake Ake* – Maori Plan 2009-2011, p1.

⁴⁹ *Op.cit.* p3.

⁵⁰ Kīngitanga Day honours King Tuheitia's birthday, 21 April, and recognises the special relationship between the University and Kīngitanga and Tainui. Classes are cancelled on the day to allow all staff and students to participate in the celebration. See <http://www.waikato.ac.nz/international/blog/archives/007603.shtml>

C13. The Panel commends the extent to which the principles of the Treaty and the values underlying it are embedded and expressed within the culture of the University, including Māori student support, community engagement, campus culture and the overall distinctiveness of the University.

5.2 Whanake Ake – The Māori Plan

The University's Māori Plan, *Whanake Ake*⁵¹ – *Māori Plan 2009-2011*, was one of the founding plans approved in the context of the new structure and University Vision. Oversight responsibility for the Plan rests with the Pro Vice-Chancellor (Māori). The Goals of *Whanake Ake – Māori Plan 2009-2011* are to

1. Build on the University's reputation for making a unique and significant contribution to the educational success of Māori
2. Enhance the teaching and research capacity of Māori academic staff with a focus on leadership and academic excellence
3. Contribute to the provision of a distinctive University of Waikato experience, for both staff and students, which draws on kaupapa Māori, the heritage of our regions and our relationship with Waikato Tainui as mana whenua.
4. Position the University of Waikato as a leader in research relevant to the needs and aspirations of iwi and Māori communities.

Performance indicators refer to student enrolments and completions both at undergraduate and postgraduate level; academic qualifications, PBRF scores and research publications of Māori staff; indigenous research; survey evidence of the distinctiveness of the University with respect to Māori; a Māori Research Institute.

The University has a high proportion of Māori students – 2451 or 19% in 2009⁵² - from all parts of New Zealand. Students span all faculties, giving Māori a visibility on campus. Māori student support, including the whanau in the Halls of Residence, assist in facilitating student achievement. That achievement is yet to match that of other students, but is reported to be better than the national average for Māori⁵³. In 2006-2009 Māori pass rates averaged 75% compared to 85% for all other domestic students.⁵⁴

The Māori Student Profile statistics produced by the Planning, Policy and Information Office enable the University to monitor enrolment and re-enrolment rates, completion and pass rates and qualifications completed by school. Socio-demographic factors documented include gender and age, region of origin, school of origin and admission status. The profile is updated twice-yearly.

⁵¹ transl. "Onwards/upwards"

⁵² University of Waikato Annual Report 2009 p92.

⁵³ Self-review report p51.

⁵⁴ "Comparison of paper pass rates and qualification completion rates based on admission reasons" paper provided to the audit panel.

The University surveys Māori students for feedback on support services, workshops and events run by the Māori mentoring units and Te Puna Tautoko (the Māori student support network). The most recent analysis indicated a high degree of awareness and access of these services⁵⁵. An annual Māori Graduate Student Conference which promotes postgraduate opportunities for Māori and the Te Toi o Matariki Writing retreat for postgraduate students are both reported to have received very positive evaluations.⁵⁶ The University has identified a number of enhancements to these programmes, particularly those focused at faculty level⁵⁷.

The Panel is aware that the University has some significant research projects of relevance to Māori and, in at least one case, with important international implications. It has a leading programme of papers in Te Reo Māori and on issues relevant to Māori. It was impressed that the University had identified the needs of Māori students whose first language is te reo Māori. It is relevant to note that Māori Google was created by University of Waikato staff.

A4. The Panel *affirms* the University's response to the challenge of a new generation of Te Kura Kaupapa Māori students by providing opportunity to be taught, supervised and assessed in te reo Māori.

Relative to the demographic profile of its regions, the University has a small proportion of Māori academic staff, and an under-representation of those staff in senior positions. It is using external funding to resource programmes aimed at building capability for Māori staff.⁵⁸

An academic and business case for a new Māori Research Institute which aims to support collaborative research with iwi has been considered by the University⁵⁹. One planned outcome of the Institute is to build Māori research expertise and provide leadership in research relevant to Māori.

The Panel concluded that the School of Māori and Pacific Development is clearly challenged to fill all the roles delegated to its staff. A relative underachievement in research outputs and PBRF rating and a small number of staff with PhDs mean that a very high supervision load falls on those who are so-qualified. The need for a critical mass was identified. The University is attempting to resolve this by bringing together the Centre for Māori Studies Research, the School of Māori and Pacific Development and the office of the Pro Vice-Chancellor (Māori) who is also currently the Dean of the School. One issue to which the Panel was alerted is the inclusion of Pacific Development within the school. This is taken up in Chapter 6.

⁵⁵ *Op.cit.* p52.

⁵⁶ *Op.cit* p53.

⁵⁷ *Op.cit* p54.

⁵⁸ *Op.cit* p56.

⁵⁹ The academic and business case was approved on 12 October 2010.

6

Pacific Peoples

The Panel detected some tension surrounding the co-location of Pacific peoples with Māori in various elements of the University's structure and plans. In 2009 only 525 students - less than 5% of total students - identified as "Pacific Islander". Those interviewed indicated dissatisfaction with the absence of any identifiable Pacific support programme tailored to their needs. They also spoke of the differing backgrounds, needs and aspirations of Pacific people who were New Zealand-born and those who came as international students. The interviewees wished to remind the University that although the majority of Pacific students come from one island nation, Pacific peoples are not a single national group, but many.

Interviewees referred to the University's Charter commitment of 2003 "to build and enhance the Pacific dimensions of our special character, in the interests of both New Zealand-born and Island-born Pacific people", and later, "We are committed, in partnership with our Pacific Island stakeholders, to the establishment of more concerted strategies in support of increased access, participation and achievement by Pacific peoples, for the benefit of Pacific economic aspirations as well as New Zealand's social wellbeing and economic development."⁶⁰

The Panel is aware that the University does attempt to provide support for Pacific students. For instance, the University provided a fale floor in the Halls of Residence, emulating the whanau floor for Māori. The initiative, however, was unsuccessful.

The Panel was told that a small group of staff and some students had been endeavouring to address Pacific issues on campus but that this effort was frustrated by the prior academic responsibilities of staff. The Pacific Liaison Officer, scholarships and support activities had been resourced mainly from TEC Equity funding. The University has a Pacific Committee and a Pacific Plan was drafted in 2007, but the Pacific Committee is not a standing committee and there was no evidence of the Plan being actioned.

The role and responsibility of the School of Maori and Pacific Development in supporting Pacific students was unclear to the Panel and appeared to be contested by interviewees. The Panel was told that Pacific students are unhappy about feeling they are an "add on" to Maori. On the other hand, they did appreciate the consideration of their particular needs by the staff in the School.

The Panel understands the risks of Pacific peoples not being identified within the structure of the University. It is of the view that the feeling of marginalisation presented by those people it interviewed is such that the University needs to show more active engagement with attempts to find a resolution. Suggestions of an identifiable Pacific Hub space for staff and students, specific interaction with the local Pacific community and inclusion of aspects of Pacific culture – for example Pacific artwork - on campus are worthy of consideration.

⁶⁰ <http://www.waikato.ac.nz/about/corporate/charter.shtml>

- R7. The Panel *recommends* that the University's planning and organisational processes should recognise the needs and aspirations of staff and students who identify as Pacific peoples as a distinctive stakeholder group.**

The Panel was interested in the University's connections with Manukau City, given the significant number of Pacific peoples in that community. It notes that the University has been in discussion with both the Manukau City Council and the Manukau Institute of Technology about ways of supporting their tertiary education objectives. The Panel endorses the intent of these interactions.

- R8. The Panel *recommends* that the University explores the opportunities presented by close proximity to the largest New Zealand community of Pacific peoples, in particular in Manukau.**

7

Staff: Academic, Management and Professional Support

7.1 Staffing Strategy

As already noted, there has been significant change in staffing at the University of Waikato over the last five years. A major re-organization of Senior Management and academic structures is almost completed while changes to operational structures are currently under way. The relationships between key roles have been outlined in Chapter 2. It is intended that the new senior leadership structure will support Goal 6 of the *University Strategy*, to “[a]pply strong leadership and best practices to ensure that governance and management activities are coordinated, complementary and effective in achieving the University’s goals”.

The audit self-review focused in particular on human resource management and development, which are of critical importance in a time of change. The Panel learned that Human Resources development support had been reorganised for the purpose of strengthening its contribution to the University. The Panel heard from the Head of Human Resources and the Director, Human Resource Management about the human resource management and development practices of the University .

The *University Strategy* includes the following objectives related to staffing:

- Attract, develop, recognise and retain top-quality academic staff (1.1)
- Foster diversity and support equality for all staff and students (3.7)

These and other goals inform the University’s Workforce Plan which is in development.

Systematic workforce planning has been a University objective for several years. To that end, the University requires consideration of all staffing requests by a Recruitment Committee comprising a group of senior managers. The Recruitment Committee evaluates requests for appropriateness of the role, alignment with University strategic objectives, funding provision and potential duplication with other existing roles. As a consequence of this process, a reduction in staff costs has been achieved in nearly all Divisions and Faculties, including a reduction in the costs of casualization. Associated with this strategy has been a system-wide attempt to achieve central provision of services from the most expert areas and to reduce duplication of services⁶¹.

⁶¹ Self-review report p71.

A different dimension of workforce planning has been aspects of the Academic Plan which prompted some organizational improvements at faculty level. This included a review of staff:student ratios alongside international benchmarks.

The University has used the “Voice Project”⁶² to gain a staff assessment of the organizational culture. Compared to those of other universities who use the survey, results from 2009 for the University of Waikato indicated high ratings on job satisfaction, position clarity and team work.⁶³ Most of the areas where the survey showed weaker performance compared to other universities are being addressed by the restructuring and “One University” initiatives.

An Academic Workloads Policy is considered to be part of both the Teaching and Learning Plan and the University Research Plan. In essence this policy is an expression of the University’s workload formula (see Chapters 3 and 4) which allocates time to core activities. The expectation that the formula be achieved as an average over three years allows for some variability in staff focus for individual years. Some staff indicated that application of the formula is not uniform, with a challenge being the privileging of research in some areas, and a privileging of teaching in other areas. On the other hand, it was reported that in one faculty the model had prompted a review of customary teaching and assessment practice with an outcome of improved efficiency for all participating staff. A comment was made that the key dimension to the workload formula which is unstated is the total number of hours expected, with a feeling that the workload of supervision was not always acknowledged and that Masters and Honours supervision might not be given full recognition. The University expects 100% compliance with the workload model by the beginning of 2011.⁶⁴

A5. The Panel affirms the University’s recognition of the importance of workforce planning and the need for it to ensure the academic staff profile enables the University to meet its ambitions.

7.2 Staff Induction

Staff induction has received some attention since Cycle 3 audit with current activities including administrative induction on arrival at the University (information regarding salaries, parking etc); an introductory session to key policies and procedures (eg health and safety) as well as a *Kanohi ki te Kanohi* module informing non-Māori staff of the Māori dimensions to University life; a “Waikato experience” induction morning tea advising about support and recreation services for staff and students and a buddy system. Activities are evaluated regularly both with participants and with their managers.

7.3 Professional Development

Professional development is managed out of a coordinated “Continual Professional Development Framework” developed by a University network of professional development providers which includes the Teaching Development Centre, the Waikato Centre for eLearning, the Library and the Postgraduate and Research Offices, as well as the Professional

⁶² A benchmarked satisfaction survey provided by Macquarie University. Sixty-six per cent of Waikato staff participated.

⁶³ Council Briefing Paper on University Staff Survey, December 2009, p3.

⁶⁴ Academic Workloads Policy November 2008.

Development Unit. A variety of workshops, coaching and training sessions, mentor training, induction programmes and customised training in specialized areas (for example in change management), is provided. Resources include on-line resources. The Framework supports Goal 5 of the University Strategy, viz to “Achieve management and operational excellence in support of teaching, learning, postgraduate supervision and research” and is predicated on nine core principles, viz. *aroha*, *kaitiakitanga*, *rangitiratanga*, *wairuatanga*, *whanaungatanga*, *tautokotanga*, *kotahitanga*, *manaakitanga* and *tautikatanga*⁶⁵. The self-review report claims strong staff support for these concepts.

The Continual Professional Development Framework 2010 is a comprehensive document which addresses the responsibilities of line managers, Deans and directors, professional development providers and individual staff. It identifies the likely professional development focus for staff at different stages of their career development and specifies a set of standards for professional development practice.

Two qualifications are available to staff to meet professional development needs and aspirations. The Postgraduate Certificate in Tertiary Teaching is offered by the Faculty of Education. In addition, a specific programme in leadership and management development is available for staff. This programme is characterised by the concepts of *ihi*, *wehi*, *wana* and *mana*⁶⁶ which explain the leader/follower interaction. The programme will culminate in the award of either a Postgraduate Certificate in Education or Postgraduate Certificate in Management, with a specialisation in Leadership in Higher Education. The University advises that the impact of the programme in leadership and management development is expected to occur most significantly at the middle management level⁶⁷.

The University has adopted a Professional Goal Setting mechanism for identifying personal goals of staff and building their capability. The formative component of the process relates to goal-setting, identification of areas where support might be needed, and professional development plans. The summative component is a self-review facilitated by the staff member’s line-manager and involving critical reflection and feedback. Professional development is provided to line managers to improve their skills in this process, “and to optimise the process to improve institutional performance and individual performance and job satisfaction”⁶⁸.

A6. The Panel affirms the development of a range of professional development activities for staff.

7.4 Staff Assessment

Academic staff are routinely evaluated in their core activity areas, by teaching surveys and by PBRF assessment. Some staff indicated that they thought teaching was still given less recognition than research. However the Panel learned about the introduction of individual

⁶⁵ Transl. *aroha* love or concern for the wellbeing of others, *kaitiakitanga* guardianship, *rangitiratanga* self-determination, *wairuatanga* vision, *whanaungatanga* family or community inter-relationships, *tautokotanga* supportive, *kotahitanga* unity, *manaakitanga* hospitality or welcoming and *tautikatanga* justification.

⁶⁶ Transl. *ihi* ethos or values, *wehi* respect, *wana* excitement or empowerment and *mana* status or prestige.

⁶⁷ Self-review report pp75-76.

⁶⁸ *Op.cit* p75

staff portfolios as a record of staff activity and achievement, which clearly identify all core activity areas. Portfolios are auto-populated with data relating to the staff member's formal academic position (rank, salary etc); teaching, including papers taught, number of sessions, contribution to the paper, number of students; teaching survey ratings; research outputs (publications, performances, exhibitions); student research supervision; intellectual property, patents and inventions; conference presentations; prizes won; and administrative and other contributions to the University and the external community. This document sets out clearly the extent to which a staff member is fulfilling all aspects of the role and is a foundation for professional goal-setting, grant applications, promotion assessment and study leave applications, as well as being a comprehensive living record for the staff member.

C14. The Panel *commends* the introduction of the individual academic staff portfolios, including the auto-populated data sets.

7.5 Recognition and Reward

In support of Objective 1.1 of the University *Strategy*, the Panel observed a range of avenues for recognition of staff excellence, including mention in university publications; the range of internal teaching awards which have been extended to include awards for administrative excellence; the celebration of externally-awarded prizes and honours, such as the national tertiary teaching awards, Royal Society awards and awards from professional associations.

8

Institutional Quality Assurance

8.1 The Quality Assurance System

In response to Cycle 3 recommendations the University has formalised a number of institutional quality assurance strategies. Fundamental to this has been the institution-wide system of Plans, policies and accountabilities (for example, the Teaching and Learning Plan; the Workloads Policy; the Pro Vice-Chancellor and Dean responsibilities), which are supported by a spectrum of committees and key management roles. University staff who were interviewed were clear about which roles are responsible for development of plans, setting KPIs, and monitoring of outcomes against these. Staff were also clear about the responsibilities within individual departments with respect to, for example, admission and retention processes; about which staff may set assessment; about oversight of research contracts. Other institutionalized activities which might be seen or used as dimensions of institutional quality assurance include, for example, staff induction and professional development; criteria for eligibility to supervise postgraduate research; the performance measures required by the Tertiary Education Commission.

It is the Panel's view that an institutional quality assurance *system* is more than the collation of plans, positions and processes identified by the University. While the Panel read and heard about an array of activities which tested or enhanced quality, it was not convinced that these were co-ordinated in a way that enabled the University (or any external agency) to be assured that quality assurance systems are foundational to the university's work. There was some evidence of continuous improvement being facilitated by reviews of Plans, but the Panel was not aware of this being systematic or embedded.

Similarly, the Panel heard and read of considerable data being collected but was unsure how effectively and usefully these data are being used. For example, paper completion rates and student achievement data demonstrated differences between different cohorts of students⁶⁹. It was not clear to the Panel whether the university analyses the variables underlying differences in achievement or completion, or whether analyses of this kind are used to inform academic practice.

In sum, it is the Panel's view that the University appears to be doing good work in the quality assurance space, but has not yet met the full intent of the Cycle 3 recommendation.

R9. The Panel recommends that as a matter of urgency the University completes the implementation of the recommendations of the Cycle 3 audit and establishes a quality assurance system that includes planning, monitoring, review and improvement and which feeds back into professional development and enhancement.

⁶⁹ See Self-review report pp84-85.

The Panel was impressed by the University's 2009 Annual Report, which provides a succinct overview of many attributes and activities which underpin quality assurance activities.

8.2 Assurance of Teaching and Learning Quality

The University's Teaching and Learning Plan and Framework provides an exemplar for the development of an overall quality assurance system. Specifying goals and KPIs, the Plan addresses the core aspects of teaching and learning quality assurance as: institutional commitment; teaching practice; learning outcomes; student assessment; research and teaching; student learning development; and facilities and technology. The University also provided the Panel with its reports on paper (course) completion, pass and degree progression rates by School, by admission reason, for Māori and Pacific students and by citizenship (ie domestic/international). It was pleasing to note overall completions consistently at 90-91% for 2005-9 and pass rates in the region of 84-89% for the same period. The University itself has recognised the need to continue working to identify appropriate benchmarks and indicators.⁷⁰

Teaching and paper quality are evaluated by standard survey instruments, administered biennially. *Guidelines for the Review, Evaluation and Continuous Improvement of Teaching and Papers 2010* outline both formative and summative evaluation processes. The Panel viewed a sample Departmental appraisal report which documented individual results and averages and standard deviations at each level. It was of some concern that the University "expects to achieve full compliance" with the survey policy [only] in 2010. The Panel felt that rigorous monitoring would have papers evaluated at every offering. They understood that current evaluations are paper-based and resource intensive and that the Teaching Quality Committee is paying attention to operational and resource implications of full implementation of the policy; the Committee has work in train to improve the paper and teaching evaluation processes.

A7. The Panel affirms the regular paper and teacher evaluations. The Panel suggests, however, that the University explores shifting to on-line evaluations and doing these every time papers are offered.

R10. The Panel recommends that within its existing survey framework the University introduces more systematic benchmarking and mechanisms for student feedback.

The use of the survey data appears to have been relatively unsophisticated or at least dependent on individual staff initiative. It was perhaps surprising that the University is only "preparing" to provide staff with the ability to compare their own performance with departmental or faculty mean values. The University is aware of the work to be done regarding evaluations: it identified as an action point the intention to investigate developmental opportunities provided by appraisal data, thereby being able to close the loop between evaluation and improvement of teaching practice.⁷¹

A summary of institutional results from the Graduate Destination Survey conducted by NZVCC was available but response rates were considered too low to be useful. Since

⁷⁰ Self-review report p82.

⁷¹ *Op.cit* p 20.

NZVCC ceased carrying out this survey there has been no institution-wide analysis of graduate destinations.

8.3 Papers Taught off-Campus.

The Panel was interested in the quality assurance processes for University of Waikato papers taught away from Hamilton. In China students study Chinese programmes based on curricula developed at Waikato. The Panel learned that equivalence in standard of papers taught in China is assured by the University employing staff in China and by Hamilton-based staff visiting China regularly to monitor delivery and achievement. Secondly, the University is able to monitor the performance of these students when they subsequently study in New Zealand.

With respect to students studying Waikato programmes at Bay of Plenty Polytechnic, the nature of the articulation agreements makes it clear where quality assurance responsibility lies: for University of Waikato programmes taught in Tauranga by polytechnic staff, university staff carry out the assessment; for Polytechnic papers taught by polytechnic staff on-course quality assurance is done by polytechnic staff and the University's quality assurance is via credit transfer assessment. Where papers are taught by the polytechnic for credit to both polytechnic and university programmes there is moderation and assessment by university staff. The Panel was also advised that it was possible in surveys of papers to identify where students are studying, thereby enabling any site-specific issues to be identified.

The Panel was satisfied that the above arrangements should be an effective means of ensuring equivalence of outcome.

8.4 Student Engagement

The University of Waikato has been a participant in the Australasian Survey of Student Engagement, AUSSE and intends to be involved on a biennial basis. Results from the 2008 survey prompted the University to set up a Student Learning Support Network as part of the Waikato Pathways College, and a Student Experience Taskforce. The taskforce is charged, *inter alia*, with finding ways of improving the student experience at the University of Waikato; developing methodologies for collection, dissemination and use of student experience data; understanding student needs and expectations and using this information to inform planning. The taskforce is also to develop a framework for coordination and consistency of survey administration, data analysis and interpretation, and reporting and use of data. The Panel supports these initiatives and encourages the University to coordinate with other New Zealand universities in projects to optimise the opportunities afforded by participation in the AUSSE.

8.5 Research

The Panel was impressed by the strategies in place to ensure postgraduate supervision is of high quality and, to the best of the University's ability given current staffing capability, is shared equitably among staff. (See Chapter 4, C11).

The prime means of assuring quality in research are the processes contributing to PBRF evaluation, and the work done by the Research Office in overseeing the development and

operation of research grants. In 2009 approximately 55% of University of Waikato research outputs met the Tertiary Education Commission's quality assurance criteria, recovering from a slight decline since 2005.⁷²

8.6 Risk Management

Risk management was explored across a range of areas within the University. The Panel noted the appointment of a Risk Manager and the developmental work in progress on a Risk Register. The Panel reviewed the draft matrix which defines risks, mitigating actions and responsibility for initiating mitigation (the "mitigator"). The Panel agrees that the Risk Register needs to include non-financial risk. The Panel was pleased to note that all major committees had been requested to identify risks in their areas of responsibility and that the University had sought an independent view of mitigations related to all major strategic risks, not just those which are financial⁷³. The Panel heard, for instance, that risk analysis is intrinsic to infrastructure developments (buildings; ICTS) and that government-imposed enrolment caps prompt reflections on risk arising from strategies to balance access and regional growth in participation with a ceiling on the total number of students. In addition to the significant strategic risks listed in the self-review report (p89), staff also identified a variety of other risks, including pressure on a small number of high performing staff undertaking significant research along with postgraduate supervision responsibility; succession planning and the impact of an ageing academic workforce; reputational risk which might follow from irresponsible use of communications technology. The University of Waikato is not alone in facing such risks.

The University has identified a number of developments which are needed to identify and manage risks more effectively, including raising staff awareness and integrating risk management with the planning process. A useful start has been made with the introduction of a Risk Register. The Panel has suggested (Chapter 2) that Council should be included in the oversight of risk responsibility.

A8. The Panel *affirms* the establishment of the Risk Register.

⁷² Self-review report p86. 2009 data are incomplete and the number of publications was expected to increase.

⁷³ Self-review report p88.

9

Community Engagement

9.1 The University in the Waikato

Goal 3 of the University Strategy states:

With an international perspective, contribute to the educational, social, cultural, environmental and economic development of our regions and nation.

The self-review report states that the University is the direct outcome “of powerful community connections which are concentrated on making Waikato the best possible university”.⁷⁴ A range of examples of this community input was shared with the Panel, both in the self-review portfolio and during interviews. The University acknowledges the involvement of community members by awarding its University Medal annually, to people who have made an exceptional contribution.

In return, the University knows how it impacts on and contributes to its community. An Economic Impact Study calculated that in 2008 the University generated 3% of the region’s total revenue⁷⁵ and that two-thirds of the jobs generated as an outcome of University activity are located in the “core” Waikato economy⁷⁶.

The University shares its expertise and services with its community. The University’s grounds, facilities and other resources are available for community use and the Panel also heard that obsolete equipment and computers are commonly donated to schools.

9.2 Stakeholder Engagement Activity

The University’s broader community is actively included in high level University planning and policy-making. As noted in Chapter 5, the iwi forum Te Rōpū Manukura established in 1990 ensures engagement with all iwi in the region. The University notes that as more iwi settle with the Crown and explore business and entrepreneurial opportunities the relationship between local Māori and the University will remain important⁷⁷. The University has also actively sought input to the development of its *Strategy* from Te Rōpū Manukura, local and central government representatives and officials, from community leaders and from WaikatoLink⁷⁸.

⁷⁴ WaikatoLink Limited is a commercialization and technology transfer company incorporated in 1993 as a wholly-owned subsidiary of The University of Waikato. <http://www.waikatolink.co.nz/>

⁷⁵ Economic Impact Study p??

⁷⁶ Self-review report p91.

⁷⁷ Self-review report p91.

⁷⁸ WaikatoLink Limited is a commercialization and technology transfer company incorporated in 1993 as a wholly-owned subsidiary of The University of Waikato. <http://www.waikatolink.co.nz/>

In its meetings with stakeholders the Panel was impressed by the strong support for the University and in particular for the Vice-Chancellor's efforts in ensuring the community is knowledgeable about the University. Regular meetings are held with key government and local body officials to inform them of strategic developments, challenges and successes. Links with the media are described as strong. School principals and staff also described the University's interactions with them very positively.

Stakeholders were particularly enthusiastic about the Vice-Chancellor's stakeholder breakfasts for business and community leaders where, apparently, even matters as potentially dull as university finances are discussed in an engaging manner. One interviewee characterised the Vice-Chancellor's reports to stakeholders as being in the manner in which one might report to shareholders.

The WEL Energy Trust Academy of Performing Arts is considered by the University to be a "case study" of community engagement, developed in partnership with the Hamilton City Council and operating under the terms of a contract between the two bodies.

In sum the Panel heard from the people it talked with a uniformly enthusiastic reaction about the University's community involvement. One person commented that the Vice-Chancellor "makes the community feel this is their university".

C16. The Panel commends the Vice-Chancellor's leadership and commitment to stakeholder engagement.

The University hosts, or is a key participant in, a number of high profile community events in the Waikato. Examples include Balloons Over Waikato, the National Fieldays, the national Te Matatini Kapa Haka festival, the Gallagher Great Race against University of Cambridge rowers. Such events help build the university's reputation and provide a vehicle for communicating and sharing its interests and expertise.

The University acknowledges its relationship with the Pacific community is not as strong as it would like, and work has started on a Pacific Strategy. The Panel heard that some individual Pacific staff endeavoured to forge links with communities in the region but were frustrated by available time and competing academic obligations (see Chapter 7).

R11. The Panel recommends that the University seeks stronger engagement with Pacific peoples communities.

9.3 Community Input to Research and Teaching

Examples of programmes which have been developed in response to community interest and need include the Bachelor of Business Analysis (Finance), programmes in Agribusiness and the Bachelor of Social Work. Educational pathways have also been developed in and for the Bay of Plenty region (see below). In-put from the community (including industries, other service providers, Environment Waikato and Environment Bay of Plenty, Chambers of Commerce, Crown Research Institutes and professions) and from relevant professions is facilitated via Boards of Studies at both faculty and department level.

External stakeholders, including potential employers, must be consulted when new programme proposals are developed. Similarly, reviews of existing programmes include

stakeholder consultation as part of the process of ensuring programmes continue to meet their needs. Staff who were interviewed provided examples of these forms of consultation.

Examples were also offered of the ongoing relationships between university departments and faculties and their professional bodies and employers, and of the ways in which these relationships have been reflected in programme and research initiatives. In such instances the contributions are two-way, with University staff active in local professional associations, in research partnerships and in cross-institutional collaboration. In this regard, links with schools and with polytechnics in the regions are particularly important for the university⁷⁹.

Individual staff are involved in an array of discipline-related initiatives (eg the “Science Learning Hub” in Education; the “Science on the Farm” website from Science) which provide a means of garnering community comment and feedback at the same time as sharing specialist academic knowledge outwards.

9.4 Relationship with the Bay of Plenty.

The University’s involvement in Tauranga and the Bay of Plenty reflects a strategic partnership which includes:

- a tripartite Memorandum of Understanding between the University, the Bay of Plenty Polytechnic and the Bay of Plenty District Health Board, which identifies educational and professional service needs, cooperatively develops programmes (eg the University of Waikato Bachelor of Social Work) and which shares services and facilities (see also Chapter 10);
- the INTERCOAST partnership with the University of Bremen which is involved with the Port of Tauranga, Environment Bay of Plenty, Priority One⁸⁰ and the German Government’s Science Foundation in developing doctoral research programmes which relate directly to the region’s needs in aquaculture, marine management, environmental health etc.;
- development of a regional Western Bay of Plenty Tertiary Education Action Plan commissioned by the University, Bay of Plenty Polytechnic and Priority One to provide an evidence base - including impacts of population growth and emerging business sectors - for future trends, plans and policies that might impact on training and research services.

Underpinning the University’s involvement in the Bay of Plenty is a shared vision to provide high quality education and research which supports the region’s economic and social development and to increase tertiary education participation within the region in such a way as to enhance regional productivity and economic performance.⁸¹ The Tertiary Education

⁷⁹ Self-review report pp95-96.

⁸⁰ Priority One is the economic development organization contracted by local District Councils to deliver economic outcomes to Tauranga and the Western Bay of Plenty. The organization was established by the business community and is half funded by business membership. <http://www.priorityone.co.nz/>

⁸¹ Bay of Plenty Regional Tertiary Action Plan 2010-2015 pp5-7. See also *Review of Tertiary Education Needs For The Western Bay of Plenty Region* prepared for the Bay of Plenty Polytechnic, University of Waikato and Priority1 by APR Consultants Ltd, March 2010 and *The Challenges of Growth Management and Tertiary Education Provision in the Western Bay of Plenty Sub-Region* briefing paper for the Minister of Tertiary Education, July 2010.

Action Plan is ambitious and sophisticated and relies on full participation of the University of Waikato in ways which are relevant and complementary.

C16. The Panel *commends* the University of Waikato's presence in Tauranga and the educational, economic and social contribution it makes to achieving the goals of the Bay of Plenty region.

C17. The panel *commends the* University's strong community engagement with its wide range of stakeholders representative of the educational, economic, environmental, social and cultural goals of the Waikato region.

10

External Academic Partnerships and Collaborations

10.1 Collaboration With Other Tertiary Providers

The university identifies six types of academic pathways⁸² which might involve other providers:

- Articulation agreements
- Contract teaching arrangements
- Guaranteed credit agreements
- Guaranteed entry agreements
- Accreditation agreements
- Memoranda of understanding and memoranda of agreement.

Pathway arrangements might be proposed by individual faculties but approval is at institutional level. The University places a strong emphasis on delivering papers at times and places which suit the commitments of students, reinforcing its focus on being a University which serves its region. Key institutional relationships within New Zealand are with Waikato Institute of Technology WINTEC, Waiariki Institute of Technology, Western Institute of Technology at Taranaki, Tairāwhiti Polytechnic and Bay of Plenty Polytechnic⁸³. There is evidence of declining enrolments at the University of Waikato from these polytechnics in recent years, from 518 in 1997 to 286 in 2009, a trend which it was suggested probably reflects the growing offering of degree programmes in the polytechnic sector and also because of the introduction of university pathways from the start of a student's enrolment for some programmes (rather than a student beginning a polytechnic programme and then transferring across to university). In addition to pathways between tertiary providers, the university offers papers to secondary schools who fund places from their Secondary-Tertiary Alignment resource (STAR) funding. In 2009 there were 477 such enrolments, for papers offered to 87 schools across New Zealand.

10.2 The University of Waikato at Tauranga

The University's relationship with the Bay of Plenty Polytechnic predates the arrangements outlined in Chapter 9. A Deed of Cooperation between the two institutions has been in place since 2006.⁸⁴ Both institutions refer to a full partnership which includes complementary academic provision, joint marketing and promotion, and some shared services and

⁸² See self-review report pp 102-104.

⁸³ Self-review report p103.

⁸⁴ The Deed of Cooperation was extended to include Te Whare Wānanga o Awanuiārangi, Whakatane on 24 August 2010.

infrastructure on the polytechnic's Windermere and Bongard sites. Six degree programmes, seven diplomas, a graduate diploma and a postgraduate diploma are jointly taught or have guaranteed credit arrangements. In addition, a number of programmes can be started in Tauranga and finished in Hamilton.

Panel members heard of frequent visits by university senior staff to Tauranga in support of this arrangement and the University has a staff member dedicated to relationship management. Some issues relating to equivalence of support for staff and students were mentioned during interviews in Tauranga. Also it seemed that the need to finish some programmes in Hamilton might be frustrating for some students, though one commented that without the current arrangement students in Tauranga wouldn't have any opportunity to study such programmes at all. In most cases the institutions are aware of these challenges and attempting to address them.

10.3 Research Collaborations

Research collaborations support alignment of University research with the interests of other stakeholders. They also facilitate enhanced research performance by enabling University staff to access expertise in other institutions. Contracts with external institutions since 2006 have averaged 66 each year, with approximately one third of these being with other universities and one-sixth with Crown Research Institutes⁸⁵.

10.4 The International Plan

The Goals of the University's *International Plan*⁸⁶ are to:

1. Expand and enhance the University's international profile and connectedness, through research, educational engagement and collaboration with international partners;
2. Provide excellent learning support which ensures high standards of academic achievement by international students;
3. Provide an internationally rich curriculum for all students;
4. Enrol high-quality international students from a diverse range of countries across the faculty/Schools/College;
5. Ensure all international activities are executed professionally and efficiently in a manner consistent with University strategy, distinctiveness and values.

The Plan is overseen by a PVC (International), assisted by the International Strategy and Services Monitoring Committee.

10.5 International students

In 2009 10% of students (1397) were of international origin⁸⁷. Conversion of applications to enrolments in the first semester of 2009 was 34%; of offers to enrolments 60%. Asia is the University's primary source of international students; the Middle East is an emerging market

⁸⁵ Self-review report p112.

⁸⁶ University of Waikato *International Plan* p1

⁸⁷ University of Waikato *Annual Report 2009* p92.

and Africa generates many applications but few applicants are eligible to receive offer of a place. Five specific countries are designated “priority markets”, within each of which a preferred agency is being developed. Over thirty exchange destinations are listed for undergraduate or postgraduate students, with Europe and America being main participants. Some rationalization of exchange partners in 2005 was intended to address the risk of imbalance between numbers of outgoing and incoming students.⁸⁸

The Student and Academic Services Division provides support services to international students (eg assistance with immigration New Zealand; health insurance; academic monitoring; an international students’ lounge). The 2008 audit of the University against the Code of Practice for the pastoral care of international students indicated that the University was fulfilling its responsibilities “more than adequately”⁸⁹. Paper completion rates for 2005-2009 for international students (95.2%) are higher than for domestic students (90.6%), as are paper pass rates (86.8% international; 83.6% domestic)⁹⁰. The self-review report gives no indication as to whether this superior academic performance reflects recruitment strategies, student support or some other variable.

While the International Plan refers to an “internationally rich curriculum”, the Panel found no evidence of this in the documents with which it was provided. This suggests that the University might not yet have the truly international outlook to which it aspires, or be institutionalizing all the benefits that can flow from its commendable exchange programmes. The Panel felt that the University might need to pay more attention to internationalizing its teaching curriculum and its teaching and learning.

10.6 International Collaborations

As at May 2010 the University had 96 active international agreements in 27 countries. Formal institutional links may be by way of:

- Memoranda of Understanding
- Study Exchange/Study Abroad Agreements
- Credit Transfer Agreements
- Joint Teaching Agreements
- Joint Research Agreements.

Administrative support for all agreements except research agreements is provided by the Student and Academic Services Division.

The Panel reviewed the process for establishing international agreements and read and heard about the following collaborations, which are considered the most significant by the University.

Joint undergraduate programmes are offered by the Waikato Management School and the Faculty of Arts and Social Sciences by articulation agreements with Shanghai International Studies University and Zhejiang University City College. The collaboration includes a foundation non-degree programme which provides Chinese students with access to off-shore

⁸⁸ Self-review report pp110-112.

⁸⁹ Audit of the University of Waikato *Te Whare Wānanga of Waikato* against the Code of Practice for the Pastoral Care of International Students, July 2008. p1.

⁹⁰ Self-review report pp84-5.

education. In 2010 transferring students from these universities accounted for 30% of new international students to the University of Waikato⁹¹.

The relationship with the University of Bremen (Germany) involves both the Faculty of Law and the Faculty of Science and Engineering. It is considered a model for relationships which can include a range of different activities across different faculties. A joint Master of Science degree in Earth and Ocean Sciences, and a joint doctoral programme have been developed. The INTERCOAST project (see Chapter 9) involves academic staff, management and doctoral students from both institutions. It includes opportunities for collaborative research and joint activities as well as opportunities for exchanges of staff and students.

Collaboration between the University of Waikato Centre for Biodiversity and Ecological Research and Nanjing Institute of Geography and Limnological Sciences, Chinese Academy of Sciences involves six University of Waikato researchers. In 2009 nine projects in China were in train, four of these being identified as medium-high strategic advantage to New Zealand and seven of them identified as having high commercialisation potential in China.⁹²

The staff exchange agreement with the University of York is intended to enable academic, management and administrative staff to engage in professional development activities at a partner institution. Over forty Waikato staff have visited York, with half that number paying reciprocal visits from York. The Panel heard of the benefits, to management especially, and read of the consequential impact on University of Waikato planning.

C19. The Panel *commends* the University's development of international partnerships and collaborations which involve teaching and research and which embrace both academic and management staff.

⁹¹ Self-review report p109-111.

⁹² *Op.cit.*p113.

Acknowledgements

The Panel thanks in particular Professor Roy Crawford (Vice-Chancellor), Professor Doug Sutton (Deputy Vice-Chancellor), Ms Michelle Jordan-Tong (Head of Student and Academic Services), Ms Sarah Robson (Personal Assistant to the Head of Student and Academic Services) and Mr Joseph Macfarlane (Manager - Strategy & Business Development, Office of the Pro Vice-Chancellor (Māori)) for their support of the audit process and for the University's warm welcome to the Panel. It also thanks Dr Alan Hampton and staff at Bay of Plenty Polytechnic for sharing their experiences relevant to the University's audit. The Panel appreciates the effort of all those who contributed to the University's self-assessment process, the compilation of the self-assessment Portfolio, and the organization associated with the site visit. The Panel is most grateful for the openness and frankness of those who gave their time to appear before the Panel and for their constructive comments and observations.

Audit Panel

Chair of the Panel

Professor Carolyn Burns CBE, FRSNZ
University of Otago

New Zealand academic member of the Panel

Professor Eric Pawson⁹³
University of Canterbury

New Zealand non-academic members of the Panel

Mrs Ceillhe Sperath, Ngapuhi
Company Director, Auckland

Dr Roberta Hill
Director, WEBResearch

Overseas member of the Panel

Professor Philip Clarke
Deakin University, Australia

In attendance:

Dr Jan Cameron
Director, New Zealand Universities Academic Audit Unit

⁹³ Professor Pawson was unable to be present at the site visit but undertook preliminary audit analysis.

Appendix 1

University of Waikato

Statistical Overview

2009

The following information is derived from the University of Waikato *Annual Report 2009*.

Total Students in Formal Programmes

By Gender	Numbers	EFTS
Male	5512 (42%)	
Female	7577 (58%)	
Total	13,089	10606

By Ethnicity

Pakeha/European	6061 (46%)	4855 (46%)
NZ Māori	2451 (19%)	1912 (18%)
Pacific Island	525 (4%)	431 (4%)
Chinese	1383 (11%)	1180 (11%)
Indian	402 (3%)	328 (3%)
Other	2267 (17%)	1899 (18%)

By Origin

Core region	9234 (71%)
Periphery	1379 (10%)
Other North Island	942 (7%)
South Island	137 (1%)
Overseas	1397 (10%)

Total Qualification Enrolments by Level (numbers)

Foundation	1490 (11%)
Undergraduate	9314 (71%)
Graduate and Postgraduate	2918 (22%)
MPhil and Doctoral	542 (4%)

Total Enrolments by Qualification Level (EFTS)

Sub-degree	872	(8%)
Degree	7851	(74%)
Taught Postgraduate	1149	(11%)
Research Postgraduate	545	(5%)
ACE	189	(2%)

Total Enrolments (EFTS) and Staff (FTE) by School

	Students	Staff
Arts and Social Sciences	2054 (19%)	173
Computing & Mathematical Sciences	759 (6%)	74
Education	2256 (21%)	292
Law	608 (6%)	35
Māori & Pacific Development	278 (3%)	29
Science & Engineering	925 (9%)	188
Waikato Management School	2664 (25%)	186
Pathways College	1062 (10%)	551 (all other Units)
Total	10606	1528

Ratio of Student EFTS: Academic FTE

2009 16.7:1

Staff Research Output

Books	34
Chapters	146
Journals	476
Conference Contributions	642
Creative Works	46
Other	322
Total	1666

Infrastructure

Buildings:	Total net usable area, m ² per EFTS	10.90
Library:	Total volumes held	1,050,803
	Total electronic titles	112,027

Appendix 2

University of Waikato

Progress Required

Notes

- This list is a summarised list of the “Progress required” action points identified by the University in its self-review report.
- The numbering of the actions required refers to the sections of the Self-Review Portfolio to which the progress points refer.
- The section headings are those used in the Audit Report

Teaching and Learning and Student Support

1.1.5 Ongoing evaluation of programme quality and relevance

A systematic Assurance of Learning Processes needs to be established and monitored in all Faculties.

1.2.1 The Teaching Quality Committee

The Teaching Quality Committee needs to ensure the systematic implementation and monitoring of the Teaching and Learning Plan and associated policies.

1.2.2.1 Assessment regulations, guidelines and handbooks

Develop the assessment handbook for staff, providing guidelines for the setting of internal assessment including the aligning of learning outcomes with Graduate Profiles.

1.2.2.2 Paper Outline Policy

The University Paper Outline template needs to be reviewed and assessment requirement guidelines included. An enhanced system for monitoring University-wide adherence to a new paper outline policy needs to be developed, along with the provision of associated professional development where necessary.

1.2.2.4 Continuous improvement in teaching evaluation and paper appraisal

Ensure continued development and review of teaching quality. The template for reporting appraisals data will be introduced across the University. The University will then have a

means to close the loop between the appraisals process and the continuous improvement of practice.

1.2.2.5 Graduate profiles

The University plans to revise its current policy around Graduate Profiles and design an appropriate template for all Faculties to follow.

1.2.2.6 Professional development activities

The Teaching Development Unit will pilot a system of teaching advocates in the faculties as a first step towards enhanced discipline-specific professional development.

The Teaching Development Unit still needs to develop systems for comprehensive evaluation of the effectiveness of its services.

1.2.3 The Library

Expand use of the Virtual Education Reference Desk and exploit opportunities that new technologies present. The Library will advocate for student needs and expectations of the Library to be included as part of the University's programme of regular student surveys. The Library will advocate for the inclusion of Subject Librarians in Boards of Studies and other relevant committees to ensure a closer understanding of the needs of Faculties.

1.3 Learning support

Learning and pastoral care support systems for students may need to be strengthened. This may require a more consistent approach across Faculties.

1.3.1 Student learning

Discussion is required across the University using survey and evaluation information about the nature of learning development, its academic focus, and research-informed perspective. Identification of gaps in learning development provision needs to continue to be refined.

1.3.3 Provision of support to international students

Review and enhance initiatives for the provision of support for international students.

1.3.5 Development in information systems

- *Mobile Web* – Develop Planning for phase 2 and 3 enhancements.
- *Internet Services* – 2011 Review of Internet Service options that will enhance better internet solutions for students.
- *Wireless Enhancement* – will continue to be enhanced across the campus which will enable students to use the developments that have recently occurred with the University's Mobile Web.
- *iTunes U* – further resources on iTunes U which will enable the University to market the University and its educational programmes more effectively and will also provide more pod casting of the Teaching and Learning resources to students.
- *Video Conferencing* –ITS will be looking at video conferencing options to students. The Education Technology Committee will look to further enhance the audio/video capabilities across campus.
- *Technology in Teaching Rooms* – This year, ITS will increase bandwidth to Tauranga from 5Mb/s to 100Mb/s which will provide enhanced video facilities to students in Tauranga.

Research

2.1.2 External Research Contracts

Implementation of the Formative Research Exercise recommendations to improve the overall Performance-Based Research Fund quality score.

2.1.4 Research alignment and connectedness

Introduction of a University-wide approach to research alignment, matching the needs of the university, postgraduate students and stakeholders.

2.2 Research students and research supervision

There is a need to ensure consistency across Faculties in relation to thesis preparation and training, especially for Masters students. There is currently insufficient feedback available on the adequacy of thesis supervision. Development of an exit interview process needs to be progressed.

2.3.1 University processes

Development of more explicit ways of measuring the strength of the inter-relationship between research and teaching is required.

2.3.3 Information technology support for research activity

Specific training sessions for new emerging researchers and staff new to research are required including use of advanced research tools such as Geographic Information System and Kiwi Advanced Research Education Network. Training programmes for the project accounting software and other tools need to be developed and implemented.

Te Tiriti o Waitangi

3.1.4 and 3.2.2 Monitoring and enhancement

Faculties are required to further develop processes for generating and interpreting data relating to Māori student achievement at programme and paper levels.

There is a need for recognition of staff who uphold the cultural elements of various University-related ceremonies and events.

Staff: Academic, Management and Professional Support

4. One University

It is intended that all the Plans in the Framework will be developed in 2010 to ensure that timelines and review cycles are synchronised. The 'One University' concept needs to be promoted and included in all practices.

4.1 Human resources management and development

Reinforce the continuous improvement cycle in all aspects of Human Resources; ensure that policies are systematically reviewed to support a high performing culture; develop and implement the University Workforce Plan; focus on strengthening staff quality and morale.

4.2.3 Academic profile

Complete the development of academic workforce plans.

4.8 Recognition and rewards

Improvements are needed in achieving alignment between professional goal setting and rewards and recognition, and skilling managers in giving recognition and constructive feedback on performance.

Institutional Quality Assurance

5. The University will continue to develop a culture of continuous improvement, with particular focus on the effective communication of decisions, the monitoring of progress in implementing those decisions, and ensuring past practice is fed back into future decision making.

5.2 Quality assurance and teaching

The University will continue with the identification of benchmarks and indicators across all areas of teaching and learning.

5.2.2 Teaching excellence awards

Teaching Excellence Awards for elearning and supervision excellence will be created in 2010.

5.8 Risk management

The University is mindful that improvements are needed in the following areas, in order to capitalize on the progress that has been made to date:

- Reporting – creating concise, focused reports to better inform senior management and the Risk Management Committee.
- Education and awareness – explaining risk management to staff throughout the University with a view to explaining its usefulness rather than it being seen as an imposition.
- Integration of risk management with planning processes – embedding planning for risk into the wider planning processes to dispel the notion that it is an add-on.
- Widening the risk focus to include operational, technological, compliance, health and safety etc. Document risk management practices and make them more transparent.

Community Engagement

6. The University needs to continue developing mechanisms for determining the impact of community engagement on the teaching and research programmes of the University.

6.1 Engagement to enhance the teaching and research programmes of the University

The University needs to further develop its links within the Pacific community. It needs to finalise its Pacific Strategy, which will provide a coordinated approach to addressing the high level aspirations set out in the Charter.

External Academic Partnerships and Collaborations

7.3 The University of Waikato at Tauranga

The University must continue to pursue the significant opportunities for expansion in the areas identified in the *Review of Tertiary Education Needs for the Western Bay of Plenty Region* as well as spearheading the development of education and research in industry sectors.

7.10 International students at the University of Waikato

The University has recently streamlined its international marketing and recruiting activities and is implementing a targeted and focused approach to both international recruitment and the development of international alliances.

Appendix 3

New Zealand Universities Academic Audit

Unit *Te Wāhanga Tātari*

Mission

To contribute to quality New Zealand university education by:

- engaging as leader and advocate in the development of quality cultures,
- applying quality assurance and quality enhancement processes that enable improvement in student engagement, experience and learning outcomes.

Terms of reference

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

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

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

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

Appendix 4

Cycle 4 Focus: The 2007 Indicative Framework

Note: The University of Waikato used a synthesis of the 2007 Indicative Framework and 2009 Evaluation Questions.

	<i>Topics</i>	<i>Activities</i>
1	<i>General</i>	
2	<i>Teaching and learning</i>	2.1 The development, design, implementation and delivery of academic programmes and courses that: <ul style="list-style-type: none"> * develop intellectual independence, * are relevant to the needs of the disciplines, * are relevant to the needs of learners and other stakeholders. 2.2 The learning environment and learning support for students, including learning support for students from targeted groups. 2.3 Student achievement and success.
3	<i>Research environment</i>	3.1 Research students and research supervision. 3.2 Teaching and learning within a research environment. 3.3 The interdependence of research and teaching. 3.4 The role of critic and conscience of society.
4	<i>Te Tiriti o Waitangi</i>	4.1 The application of the principles ⁹⁴ of Te Tiriti to: <ul style="list-style-type: none"> * access to learning, * curriculum.
5	<i>Academic and support staff</i>	5.1 The determination of an appropriate academic staff profile across the institution. 5.2 Recruitment, appointment and induction strategies. 5.3 The implementation and monitoring of workload models. 5.4 Professional support, development and appraisal of academic staff.

⁹⁴ A discussion of the implications for universities arising from the principles of Te Tiriti is found in John M Jennings, *New Zealand universities and Te Tiriti o Waitangi*, Wellington, New Zealand Universities Academic Audit Unit, 2004, 'AAU Series on Quality' no.4. Available at <http://www.nzuaau.ac.nz/sites/all/files/Tiriti10March2004.pdf>

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

To each of these sections, the following questions are to be applied to each of the above topics:

Commitments

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

Strengths and progress

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

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

Challenges

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

Monitoring

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

Enhancement

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

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

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

Appendix 5

Cycle 4 Focus: The 2009 Evaluation Questions

	<i>Topics</i>	<i>Activities</i>
1	<i>General</i>	<p><i>Update on the ‘mid-term’ report on Cycle 3 recommendations and university enhancement initiatives</i></p> <p>Given the focus of Cycle 3 was teaching quality, programme delivery and the achievement of learning objectives, the university may wish to incorporate reports on recommendations and enhancement initiatives from Cycle 3 into relevant sections that follow.</p>
2	<i>Teaching and learning</i>	<ul style="list-style-type: none"> ▪ How does the university identify the needs of learners? ▪ How does the university know that programmes and activities match the needs of learners and stakeholders? ▪ How does the university know that teaching is effective? ▪ How does the university know that learners are guided and supported effectively? ▪ How does the university ensure there are reflective processes for determining objectives and outcomes? ▪ How does the university know that learners achieve stated objectives and outcomes? ▪ How does the university know that the outcomes have value for key stakeholders including learners?
3	<i>Research environment</i>	<ul style="list-style-type: none"> ▪ How does the university know that research activities and research policies are aligned with each other and with external contexts? ▪ How does the university know that research students are guided and supported effectively? ▪ How does the university know that there is an effective interaction between teaching and research? ▪ How does the university know that it is effectively fulfilling the role of critic and conscience of society?

4	<i>Te Tiriti o Waitangi</i>	<ul style="list-style-type: none"> ▪ How does the university ensure an understanding of the principles of Te Tiriti o Waitangi? ▪ How does the university know that it is effectively applying the principles of Te Tiriti o Waitangi?
5	<i>Academic and support staff</i>	<ul style="list-style-type: none"> ▪ How does the university determine the appropriate staff profile and resourcing to fulfil its core purposes and functions? ▪ How does the university know that the staffing strategies around recruitment, appointment, induction, retention, workload, professional development and appraisal are effective?
6	<i>Institutional quality assurance</i>	<ul style="list-style-type: none"> ▪ How does the university know that the maintenance and enhancement of standards of research, teaching and student learning have benefited from institutional quality assurance?
7	<i>Management and administrative support</i>	<ul style="list-style-type: none"> ▪ How does the university know that its management and administrative support are fit for purpose?
8	<i>Community engagement</i>	<ul style="list-style-type: none"> ▪ How does the university know that research and teaching benefit from community engagement?
9	<i>External academic collaborations and partnerships</i>	<ul style="list-style-type: none"> ▪ How does the university know that curriculum, standards and outcomes for learners are enhanced by external academic collaborations?