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Report of the 2022 Academic Audit of Waipapa Taumata Rau, University of Auckland

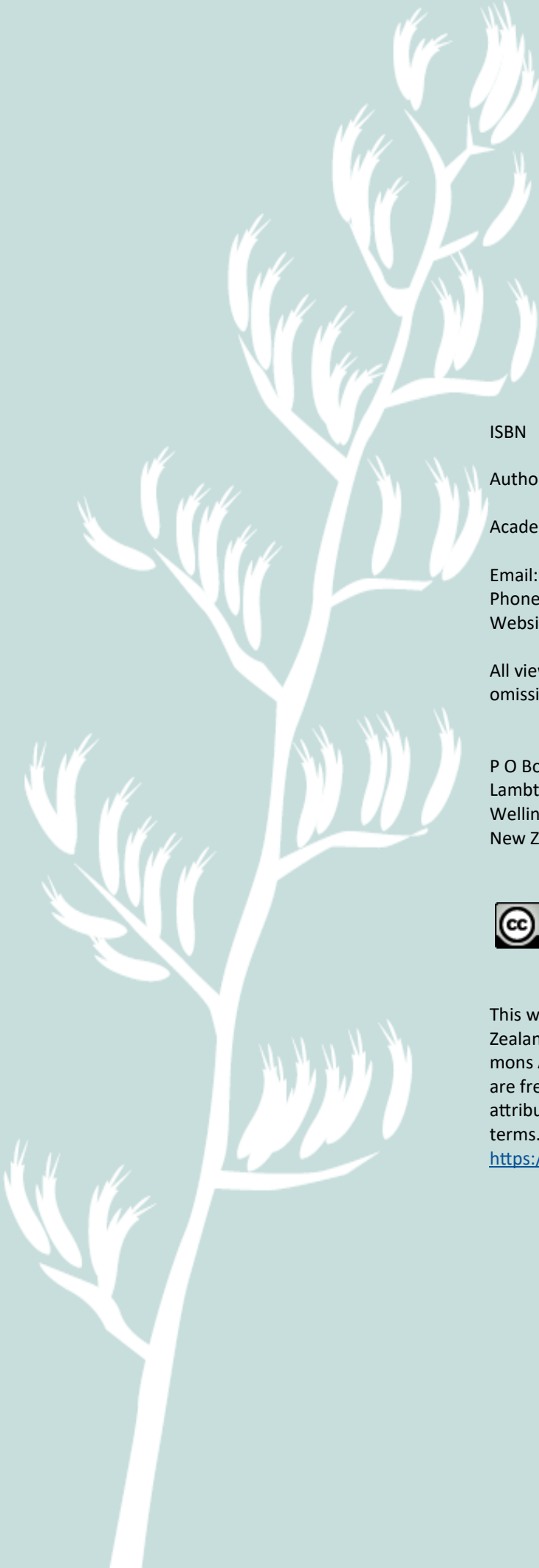
Cycle 6 academic audit undertaken by the Academic Quality
Agency for New Zealand Universities

November 2022

*Te Pokapū Kōunga Mātauranga
mō ngā Whare Wānanga o Aotearoa*



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For New Zealand Universities



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All views expressed in this report, and any remaining errors or omissions, remain the responsibility of the author.

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He Whakarāpopototanga

He wāhanga ngā arotake ā-kura wānanga o ngā whakaritenga whakaū i te kounga mō ngā whare wānanga i Aotearoa. Koinei anake te hātepe ā-waho hei whakaū i te kounga ka whai i tētahi tirohanga whārahi ki tā tētahi whare wānanga whakaako, ako, tautoko mā ngā tauira me ngā hua ki ngā tauira. He mea pīkau ngā arotaketanga e tētahi paewhiri aropā. Ka whai wāhi ko ngā pūkenga mātāmua, ngā pūkenga hautū rānei i Aotearoa, he mema paewhiri Māori, ā, mēnā e taea ana, he uri nō Te Moana-nui-a-Kiwa, tētahi mema paewhiri ā-ao me tētahi tauira, ihuputa rānei.

E whai wāhi ana ngā Whare Wānanga i Aotearoa ki te huringa tuaono o ngā arotake ā-kura wānanga. He arotake hiato te Huringa 6, e rua ngā wāhanga. I te wāhanga tuatahi, i 2017 ki 2020, i whai wāhi ngā whare wānanga ki tētahi kaupapa whakangako i aro nei ki te tomonga, ki ngā hua me ngā arawātea mō ngā tauira Māori me ērā nō Te Moana-nui-a-Kiwa. E wātea ana ētahi whakamārama atu anō ki te pae tukutuku kaupapa whakangako.

Ko te wāhanga tuarua o Huringa 6 he arotaketanga e ai ki tētahi angamahi o ngā tauākī aratohu e 30 i ngā wāhanga e rima: (1) te hautūtanga me whakahaeretanga o ngā whakaakotanga, o ngā akoranga me te kounga ā-kura wānanga; (2) te hurihanga ora, te tautoko me te oranga o te tauira; (3) Te marautanga, ngā aromatawai me te tukunga; (4) Te kounga ā-whakaako; me (5) Te hōmiromirotanga o ngā tauira rangahau paerunga. Ka whai wāhi ngā whare wānanga ki te arotake i a rātou anō e ai ki te angamahi arotake, ka tāpae ai i tētahi pūrongo arotake i a ia anō me tētahi kāhua e kī ana i ngā taunakitanga. Me whakaatu te arotaketanga a te whare wānanga i ngā haepapa o te whare wānanga ki Te Tiriti o Waitangi, te taupuhipuhitanga o ngā rangahau me ngā whakaakoranga a te whare wānanga. Waihoki te wāhi ki te whare wānanga hei arohae, hei arotika hoki i te porihanga, ā, me whai wāhi ki tāna aromatawai ngā tauira katoa, ngā tukunga katoa, me ngā kaimahi katoa anō hoki mēnā he kaiako, he kaihōmiromiro rānei.

I tukuna e Waipapa Taumata Rau tāna kāhua arotake i a ia anō i te 11 o Āperira 2022, ā, i tukuna hoki ētahi whakamārama anō i tonoa rā e te Paewhiri i Hune 2022. E ai ki te Paewhiri, i mahuki te arotakenga, waihoki i tautokona paitia e ngā taunakitanga. E rua ngā hui (ā-ipurangi) a te Paewhiri i mua i tā rātou toro ā-tinana atu i te Whare Wānanga i te 25 ki te 27 o Hūrae 2022. I te wā o taua torohanga e 23 ngā uiuinga a te Paewhiri, ā, i hui hoki ki ngā kaimahi e 74 me ngā tauira e 41. He mea tautoko e ngā kōrero nō ngā uiuinga ngā kōrero kei te kāhua arotake i a ia anō. Whakamahia ai e te Paewhiri ngā puna e rua i roto i āna whakatau.

E whakaaro ana te Paewhiri kia tutuki i te Whare Wānanga, ā, i ētahi wā kia hipa noa atu, i ngā putanga me ngā paerewa me kapi i te whare wānanga rongo pai. Nā reira e kapi ana ngā takunetanga o te Huringa 6 o te Angamahi Arotake ā-Kura Wānanga. Kua whakarāpopotohia i raro iho nei ngā whakamihitanga o ngā mahi tūtika, ngā whakatūtututanga o ngā mahi kua whakaterea kētia me ngā tūtohutanga o ngā take hei whakaaro ake mā te Whare Wānanga.

Kua whakamihi te Paewhiri i te Whare Wānanga, i āna kaimahi, tauira anō hoki i tā rātou urupare ki te KOWHEORI-19. I mōhio hoki ia i roa ake te wā noho rāhui a Waipapa Taumata, ā, i tū te arotakenga i te wā i kaitā ngā pānga o te arotaketanga tērā i ngā wā e arotakengia ai ngā whare

wānanga i ngā huringa o tua atu. Waihoki, i te wāhi ki te KOWHEORI-19, kua whakamihi te Paewhiri i tā te Whare Wānanga whakahaere tūraru me ngā angamahi, hātepe koke tonu i taea ai tētahi urupare whai hua ki te KOWHEORI-19 me ngā ratonga tautoko ako whānui kua whakawhitihia ki te ipurangi e tomo pai tonu ai ngā tauira i te wā o te KOWHEORI-19.

Ko tētahi anō āhuatanga kaitā o tēnei arotaketanga ko tā te Whare Wānanga hōtaka whakahou rautaki. Ka whai wāhi ko tētahi moemoeā hou, rautaki hou hoki, arā, a Taumata Teitei, he Curriculum Framework Transformation Programme (CFTP) me te whakaoutanga hāngai o tā te Whare Wānanga Kāhua Ihuputa me ngā whakahoutanga ki ngā anga whakarato hei tautoko i ngā panonitanga ā-rautaki. Kua whakamihi te Paewhiri i te moemoeā me ngā takunetanga e hāngai ana ki te wheako ako kua kapohia i te CFTP, ā, kua whakatūturuhia te Kāhua Ihuputa hou. E whakarite ana kia noho ai tēnei hei puka waiwai i roto i ngā mahi, ka whai hua nei i ngā wheako ako o ngā tauira me tō rātou whiwhi mahi ā te anamata. Kua whakatūturuhia hoki te whakawhanaketanga o ngā wāhanga anga whakarato o tētahi pūnaha kotahi hei tohutohu i te hōtaka mahi, ā, e whakarite ana kia nui ake te wāhi ki ngā tātaritanga hei tohu i ngā tauira kei te hia tautoko, ā, kia motuhake ai hoki aua tautoko.

Kua whakaarohia e te Paewhiri te haumitanga nui a te Whare Wānanga ki te kohinga raraunga mahuki me te whakawhanaketanga, tukunga hoki o ngā papa raraunga hei tautoko i ngā whakatau, te rautaki pāhekoheko, whakangako anō hoki a te Whare Wānanga ki ngā Tikanga Whakamahi Mātauranga (Te Manaaki i ngā Ākonga Mātauranga Matua me Ērā o Tāwāhi), tā te Whare Wānanga hātepe Arotake Kounga me tāna kaupapa o Te Taumata Ngaio hei whakawhanake i te āheinga ki te reo Māori puta noa i te Whare Wānanga hei tauira tūtika pai. Kua tuku whakamihi te Paewhiri i ēnei wāhanga.

Hei āpiti ki ngā whakatūturutanga e hāngai ana ki ngā kaupapa whakarautaki, kua whakatūturu te Paewhiri i te takune a te Whare Wānanga kia whakawhanake tahi me ngā tauira tētahi anga whakakanohi tauira, te whakawhanaketanga o te pūnaha whakahaere ako a te Whare Wānanga hei tautoko i ngā akoranga hāngai ake me te huri i ngā ara aromatawai, waihoki, te whakawhanake ake i ngā aromatawai kia tāwariwari ake, kia mana ōrite ake, ā, kia tomo pai ai. Ka pai ngā pānga o te whakatū i ētahi tūranga hei tautoko i te whakahaeretanga o ngā hōtaka me te whakaū i te hoahoa ako ki te whakawhanaketanga o ngā hōtaka. He pērā anō hoki te whakawhanaketanga o tētahi pūnaha ā-ipurangi mō ngā arotakenga mutunga-tau, ā, kua puta i te Paewhiri ētahi whakatūturutanga e hāngai ana ki ēnei. Kua whakatūturu hoki te Pae i ētahi kaupapa whakangako i tohua e te Whare Wānanga hei arotake i tāna Kaupapahere Paerewa Kura Wānanga, hei arotake, hei whakapai ake hoki i ngā hātepe me ngā tautoko paerunga.

Kua puta hoki i te Paewhiri ētahi tūtohutanga ki ngā wāhi e whakaaro ana ia ka whai hua te Whare Wānanga i aua panonitanga, whakapaitanga rānei. Kua tūtohutia e ia kia whakauru te Whare Wānanga i ngā pānga o Te Tiriti o Waitangi ki ngā tikanga whakamahi mō ngā arotake katoa, tae ana ki te arotaketanga o ngā kaupapa here me ngā tukanga. Hei āpiti ake, e tūtohu ana te Paewhiri kia puritia te aronga whare-wānanga-whānui ki te tomonga, ki ngā hua me ngā arawātea mō ngā tauira Māori (tae ana ki ngā tauira rangahau paerunga) ka ārahina nei e te PVC Māori. Waihoki, kia aroturukihia ngā tono aromatawai i te reo Māori i raro i te pūnaha kotahi, ā, kia hohoro te whanakehia o te rautaki kaimahi Māori hei hāpai i ētahi atu mahere, rautaki anō hoki.

Ka pāngia e te kokenga o te CFTP me te whakamahinga anō hoki o ngā taiao ako ā-matihiko ki te wātea me te āheinga o ngā kaimahi. E tūtohu ana te Paewhiri kia arotake te Whare Wānanga i āna hātepe tono kaimahi me āna mahi anō hoki hei whakaū i te hāngai, i te tautoko hoki ki te ahunga ā-rautaki me te CFTP. Waihoki, i te wāhi ki te kounga o ngā whakaakoranga me ngā kaimahi, e tūtohu ana te Paewhiri kia arotake te Whare Wānanga i āna hātepe whakangungu kia hāngai ai ngā hōtaka whakangungu ki ngā hiahia motuhake o ngā kaimahi Māori hou me ngā kaimahi hou nō Te Moana-nui-a-Kiwa. I tāna whakawhanake i tana rautaki tono kaimahi mō ngā kaimahi nō Te Moana-nui-a-Kiwa, e tūtohu ana te Paewhiri kia arotakehia e te Whare Wānanga, kia whakatika hoki ia i ngā whakatautetanga ki te toro kaimahi me te kitea hoki o ngā kaimahi nō Te Moana-nui-a-Kiwa, tae ana ki te kopounga, te whakatairangatanga rānei ki te taumata Ahorangi. I te tirohanga whānui, e tūtohu ana te Paewhiri kia arotake te Whare Wānanga mēnā e kapi ana i āna hātepe tautapanga mō ngā tohu kairangi te hunga kāore pea e tautapa i a rātou anō.

Kua puta hoki i te Paewhiri ētahi tūtohutanga e pā ana ki ngā tauira, tae ana ki ngā tauira rangahau paerunga. E tūtohu ana ia kia pupuri te Whare Wānanga ki tētahi aronga whare-wānanga-whānui ki te tomonga, ki ngā hua me ngā arawātea mō ngā tauira nō Te Moana-nui-a-Kiwa (arā anō, tae ana ki ngā tauira rangahau paerunga), ka ārahina e te PVC Te Moana-nui-a-Kiwa. I te wāhi ki ngā tauira rangahau paerunga, e tūtohu ana te Paewhiri kia titiro mēnā rānei ngā hātepe whakatika take mō ngā hōmiromirotanga paerunga, i raro hoki i te paerunga, he tomopai, he mārama, he tika te wā, he whai hua, ā, ka tiakina hoki ngā tauira me ngā kaihōmiromiro. Kia whakauru hoki te Whare Wānanga i te āheinga ā-ahurea me te haumarutanga i roto i āna whakawhanaketanga hōtaka kaihōmiromiro me ngā herenga mō ngā tohu kaihōmiromiro. Nōna i whanake i āna mahi e pā ana ki te whakawhanaketanga o tētahi angamahi whakakanohi tauira, e tūtohu ana te Paewhiri kia nui ake ngā whakangungutanga a te Whare Wānanga, kia nui hoki te kitea me te whakahaeretia o te pānga ki ngā tauira i a rātou ka whāngai i ngā kaupapa Whare Wānanga. Tae ana ki ngā whakatau me te whakaū i tā te Whare Wānanga urupare ki ngā whakahoki kōrero a ngā tauira, ā, kia wātea.

Ka mutu, e tūtohu ana te Paewhiri kia tiro whārahi te Whare Wānanga ki te pono ā-kura wānanga, ā, ka whai wāhi ko ngā tautoko kaupare, tohu, whakatewhatewha, pūrongo anō hoki. E whanake ana tēnei tūtohutanga whakamutunga i tā te Whare Wānanga kaupapa whakangako hei kawē tonu i āna mahi mō te pono ā-kura wānanga.

E whakaatu ana ngā whakamihitanga, ngā whakatūtututanga me ngā tūtohutanga i ngā mahi whakarautaki kua whakaterea kē i te Whare Wānanga. Kua puta i te Paewhiri ētahi tūtohutanga hei āwhina i te Whare Wānanga i a ia ka koke i tōna anō ahunga whakarautaki. Kua whakamana hoki ia i te ahunga o ngā kaupapa whakangako kua tohua e te Whare Wānanga i tāna arotake i a ia anō.

Me hoatu e Waipapa Taumata Rau, tētahi pūrongo whaiwhai ake e kotahi tau i muri i te whakaputanga o tēnei pūrongo. Me kōrero te pūrongo whaiwhai ake mō ngā kokenga e hāngai ana ki ngā whakatūtututanga me ngā tūtohutanga. Kia whakaaetia rā e te Poari AQA, me whakaputa tūmatanui te pūrongo whaiwhai ake.

E wātea ana ētahi anō whakamāramatanga e pā ana ki ngā arotake ā-kura wānanga, tae ana ki ngā pūrongo arotake o mua, ki te pae tukutuku AQA.

Executive summary

Academic audits are part of the external quality assurance arrangements for universities in Aotearoa New Zealand. They are the only external quality assurance process that takes a whole-of-institution view of a university's teaching, learning, student support and student outcomes. Audits are undertaken by a panel of peers comprising senior academics or academic managers in Aotearoa New Zealand, a Māori panel member, a Pacific panel member (where possible), an international panel member and a student or recent graduate.

Universities in Aotearoa New Zealand are currently engaged in their sixth cycle of academic audit. Cycle 6 is a composite audit with two main phases. In the first phase, from 2017 – 2020, universities engaged in an enhancement theme focusing on access, outcomes and opportunities for Māori students and for Pacific students. Further information is available on the enhancement themes website.¹

The second phase of Cycle 6 is an audit against a framework of 30 guideline statements in five sections: (1) Leadership and management of teaching and learning, and academic quality; (2) Student life cycle, support and wellbeing; (3) Curriculum, assessment and delivery; (4) Teaching quality; and (5) Supervision of postgraduate research students. Universities undertake a self-assessment against the audit framework and present a self-review report and portfolio of supporting evidence. The university's self-review should reflect the university's obligations under Te Tiriti o Waitangi, the interdependence of university research and teaching and universities' role as critic and conscience of society and its assessment should encompass all students, all delivery and all staff who undertake or support teaching or supervision.

Waipapa Taumata Rau, University of Auckland submitted its self-review portfolio on 11 April 2022 and provided further information requested by the Panel in June 2022. The Panel found the self-review to be comprehensive and well-supported by evidence. The Panel met twice (online) before undertaking an in-person site visit to the University from 25-27 July 2022. During the site visit, the Panel held 23 interview sessions and met with 74 members of staff and 41 students. Information gained through the interviews supplements that contained in the self-review portfolio and the Panel draws on both sources to reach its findings.

The Panel considers the University meets—and in several instances exceeds—the outcomes and standards a university of good international standing would be expected to demonstrate. It therefore meets the expectations of the Cycle 6 Academic Audit Framework. Commendations of good practice, affirmations of work underway and recommendations of matters for the University to consider are summarised below.

The Panel commends the University, its staff and students for their response to COVID-19. It is conscious that Waipapa Taumata Rau, University of Auckland experienced longer periods of lockdown and that this audit occurred closer in time to the significant impacts of audit than will hopefully be the case for universities to be audited later in the cycle. Also, in relation to COVID-19,

¹ <https://www.enhanceunz.com/>

the Panel commends the University for how its risk management and business continuity frameworks and processes enabled an effective response to COVID-19 and how the University's comprehensive range of learning support services pivoted to online to remain accessible to students during the pandemic.

The other major contextual factor for this audit is the University's programme of strategic renewal, which includes a new vision and strategic plan *Taumata Teitei*, a substantial Curriculum Framework Transformation Programme (CFTP) and associated refresh of the University's Graduate Profile, and revisions to service delivery models to support strategic changes. The Panel commends the vision and the intentions around the learning experience that have so far been captured in the CFTP. It also affirms the refreshed Graduate Profile and the plans to make this a valuable, practical document, useful for students' learning experiences and for their future employability. It also affirms the development of service delivery model components of a centralised course advising system and plans for greater use of analytics to identify students in need of support and tailoring of that support.

The Panel considers the following to be examples of good practice, and has made commendations in these areas:

- the University's significant investment in comprehensive data collection and the development and roll out of data dashboards to support decision-making
- the integrated and enhancement-oriented approach the University is taking to the Education (Pastoral Care of Tertiary and international Learners) Code of Practice
- the University's annual Academic Quality Review process
- its Te Taumata Ngaio initiative to develop capability in te reo Māori across the University.

In addition to affirmations associated with strategic initiatives, the Panel also affirms:

- the University's intent to develop, with students, a student voice framework
- the development of the University's learning management system to support more engaged learning and changing assessment modalities
- the further development of assessment to be more flexible, equitable and accessible.

Establishing roles to support programme management and embedding learning design in programme development are likely to have positive impacts, as is the development of a university-wide online system for end-of-course review, and the Panel has made affirmations about these. The Panel also affirms enhancement initiatives identified by the University to review its Academic Standards Policy and to review and improve sub-doctoral processes and support.

The Panel has made recommendations where it considers the University would benefit from making further changes or improvements. It recommends the University include Te Tiriti o Waitangi implications in terms of reference for all reviews, including reviews of policies and procedures.

Associated with this, the Panel recommends:

- maintaining a whole-of-University focus on access, outcomes and opportunities for Māori students (including postgraduate research students), led by the PVC Māori
- central monitoring of demand for assessment in te reo Māori

- progressing with urgency the Māori staff recruitment strategy to support other plans and strategies.

Progressing the CFTP and making greater use of digital teaching environments will have implications for staffing capability and competencies. The Panel recommends the University review its recruitment policies and practices to ensure these align with and support the strategic direction and the CFTP. Also, in the domain of teaching quality and staffing, the Panel recommends the University review its induction processes and ensure that induction programmes provide for the specific needs of new Māori staff and new Pacific staff. In developing its recruitment strategy for Pacific staff, the Panel recommends the University examine and address impediments to recruitment and recognition of Pacific staff, particularly for appointment or promotion to Professorial level. More broadly, the Panel recommends the University review whether its nomination processes for teaching excellence awards are inclusive and supportive of those who may not nominate themselves.

The Panel has also made recommendations relating to students, including postgraduate research students. It recommends that the University maintains a whole-of-university focus on access, outcomes and opportunities for Pacific students (again including postgraduate research students), led by the PVC Pacific. For postgraduate research students, the Panel recommends the University examine whether processes for addressing issues with doctoral and sub-doctoral supervision are sufficiently accessible, transparent, timely, effective and afford protection for both students and supervisors. It also recommends that the University include cultural competency and safety in its supervisor development programme and requirements for supervisor accreditation. In progressing its work on the development of a student voice framework, the Panel recommends the University undertake further work on training, recognition and managing the impact on students as they contribute to university initiatives and decision-making and ensuring information about how the University has responded to student feedback is clearly available.

Finally, the Panel recommends the University takes a holistic approach to academic integrity and includes support for prevention, detection, investigation and reporting. This final recommendation builds on the University's enhancement initiative to progress its work on academic integrity.

The pattern of commendations, affirmations and recommendations reflects the strategic work underway at the University. The Panel has made recommendations that are intended to assist the University as it progresses its own strategic direction. It has also endorsed the direction of enhancement initiatives identified by the University in its self-review.

Waipapa Taumata Rau, University of Auckland should provide a follow-up report one year after the release of this report. The follow-up report should address progress on both affirmations and recommendations. Once it has been accepted by the AQA Board, the follow-up report should be made publicly available.

Further information about academic audits, including previous audit reports, is available on the AQA website.

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List of key terms and acronyms

ADPR	Academic Development and Performance Review
APC	Academic Programmes Committee
AQA	Academic Quality Agency for New Zealand Universities– Te Pokapū Kōunga Mātauranga mō ngā Whare Wānanga o Aotearoa
AR	The University’s Annual Report
AUSA	Auckland University Students’ Association
BoGS	Board of Graduate Studies
Canvas	The University’s Learning Management System
CDES	Career Development and Employability Services
CFTP	Curriculum Framework Transformation Programme
CUAP	Universities New Zealand Committee on University Academic Programmes
DELNA	Diagnostic English Language Needs Assessment
EFTS	Equivalent Full-Time Student(s)
EI	Enhancement Initiative
FE	Document provided as part of further evidence
FTE	Full-time Equivalent (staff)
GYR	Graduating Year Review
KD	Key (supporting) document (forms part of the University’s self-review portfolio)
LSRI	Large Scale Research Institute
LTEC	Learning and Teaching Environments Committee
LTQAEF	Learning and Teaching Quality Assurance and Enhancement Framework
OLE	Online Learning Evaluation (Survey)
Panel	Unless otherwise specified, “the Panel” refers to the Academic Audit Panel engaged by AQA to conduct the 2022 audit of Waipapa Taumata Rau, University of Auckland
PVC	Pro-Vice-Chancellor
SD	Supporting document (forms part of the University’s self-review portfolio)
SDM	Service Delivery Model
SET	Summative Evaluation Tool (Survey)
SR	Self-review
SRR	Self-review report
SSFR	Student Services Function Review (Phases I and II)
TLQC	Teaching and Learning Quality Committee

Introduction

Academic audits for universities in Aotearoa New Zealand are undertaken by the Academic Quality Agency for New Zealand Universities – Te Pokapū Kōunga Mātauranga mō ngā Whare Wānanga o Aotearoa (AQA). AQA is an operationally independent external quality assurance agency that is recognised as being fully aligned with the International Network of Quality Assurance Agencies in Higher Education (INQAAHE) Guidelines of Good Practice (GGP).² Further information about AQA can be found in Appendix 1 and on the AQA website.³

The sixth cycle of academic audits for universities in Aotearoa New Zealand is a composite cycle with two main phases. In phase one, from 2017 to 2020, universities engaged collectively in an enhancement theme with the title “Access, outcomes and opportunities for Māori students and for Pacific students”.⁴ The start of phase two was deferred by twelve months in response to the COVID-19 pandemic.

Phase two is an academic audit utilising an audit framework of 30 guideline statements in five sections: (1) Leadership and management of teaching and learning, and academic quality; (2) Student life cycle, support and wellbeing; (3) Curriculum, assessment and delivery; (4) Teaching quality; and (5) Supervision of postgraduate research students. The audit framework has three underpinning components—Te Tiriti o Waitangi obligations, interdependence of university research and teaching, universities’ role as critic and conscience of society—that should be reflected in a self-review portfolio and audit report. The scope of the audit framework extends to all students, all delivery and all staff who undertake or support teaching or supervision.

The Cycle 6 audit framework was co-developed with universities and confirmed following consultation in 2018.⁵ The objectives of the audit framework are:

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

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

The University submitted its self-review on 11 April 2022. The self-review report (SRR) was both in hard copy and loaded onto an AQA OneDrive site. Key and supporting documents were provided

² <https://www.inqaahe.org/ggp-aligned-agencies>. (Accessed 23 February 2022).

³ www.aqa.ac.nz

⁴ <https://www.enhanceunz.com/> (Accessed 4 August 2022).

⁵ For a summary of the development of Cycle 6, see Matear, S.M. (2018), “Evolving Quality”, 10th Higher Education Conference on Innovation and developments in Teaching and Learning Quality Assurance; 20 – 22 November 2018; Macao Polytechnic Institute, Macao, China. Available at <https://www.aqa.ac.nz/node/340>. (Accessed 5 August 2022).

electronically only.⁶ The Panel found the Self-review Report (SRR) and supporting portfolio to be comprehensive. The SRR was well-supported by evidence.

Once the University had uploaded its self-review portfolio to AQA, University access to OneDrive was removed and the Panel was given access. A separate OneDrive site for shared planning between AQA and the University was created. The Panel held two online meetings before the site visit to the University from 25 to 27 July 2022.

Following its first meeting, the Panel requested further information from the University. The request included seeking updates on projects and initiatives underway at the time of the submission of the self-review portfolio. The University provided further information by the date requested.

During the site visit, the Panel (see p. 49) held 23 interview sessions and met with 74 members of staff and 41 students. Staff the Panel spoke with were drawn from university management, teaching staff and professional staff including professional staff providing learning and other student support. The Panel met with Māori staff, Pacific staff and early career academic staff and with executive members of student associations, ngā tauira Māori, Pacific students and postgraduate research students. Due to the ongoing COVID-19 pandemic and the orange setting on the Aotearoa New Zealand Government's COVID-19 Protection Framework, all Panel members and interviewees wore masks in meetings.⁷ Most interviewees were able to attend face-to-face meetings while others attended via Zoom. All interviewees were prepared to engage constructively and candidly with the Panel and to provide helpful insights to the audit areas.

About the University

Waipapa Taumata Rau, University of Auckland was established as a constituent college of the University of New Zealand in 1883.⁸ It was gifted the name Waipapa Taumata Rau by Ngāti Whātua Ōrākei in July 2021 to reflect the University's "partnership with iwi and [its] strategic commitments under Te Tiriti o Waitangi".⁹

Waipapa Taumata Rau, University of Auckland is a comprehensive university. In 2022, the University's academic structure comprises eight faculties (Arts, Business and Economics, Creative Arts and Industries, Education and Social Work, Engineering, Law, Medical and Health Sciences, Science) and two large-scale research institutes (Liggins, Auckland Bioengineering).

Faculties, which provide most of the teaching, learning and supervision, are led by Deans who report to the Amokapua, Provost. Deans are responsible for coordinating academic activities of their faculties and are supported by Associate Deans (Academic, Learning and Teaching, and Postgraduate).¹⁰ Associate Deans (Academic) are responsible for overseeing quality assurance in Faculties and providing policy and strategic advice on the faculty's portfolio of academic

⁶ Key documents would normally be provided in hard copy, but this was not possible due to COVID-19 restrictions in place at the time of submission.

⁷ <https://covid19.govt.nz/traffic-lights/> (Accessed 5 August 2022).

⁸ SRR, p. 19.

⁹ AR 21, p. 9.

¹⁰ FE A, p. 15.

programmes. Associate Deans (Teaching and Learning) are responsible for developing teaching and learning in the faculty, and providing policy and advice to support a positive student experience.¹¹

The large-scale research institutes (LSRIs) and the School of Graduate Studies report to the Ihorua (Rangahau), Deputy Vice-Chancellor (Research). Student and learning support functions report through the Ihorua (Whakahaere, Kaitiaki Rēhitatanga), Deputy Vice-Chancellor (Operations) and Registrar.¹²

Most of the University's teaching occurs on its city campus, with Medical and Health Sciences offered at the Grafton campus, and Education and Social Work at the Epsom campus. The University also has a Tai Tonga campus in Manukau, a Tai Tokerau campus in Whāngarei, a campus in Newmarket, plus other clinical and specialist sites. Since 2020, the University has established four China Learning Centres in partnership with Chinese universities and a remote learning centre in Shanghai.¹³

Academic committees are summarised in the Learning and Teaching Quality Assurance and Enhancement Framework (LTQAEF).¹⁴ The University Council is the governing body for the University and ensures standards are maintained. The University Senate is a sub-committee of Council and is the main decision-making body for academic matters. The Vice-Chancellor is the Chair of Senate. For the purposes of academic audit, the key sub-committees of Senate are the Education Committee, the Academic Programmes Committee, the Board of Graduate Studies and Faculties. Each Faculty is a sub-committee of Senate.

The Education Committee is chaired by the PVC (Education) and oversees quality assurance and enhancement processes, as well as advising and making recommendations to Senate on academic policy developments and regulations. The Teaching and Learning Quality Committee (TLQC) is a sub-committee of the Education Committee, and the Learning and Teaching Environments Committee (LTEC) is a sub-committee of TLQC. TLQC and LTEC are chaired by the Director of Learning and Teaching.¹⁵

The Academic Programmes Committee (APC) is responsible for designing and monitoring academic qualifications. The PVC (Education) is the Chair of APC. The Board of Graduate Studies (BoGS) is chaired by the Dean of Graduate Studies, and is responsible for policy, support and administration of doctoral study.

Executive committees and advisory groups relevant to academic audit include the University Executive Committee and the Vice-Chancellor's Student Consultative Group.

The Provost, PVC Education and Director of Learning and Teaching work closely in the Education Office to lead and manage student pathways, transition and success, academic programmes, teaching and learning delivery, and academic quality.¹⁶ The Academic Quality Office reports to the

¹¹ SRR, p. 30.

¹² SRR, p. 202.

¹³ SRR, p. 25.

¹⁴ FE A; SRR, p. 28.

¹⁵ FE A, p. 14.

¹⁶ FE C.

PVC (Education) and is responsible for management of academic policies, the course evaluation system, student surveys, analysis of course and teaching information, and management of the Register of Academic Misconduct.

The University is well regarded and active internationally, with transnational education programmes with over 30 institutions and more than 140 memoranda of understanding with overseas institutions.¹⁷ In 2021, the University was ranked above its target in the Times Higher Education World University Rankings (137=) and the QS World University Rankings (85=) but fell below target in the Academic Ranking of World Universities (201 – 300).¹⁸

Context for this Audit

The context for the Cycle 6 Academic Audit of Waipapa Taumata Rau, University of Auckland was shaped by two major influences: (1) the University's active programme of strategic renewal; and (2) ongoing impacts of the COVID-19 pandemic. Strategic planning is examined in GS 1 and further comment on COVID-19 is made below. Additionally, the self-review for this academic audit and the audit itself were undertaken by a substantially new senior management team for teaching, learning and academic quality in the University. The Vice-Chancellor, Provost, PVC (Education), Director of Learning and Teaching and the Manager of the Academic Quality Office were all appointed after March 2020.¹⁹

Every aspect of the University's teaching and learning activities, its support and supervision of students and its staff have been significantly affected by COVID-19 since March 2020. The Auckland region experienced longer periods of lockdown than other parts of the country. The University has reported comprehensively on these impacts and its response in its 2020 and 2021 Annual Reports and in a Good Practice Assessment developed as part of a whole-of-university sector collective endeavour to share practice and identify lessons.²⁰

The University's move to online teaching, learning and assessment was a major undertaking. The move was enabled by a roll-out of flexible learning capacity and capability building, expansion of the suite of tools and systems available and establishment of offshore centres, plus a concentrated emphasis on communications. Assessment underwent significant changes, with a move away from traditional end-of-course closed book examinations. Provisions for extensions, aegrotats and compassionate consideration were also expanded. These were underpinned by changes to policy and regulations. A 'grade bump' implemented in 2020 to recognise widespread impact on student learning was not repeated in 2021 due to recognition of unintended consequences and the opportunity to be more targeted. Further support for students included hardship grants and IT equipment loans with learning and wellbeing support also moving online. More specific comments on how COVID-19 has impacted the University will be made throughout this report.

Commendation: *The Panel commends the University, its staff and students for their response to COVID-19.*

¹⁷ SRR, p. 27.

¹⁸ AR 21, p. 45.

¹⁹ SRR, p. 32.

²⁰ KD 6, AR 20; AR 21; SD 2.

The impact of COVID-19 is ongoing. Decreases in student satisfaction with their experience were seen in 2020 but had largely recovered in 2021. Significant numbers of students have continued to study offshore. Staff workload due to capability building and dual face-to-face and online teaching remains high. However, COVID-19 has also provided significant impetus for innovation. The Panel was pleased to hear the University was endeavouring to retain enhancements to practices adopted during the COVID-19 period and to create enduring change in such things as digital assessment, offshore learning centres, and streamlined processes.

This Report

This report presents the Panel's findings based on the evidence it has considered. The Panel has commended areas of effective or good practice, affirmed developments or initiatives that should result in good practice, and made recommendations where it considers attention needs to be paid to enhancing practice.

A confidential draft of this report was submitted to the Board of the Academic Quality Agency for a quality assurance check on 9 September 2022 and to the University to identify any matters of factual accuracy on 29 September 2022.

This report is released under the authorisation of the AQA Board. All enquiries regarding the report should be directed to Comms@aq.ac.nz.

Cycle 5 Academic Audit

Waipapa Taumata Rau, University of Auckland was last audited in 2014 and the report from the Cycle 5 Academic Audit is available on the AQA website.²¹ The University has outlined a substantial programme of institutional change since its Cycle 5 Academic Audit.²²

Since its Cycle 5 Academic Audit, the University has provided a one-year follow-up report (2015) and an inter-cycle report (2018) on how it was responding to recommendations in the Cycle 5 Academic Audit Report and enhancement initiatives identified in its self-review. Both reports were accepted by the AQA Board. The University provided a further update on its Cycle 5 recommendations in its self-review report. The Panel notes that some recommendations remain relevant and are being addressed further as part of the CFTP and Service Delivery Model (SDM) initiatives.

²¹ AQA (2014). Report of the 2014 Academic Audit of The University of Auckland – Te Whare Wānanga o Tāmaki Makaurau. Available at <https://www.aqa.ac.nz/aucklandcycle5>. (Accessed 5 August 2022).

²² SRR, pp. 32–38.

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

This section of the audit framework examines the university-level systems and processes for ensuring academic quality, and how the University assures itself that the outcomes of these processes are adequate and appropriate. It also includes two guideline statements to assess progress on the University's enhancement theme plan from the first phase of Cycle 6.²³

GS 1 Planning and reporting

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

The SRR sets out the University's strategies and plans and the 2021 Annual Report also provides an overview. *Taumata Teitei*, the University's vision and strategic plan, was developed in 2020 and adopted by the University Council in March 2021.

Taumata Teitei sets five strategic initiatives for the University: (1) Education and Student Experience; (2) Research and Innovation; (3) Partnerships and engagement; (4) Enabling Environment; and (5) People and Culture. Each strategic initiative has a series of associated priorities.²⁴

The SRR explains that other strategies will enable *Taumata Teitei*.²⁵ These are:

- Whakamana Tangata, the Student Service Strategy which leads to the Student Services Delivery Model and Student Services Functional Review (SSFR)
- Te Rautaki Matahiko, Digital Strategy
- Te Rautaki Tūāpapa, Estate Strategy
- plus other strategies (strategic engagement, sustainability, data) under development.

A Waipapa Toitū Framework, which provides a Māori narrative, sits alongside *Taumata Teitei*.

Operationalisation of *Taumata Teitei* is guided by operational priorities.²⁶ Considerable planning is going on at many levels of the University, with many groups involved to support the new vision and strategy. Perhaps inevitably, given the scale of change, the Panel also heard comments about change exacerbating some of the existing challenges faced by staff and students, and it was recognised that support for change was not universal. At least in part, a lack of support for change was associated with a lack of capacity to deal with further change.

Overall, the Panel is impressed with the attention the University is paying to ensuring connections and alignment are maintained between the different components of planning and implementation

²³ AQA (2020). Guide to Cycle 6 Academic Audit. p. 3.

²⁴ KD1.

²⁵ SRR, p. 52.

²⁶ KD 8.

through co-sponsorship of initiatives, use of matrix structures and communities of practice. Interviewees were engaged in and committed to the vision, planning and implementation.

According to the University's Annual Report for 2021, "The Curriculum Framework Transformation Programme (CTFP) is the key initiative [emphasis added] to deliver on the University's strategic aspirations so we can achieve a distinctive, transdisciplinary curriculum and a unique Waipapa Taumata Rau experience".²⁷ The Panel heard frequent mention of the CTFP, along with the SDM (or Students Services Functional Review Phases I and II) and the Learner Success Plan (LSP). These initiatives are particularly relevant to Cycle 6 Academic Audit and further reference will be made to them throughout this report.

The Panel explored how targets were set and gained a sense of a common understanding at the different levels of the University and appreciation of how different perspectives brought strength to target setting. One area the Panel questioned was whether the targets for Māori student enrolment and Pacific student enrolment contained sufficient 'stretch' to meet the aspirations of *Taumata Teitei*.

The University has made significant investment in data collection and progressive use of data in the form of dashboards, and the Panel was provided with examples of some data dashboards.²⁸ The Panel heard some variation in views about how easy the data is to access and/or interpret. The University has recognised and responded to a need for specialist staff (business analysts) located in faculties to assist with developing and interpreting reports. The initiative to embed data analysts in faculties has been well received, although not all positions have been filled and further work is required to complete the roll-out of data dashboards to support decision-making.

Commendation: *The Panel **commends** the University's significant investment in comprehensive data collection and the development and well-received roll-out of data dashboards to support decision-making.*

The University has identified an enhancement initiative (EI 1) to "review its policy review and management functions to develop an integrated approach ensuring changes to roles and delegations can be captured and easily updated and that policy review, consultation and implementation processes are effectively managed".²⁹ In considering Te Tiriti o Waitangi underpinning of the Cycle 6 Audit Framework, the Panel recognises the University has sought to embed Te Tiriti o Waitangi responsiveness in its strategic documents and key initiatives. However, it also heard of examples where Te Tiriti o Waitangi was not considered in either a meeting or review if a Māori staff member or student was not present. In progressing this enhancement initiative, the Panel recommends the University ensures that Te Tiriti o Waitangi implications are considered in all review work including reviews of policy and procedures.

Recommendation: *The Panel **recommends** that Te Tiriti o Waitangi implications be included in terms of reference for all reviews, including reviews of policies and procedures.*

²⁷ AR 21, p. 20.

²⁸ FE 4.

²⁹ SRR, p. 58.

GS 2 Student voice

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

The University set out multiple channels and mechanisms for engaging with student voice(s) in strategy development, quality assurance (including feedback on teaching) and experiences of students at institutional, faculty and class level. A Guide for Student Representatives on University Committees has been developed.³⁰ Institutional level opportunities for student voices to contribute to improving outcomes for students include meetings between the students' association (AUSA) executive and the University Executive Committee and a Vice-Chancellor's Student Consultative Group. Student voice was evident in the university's response to COVID-19 and in the CFTP and has been given further impetus by the Education (Pastoral Care of Tertiary and International Learners) Code of Practice (the Code). The Panel has no doubt that the University has undertaken considerable work designed to strengthen and value student voice, consultation and engagement with students and affirms the University's enhancement initiative (EI 2) to develop a 'Student Voice Framework' with students.³¹

Affirmation: *The Panel **affirms** the University's Enhancement Initiative to develop, with students, a Student Voice Framework.*

In developing the Student Voice Framework, the Panel recommends that the University addresses challenges raised in meetings. These include closing the loop with the cohort that provided feedback, low response rates in student evaluations of teaching, and reflecting the diversity of student voices. The load on students, particularly Māori students and Pacific students, who contribute to student voice should also be considered as should support and recognition for their contribution.

The Panel heard about positive responses to issues raised by students—including the recently opened student kitchen and an increase to the doctoral stipend—and was provided with a summary of the Learning and Teaching Survey Results 2021, which includes information about how the University is responding to the survey data.³² However, the Panel also heard comments about variable practice and students not knowing what changes have been made in response to their feedback. The University encourages staff to close the loop with the current cohort of students and/or the next cohort, recognising this practice is not consistently embedded across the University. 'Closing the loop' also applies to student evaluations of teaching (collected through the University's Summative Evaluation Tool (SET)) and other feedback provided by students. Where the University decides not to, or is unable to, respond in the way suggested by students, this feedback must also be conveyed.

³⁰ SD 15.

³¹ SRR, p. 67.

³² FE 3.1b.

The Panel shares concerns it heard about low response rates on SET surveys. It also acknowledges that this issue is not unique to Waipapa Taumata Rau, University of Auckland and recognises the University is alert to this issue.³³ The Panel encourages the University to continue to find ways to increase response rates and not to discount feedback, even if response rates are low.

Increasing commitment to student voices does place an increased demand on students to contribute to developing initiatives and quality assurance processes. The Panel heard that students face challenges in being a lone voice in committees and other fora, and not having adequate time to seek feedback from other students when this would add value to their contribution. Recognition and reward practices also vary across the University, as does support for students in making their contributions. For Māori students and for Pacific students, this support needs to include cultural support—both for the students and for other committee members—to recognise not all university spaces are culturally safe for Māori students or Pacific students and the whakapapa that Māori students bring in their contributions. Students the Panel met with stressed that they were not financially motivated to make their contributions but wanted to facilitate positive change. Students however are time-poor, and the lack of value placed on their time does limit what they are able to contribute. Students often had multiple calls placed on their time (the Panel heard this from staff also). Some even saw the engagement with student voice as a token effort.

Recommendation: *The Panel recommends that the University—in developing its Student Voice Framework—undertake further work on training, recognising and managing the impact on students as they contribute to university initiatives and decision-making, and ensuring information about how the University has responded to student feedback is clearly available.*

The University and AUSA have made recent efforts to strengthen postgraduate student voice. AUSA has established a specific role and the terms of reference for the Education Committee and Teaching and Learning Quality Committee have been amended to include postgraduate representative members.³⁴ Further comment on postgraduate research student voice is made in Section E.

GS 3 Teaching and learning environments

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

COVID-19 has shifted conversations about physical and digital learning environments. *Taumata Teitei* includes a priority of “Seamless, effective and equitable user experiences across social, physical and digital environments”³⁵ and the University has renewed its estates strategy Rautaki Tūāpapa to align with *Taumata Teitei* and developed a digital strategy Te Rautaki Matihiko. Te Rautaki Matihiko states that “An on-campus experience will remain primary for most of our

³³ SD 21.

³⁴ SRR, p. 166.

³⁵ KD1, p. 9.

students, staff, and communities, with digital integration providing choice and flexibility ...”.³⁶ This primacy of on-campus experience, with strong digital components, is consistent with the messages the Panel heard in interviews. The University has established a Learning and Teaching Environments Committee to ensure that further development of environments remains well connected to curriculum and teaching developments and particularly the CFTP.³⁷

The Panel heard that the rapid pivot to online teaching in response to COVID-19 emphasised variability that existed in the online learning environment (Canvas) before COVID-19. It was confident that the University was aware of this variability, including whether accessibility requirements were met, and was taking steps to address it through initiatives such as templates for courses on Canvas. The Panel also notes that satisfaction with Canvas remained high throughout the response to COVID-19. The University is aware that future development of its learning management system needs to move away from being a simple repository to support more engaged learning and changing assessment modalities, supported by curriculum and learning designers.

Affirmation: *The Panel affirms the development of the University’s learning management system to support more engaged learning and changing assessment modalities.*

The Panel appreciates that the shape of the ‘new normal’ for the University and its students and staff may not yet be fully delineated. As the University returns to on-campus and blended activity, it has the opportunity to be intentional about how it sets expectations and provides advice for new ways of working. This would be helpful for new students and new staff who have joined the University during the pandemic. They may have had less opportunity for informal interaction with peers who might share ‘informal’ knowledge about studying and working at the University.

The Panel was particularly interested in two types of spaces: informal spaces—as it had read that this was an area where satisfaction was lower—and spaces that provided culturally responsive support for teaching and learning. The Panel heard that more flexible working arrangements were contributing to space being able to be used for informal learning and that the University wanted to create more informal learning spaces. Work before COVID-19 had provided insight into student attitudes to and use of spaces.

The Panel explored access to culturally appropriate (digital and physical) teaching and learning spaces. From the responses of those they spoke to, the Panel gained the view that some culturally appropriate teaching and learning spaces did exist and were valued by those who used them. The Panel was given the examples of MAPAS House and the Hineahuone common room for Māori students as supportive and safe spaces, although knowledge about who could access these and how was not consistent. An example of lecture auto-captioning being based only on English in the digital environment was given as an example of lack of cultural responsiveness.

³⁶ SD 8, p. 11.

³⁷ SRR, p. 68; FE 18a.

The development of teaching and learning environments that support taumata (principles) guiding the CFTP will create pressure for culturally appropriate spaces.³⁸ Interviewees stressed there was a need for staff to also be learners (teina) in the development of these spaces.

GS 4 Academic delegations

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

The University has a clear, well understood Delegations and Accountabilities Framework. Recent work has developed a detailed decision-making schedule. The Panel tested the understanding of delegations with interviewees and received clear and consistent responses.

The Panel that undertook the Cycle 5 Academic Audit of the University had recommended the University define which staff have authority to give advice about specific academic decisions.³⁹ The Panel considers that the decision-making schedules establish who is authorised to provide academic advice. Further comment on academic advice will be made with respect to GS 10.

The University has signalled further work to operationalise parts of the decision-making framework, which are under review. The Panel endorses this work.

GS 5 Academic risk management

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

The University has well-developed risk-management and business continuity frameworks and processes, which have been comprehensively tested and found to be effective during the COVID-19 pandemic. The risk management framework was recently reviewed to align with *Taumata Teitei*.⁴⁰ The University's response to COVID-19 confirmed that its risk management was fit for purpose and alerted the University to areas where weaknesses were exposed or that would benefit from expansion with more practical elements. For example, a TLQC Working Group is examining how to improve information about continuity of learning for students.⁴¹

Commendation: *The Panel **commends** the University for how risk management and business continuity frameworks and processes enabled an effective response to COVID-19.*

³⁸ FE2., p. 7.

³⁹ Cycle 5 Academic Audit report, R 3.

⁴⁰ FE 1.5.

⁴¹ SRR, p. 75.

The University has learnt from its experience with COVID-19, both in terms of how teaching and learning will develop in the future and how it approaches risk. It also acknowledges that the incident management structure was not well suited to the longevity of this crisis. Waipapa Taumata Rau, University of Auckland is unlikely to have been the only university that has recognised the challenges of using incident management structures and processes for ongoing crises.

Despite the effectiveness of risk management and business continuity frameworks and processes, the Panel was left in no doubt of the pressure staff and students had faced (and continue to face) in maintaining continuity of learning, teaching and support since March 2020.

In examining the Risk Management Framework and in interviews, the Panel was unable to clarify why academic integrity was not included in a risk category. The Panel noted, however, that research integrity was included.

GS 6 Progress on the Enhancement Theme (Māori students)

The university has achieved the objectives in its enhancement theme plan with respect to Māori students and successful practice has been embedded and is sustainable.

An enhancement theme was undertaken by all universities in the first phase of Cycle 6 Academic Audit. The topic addressed in the enhancement theme was “access, outcomes and opportunities for Māori students and Pacific students”. Waipapa Taumata Rau, University of Auckland reported on progress in 2020 in its Enhancement Theme final report.⁴² The University’s enhancement theme plan was organised around two objectives. Objective 1 (Supporting preparation for and access to University study) had three priorities and eight strategies while objective 2 (Supporting the learning needs and retention of Māori and Pacific learners) had two priorities and twelve strategies. The University’s enhancement theme plan was developed under a previous strategic plan and senior leadership team. Little reference was made to the original enhancement theme plan or outcomes either in the SRR or interviews. However, the Panel heard how the University had ‘re-mapped’ the enhancement theme objectives and priorities to *Taumata Teitei* and indicated that they remained relevant to current strategic priorities, including the University’s responsibilities under Article Three (Ōritetanga) of Te Tiriti o Waitangi and the University’s Student Retention Policy.⁴³

As the enhancement theme topic was “Access, outcomes and opportunities for Māori students and for Pacific students”, the Panel explored trends in enrolments and completions for Māori students with respect to this GS. Again, appreciating the challenging circumstances of the past two and a half years, the Panel notes that 460 EFTS of first year students were Māori in 2016, rising (with fluctuations) to 490 EFTS in 2021. However, the proportion of first year students who are Māori dropped from 7.7% in 2016 to 7.1% in 2021.⁴⁴ Comment was made in GS 1 about how the University is setting targets and whether these contain sufficient stretch for the University to progress towards

⁴² SD 28.

⁴³ Table 14, SRR, p. 79.

⁴⁴ Table 37, App. 4, SRR, pp. 184–185.

equity in access for Māori students. Qualification completions for Māori students increased to 842 in 2017 (7.5% of all qualification completions) but dropped to 770 in 2020 (6.85%).⁴⁵

The University reports on achievement for Māori students in its Annual Report. Course completion rates for Māori students have trailed those for non-Māori/non-Pacific students and dropped in 2021. The gap in course completion rates between Māori students and students who are not Māori and not Pacific increased from 5.2% in 2019 to 6.9% in 2021. However, first-year retention rates for Māori students increased over this period from 77% (against 83.3% for non-Māori/non-Pacific students) in 2019 to 79.1% (84.8% non-Māori/non-Pacific) in 2021.⁴⁶

Reporting on the enhancement theme in the Cycle 6 Audit portfolio did not replicate and update the data provided in the interim report, which made it difficult for the Panel to assess further progress. The Panel appreciates that the University has had less time than other universities to consolidate further progress and that this time was severely disrupted by COVID-19.

The Panel recognises that substantive progress on the topic of the enhancement theme is more important than awareness of and reporting on the enhancement theme itself. It could identify other parts of the audit framework where the priorities and strategies in the enhancement theme were relevant, and heard and saw evidence that these topics remain important to the University. In particular, the Panel was reassured by the priorities for the PVC (Māori) which include “improved retention and success of Māori students”.⁴⁷ It reminds the University, however, that a key point of the enhancement theme was that access, outcomes and opportunities for Māori students and for Pacific students are whole-of-university responsibilities.

Recommendation: *The Panel **recommends** the University maintain a whole-of-university focus on access, outcomes and opportunities for Māori students, led by the PVC Māori.*

The development of the University’s equity strategy should provide further opportunity for priority to be given to this recommendation.⁴⁸

GS 7 Progress on the Enhancement Theme (Pasifika students)

The university has achieved the objectives in its enhancement theme plan with respect to Pasifika students and successful practice has been embedded and is sustainable.

The University’s SRR combined GS 6 and GS 7 into a single section. The Panel’s view is that it is appropriate to treat the two guideline statements separately, at least insofar as examining data for access, outcomes and opportunities.

Waipapa Taumata Rau, University of Auckland enrolls higher numbers of Pacific students than Māori students. The University enrolled 2,850 Pacific EFTS in 2016, which grew to 3,179 Pacific EFTS in 2021. Over this period, however, the percentage of the student body that Pacific students make up

⁴⁵ Table 47, App. 5, SRR, p. 188.

⁴⁶ AR 21, p. 74.

⁴⁷ Table 7, SRR, p. 50.

⁴⁸ SRR, p. 109.

has remained relatively static (8.4 – 8.7%).⁴⁹ First-year Pacific EFTS were 566 (9.5%) in 2016 and 620 (9.0%) in 2021.⁵⁰ This difference in first year and overall percentages suggests a retention challenge, which is acknowledged by the University.⁵¹ The Panel heard of specific attention being paid to wellbeing for Pacific students which would help address retention challenges.

The course completion rate for Pacific students was 75.5% in 2019, increasing to 80.6% in 2020 but falling back again to 75.1% in 2021. It was suggested to the Panel that significant financial hardship was a contributor to both retention and achievement rates.⁵²

Again, the Panel is reassured that the University remains committed to supporting access, outcomes and opportunities for Pacific students, as signalled in the enhancement theme (even if the ‘enhancement theme’ term no longer resonates). The University’s Te Tai Tonga campus development reflects this commitment, as does the appointment of a PVC (Pacific) as a member of the University Executive Committee. Visibility of Pacific across the University was thought to have improved, and the PVC (Pacific) works closely with the PVC (Māori) and PVC (Equity). The PVC (Pacific) Office also has a good working relationship with students.

As parity of access and achievement has not yet been achieved for Pacific students relative to non-Pacific students, the Panel recommends the University maintains its focus on improving access, outcomes and opportunities for Pacific students.

Recommendation: *The Panel **recommends** the University maintain a whole-of-university focus on access, outcomes and opportunities for Pacific students, led by the PVC Pacific.*

⁴⁹ Table 36, SRR, p. 184 – 185.

⁵⁰ Table 37, SRR, p. 184 – 185.

⁵¹ SRR, p. 84.

⁵² AR 21, p. 74.

Section B: Student life cycle, support and wellbeing

This section of the audit framework focuses on students, their entry to university, successful transitions through and beyond university, and advice and support to enable successful transitions.

The University's Student Services Function Review and the new Service Delivery Model for student services will affect guideline statements in this section of the Audit Framework. The new SDM will result in four new centres within the Student and Academic Services service division:

- a Student Experience Centre to manage contact with prospective students
- a Student Services Centre to support recruitment, application, admissions and scholarships
- an Academic Services Centre
- an Operations Centre to provide governance and support the other centres.

Campus Hubs for student support, information and advice will also be established.⁵³ Specific Māori roles and Pacific roles will be included in these centres.⁵⁴

In 2021 the University enrolled 46,000 students (36,747 EFTS).⁵⁵ Science is the largest faculty in terms of numbers of undergraduate, taught postgraduate and research postgraduate EFTS. The faculties of Business and Economics, and Arts enroll the next highest volumes of undergraduate EFTS. The pattern differs for taught postgraduate EFTS where Education and Social Work, and Engineering are the next two largest faculties in terms of EFTS; and again for postgraduate research students where Medical and Health Sciences, and Engineering have higher EFTS volumes.

Sixty-four per cent of students were enrolled in Bachelor's degrees, 28% in postgraduate qualifications (excluding doctoral students) and 6% in doctoral programmes. Forty-eight per cent of students were Asian, 32% Pākehā/European, 9% Pacific and 7% Māori in 2021. The percentages of first-year students who are Māori or Pacific are slightly higher in this and previous years, suggesting that the University retains lower percentages of these groups.⁵⁶ Further comment is made on retention in GS 9. Fifty-seven per cent of EFTS were female in 2021 and 0.6% (223 EFTS) gender diverse.⁵⁷

Not surprisingly, international students EFTS dropped in 2020, but grew again in 2021 and remain above pre-COVID-19 levels. In 2021, international EFTS were 18.2% of total.⁵⁸

⁵³ SRR, pp. 90–91.

⁵⁴ SD 29, pp. 4–5.

⁵⁵ App. 4, SRR, p. 185.

⁵⁶ Tables 36 and 37, App. 4, SRR, pp. 184–185.

⁵⁷ Table 38, App. 4, SRR, pp. 184–185.

⁵⁸ Table 39, App. 4, SRR, pp. 184–185.

GS 8 Access

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

The University has defined five student segments in its student population—school leavers, international students, working professionals, career enhancement and doctoral and pathways to research—and two priority cohorts: Māori students and Pacific students.⁵⁹ School leavers are further segmented into Foundation, School leavers, Transferring undergraduates and Pipeline undergraduates.⁶⁰ In its Equity Profile, the University identifies Māori students and students from equity groups including Pacific students, students with disabilities, LGBTQI Takatāpui students, students from refugee backgrounds and students from low socio-economic backgrounds.⁶¹

The University's Equity Profile recognises that students do not belong to a single group and examines the numbers of students who are Māori and identify with an equity group.⁶² In reality, students are likely to identify with multiple groups. However, this does not appear to be captured in reporting. The University's Equity Profile tends to report figures at the whole-of-institution level, which makes it difficult to examine equity in admissions more directly, although this is probably similar to equity overall.

As part of implementing its new SDM for student services, the University has determined that the Schools and Community Engagement office will be “a visible focal point and unifier for the University's relationships and outreach initiatives with schools”. The Schools and Community Engagement office will work with faculties and the Offices of the PVC (Māori) and PVC (Pacific) to “champion Māori and Pacific learners” and ensure information provision and outreach is relevant and meaningful to communities.⁶³ Their activities will be supported by new Māori and Pacific recruitment roles based in faculties. The establishment of these roles, relationships and priorities may allow further consideration of enrolment targets and greater access for Māori students and for Pacific students.

Admission to the University is set out in Admission Regulations. The University operates a system of Guaranteed Entrance Scores (GES) which indicates the ‘rank score’ required for entry for school leavers⁶⁴ and a Targeted Admissions Scheme (UTAS) for priority learners including, but not specific to, Māori students and Pacific students.⁶⁵ The UTAS admissions pathway was previously scheduled for review in 2020 and the review is now signalled for 2022.⁶⁶ Students must also meet Academic English Requirements. This can be completed in the first 12 months of study.⁶⁷

⁵⁹ SRR, p. 23.

⁶⁰ App. 3, SRR, p. 182.

⁶¹ KD 4, p. 4.

⁶² KD 4, pp. 18–21.

⁶³ SRR, p. 81.

⁶⁴ SRR, p. 91.

⁶⁵ SRR, p. 81.

⁶⁶ SD 28, p. 9; SRR, p. 81.

⁶⁷ SRR, p. 91.

The University's response to GS 6 and GS 7 listed a series of outreach and pathway programmes that support access to university for Māori students and Pacific students. Some of these initiatives were identified as part of the University's enhancement theme plan, but the list of options available seems to have developed since 2020 when the University provided an interim report on progress on its plan. Data provided in the SRR included participation levels in the Unibound and Foundation Studies access programmes but did not indicate subsequent enrolment in degree programmes.⁶⁸

In addition to its Schools and Community Engagement Team, the University has developed a suite of other tools to provide admission information. These tools include an app 'UoA Kāhu' and an online help system 'Ask Auckland'. Students the Panel met with were familiar with Ask Auckland but had made less use of the app.

The University has dedicated processes and resources for students transferring from other universities to facilitate admission through credit transfer. The transferring undergraduate segment was slightly larger than the Foundation pathway segment in 2020 and 2021, although both are less than 10% of the school leaver cohort.⁶⁹ Other recognition of prior learning is largely confined to specific postgraduate programmes.⁷⁰

Changes were made to admissions processes as part of the University's response to COVID-19. For domestic students, more emphasis was placed on Year 12 results with 'Fast Track' offers made to students with strong Year 12 results, and a 'Summer Start' programme was offered.⁷¹ The Summer Start programme has been retained beyond the immediate COVID-19 response with an option for international students.⁷²

Further changes to the admission experience for students is signalled as part of the Student Services Function Review and Service Delivery Model, with a new Student Services Centre that will support recruitment application and admission.⁷³ The Panel heard that a Māori-logic process had been used for the review of student services functions and that the University appreciated there were aspects of the admissions process that were not smooth for Māori students. This view was also reflected by students the Panel spoke with who found they needed assistance with a complex admissions and enrolment process. Students described how they had sought assistance through informal channels, with family and friends providing advice. These views from students were heard with respect to both undergraduate and postgraduate admissions processes. The implementation of the Student Services SDM should consider the use that is being made of informal channels for advice about admission and the need for targeted advice.

⁶⁸ SRR, pp. 81–82.

⁶⁹ Table 33, App. 3, SRR. p. 182.

⁷⁰ SRR, p. 92.

⁷¹ SRR, pp. 92–93.

⁷² SRR, p. 94.

⁷³ SRR, p.90; SD 29, pp.36–39.

GS 9 Transitions

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

The University pays attention to transitions into, through and out of university, seeks feedback from students, and reports on retention and completion rates. A range of transition support programmes are available in faculties including mentoring and buddy programmes, academic skills workshops and first-year experience teams.⁷⁴ Centrally, Tuākana programmes support Māori students and Pacific students, Disability Services provide information and International Student Advisors support international students in their transitions to studying in Aotearoa New Zealand.⁷⁵

The report on New Student Transition examines communication (including new student-specific webpages and the Kāhu app), faculty orientation, academic and personal transition, and understanding of support services, and will make recommendations for improvement.⁷⁶ Other student feedback on their experience with transitions is sought in the annual Learning and Teaching survey. Student perceptions that their transition to their current level of university study had gone well have fluctuated since 2016 with a not surprising drop (given the context of COVID-19) in percentage agreeing their transition had gone well in 2020.⁷⁷

The University acknowledges less attention has been paid to student transitions to second and subsequent years of undergraduate study and into postgraduate study. However, the level of agreement for all students that transition to their current level of study has gone well has been higher than for first year students from 2016 to 2021.⁷⁸

Transition into postgraduate study is supported by faculties with a range of induction and orientation events. Up to 2020, most enrolling doctoral students had previously studied at an overseas institution although the numbers of doctoral students who had previously studied at Waipapa Taumata Rau, University of Auckland had been increasing since 2017. In 2020, 50% of enrolling doctoral students previously studied at Waipapa Taumata Rau, University of Auckland.⁷⁹

Course completion and retention rates provide other indicators of successful transitions. 2021 course completion rates for non-Māori/non-Pacific students were 90%, compared with 83.1% for Māori students and 75.1% for Pacific students. First-year retention rates follow a similar pattern with 84.8% for non-Māori/non-Pacific students and 79.1% for Māori students and 78.2% for Pacific students.⁸⁰

⁷⁴ SRR, p. 97.

⁷⁵ SRR, p. 97.

⁷⁶ SD 30; FE 3.3a; FE 3.3b.

⁷⁷ SRR, p. 96.

⁷⁸ SRR, p. 96.

⁷⁹ Table 64, App. 12, SRR, p. 210.

⁸⁰ AR 21, p. 74.

The University's Career Development and Employability Services (CDES) support transitions into work through a range of services available online and in-person. COVID-19 prompted CDES to innovate with the introduction of micro-internships and initiatives for international students. The University seeks feedback on CDES services specifically⁸¹ and in its Graduate Destination Survey.⁸² In 2020, 77% respondents rated CDES services and events as 'good' or 'great'. Just over half the respondents in the Graduate Destination Survey agreed that the University "offered helpful career preparation services". Faculty-based initiatives complement and supplement central CDES services and support.

GS 10 Academic advice

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

The University's investment in IT systems contributes to its provision of course advice with a searchable database of course outlines, a self-service degree planner and a chatbot among the available tools.⁸³

The University is transitioning its model for delivering course advice from a faculty-based model to a centralised one. Student survey data indicated a lower level of agreement with the statement "Good advice on my courses and programme of study was available when I needed it", dropping from 69% in 2019 to 57% in 2020.⁸⁴ Other student feedback from focus groups indicated that students were experiencing challenges when seeking or obtaining course advice.⁸⁵ The Panel also heard comments about long wait times for course advice and being reliant on helpful individuals rather than a system for advice.

Waipapa Taumata Rau, University of Auckland has a relatively high proportion of students enrolled in conjoint degrees who require advice that is consistent across faculties. The implementation of the CFTP with its greater commitment to transdisciplinarity will also increase the need for consistent course advice across the University.

The Panel heard how the greater centralisation of course advice was intended to improve the student experience. The University is aware that implementation challenges include ensuring that students receive specialist advice in a timely manner and recognising that the timing of course advice impacts on other decisions including dropping or adding courses. Other challenges include potential loss of the connection between course advice and other advice available in the faculty-based model and the need for advice and advisors to meet the needs of Māori students and Pacific students. The Panel notes that specific Māori roles and Pacific roles are included in the revised Hub

⁸¹ SRR, p. 99.

⁸² FE 3.4, Q18.

⁸³ SRR, p. 101.

⁸⁴ FE 3.1a, p. 10.

⁸⁵ SRR, p. 101.

structure through which students will access course advice.⁸⁶ However, the loss of connections with staff currently providing academic advice and potential loss of institutional knowledge caused by the transition to the new Hub structure create a risk that could affect many students. The Panel suggests that student experience of course advice will need to be monitored closely and supports the planned post-implementation review.

Affirmation: *The Panel **affirms** the development of the centralised course advising model and the development of metrics for monitoring the performance of this system.*

The Panel suggests that metrics should be supplemented by qualitative indicators of performance to provide a broader assessment of the student experience.

GS 11 Academic complaints appeals and grievances

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

Processes for academic grievances and disputes are set out in the University's Resolution of Student Academic Complaints and Disputes Statute. A working group has been reviewing this Statute and has identified issues to be addressed in the review.⁸⁷ The Panel was able to review the draft of the revised statute⁸⁸ and the draft revised procedure.⁸⁹

The review will also address process issues that will allow complaints and grievances to be collated and reported at institutional level. It intends to maintain an emphasis on informal resolution and natural justice. The Panel appreciates the value in maintaining these aspects but queries whether for postgraduate research students, greater attention could be paid to a mechanism that better supports and protects students who need to make complaints and/or raise grievances in relation to their supervision. The Panel heard how closer working relationships between postgraduate research students and supervisors created significant perceived risks for students who raise complaints.

The Panel was interested in how the review would address sensitivity to Te Tiriti o Waitangi, te ao Māori and other cultural and equity concerns as this issue had been identified. The Panel explored this in interviews but was unable to clarify that these matters were being addressed in the review. The Panel's recommendation that Te Tiriti o Waitangi implications are included in terms of reference for all reviews is also relevant here.

⁸⁶ SD 29, p. 55.

⁸⁷ SRR, p. 103.

⁸⁸ FE 1.6b

⁸⁹ FE 1.6c

GS 12 Learning support

Students have timely and equitable access to appropriate learning support services.

The Panel was impressed with the range of learning support options available to students and how these had also pivoted online in response to COVID-19. Te Tumu Herenga Libraries and Learning Services are the main provider of learning support for all students. Te Tumu Herenga operates six libraries and four information commons.⁹⁰ The Panel viewed a recent operational report from Te Tumu Herenga that further demonstrated the range of services and support provided.⁹¹

Learning support is also available in faculties and targeted learning support is available for specific groups of students:

- Tuākana programmes for Māori students and Pacific Students
- International Student Advisors provide support for international students
- learning support for disabled students from Student Disability Services and Inclusive Learning
- postgraduate students in faculties and Te Tumu Herenga
- offshore students in China Learning Centres for whom online and local coordinator support is provided.⁹²

All first-year students and doctoral candidates at Waipapa Taumata Rau, University of Auckland are required to take a Diagnostic English Language Needs Assessment (DELNA). Depending on the results, students may be referred for further diagnostic testing and then a meeting with a language advisor to plan further work to improve English language skills. Despite this attention to English language skills, results from the 2020 Teaching and Learning Survey indicate that less than half (46%) of the students surveyed agreed that they knew where to find assistance with English language skills for academic writing.⁹³

Te Tumu Herenga's operational report did not provide user feedback on satisfaction with access to and quality of services provided. User perspectives were gained from reports on the University's Learning and Teaching Survey and New Student Survey. The University seeks feedback from new students on their understanding of available support services, including learning support services. In 2021:

- 60% respondents agreed they were aware of Libraries and Learning Services
- 60% were aware of Faculty Student Centres
- 57% were aware of academic support services
- 46% were aware of peer mentors in their Faculty
- 33% were aware of English Language Enrichment.⁹⁴

⁹⁰ SRR, p. 103.

⁹¹ FE 9.

⁹² SRR, p. 87 and pp. 105–107.

⁹³ FE 3.1a, p. 10.

⁹⁴ FE 3.3a, pp. 33–34.

The University is developing its learner analytics capabilities to identify earlier students who may require support and has developed a new dashboard to monitor student engagement.⁹⁵ This allows identification of students who have not logged into Canvas for periods of time.

Given the range of learning support services available and the variable rates of awareness of these services, the Panel explored how students were referred across services. Provision of learning support is an area that is being redeveloped through the SDM initiative. The Panel understands that this work will enable a more integrated view of how students are referred and use combinations of learning support services. The development and use of learner analytics is part of this development.

Commendation: *The Panel **commends** the University for its comprehensive range of learning support services and for the way these services pivoted to online to remain accessible to students over COVID-19.*

Affirmation: *The Panel **affirms** the development of the Service Delivery Model for student services and the greater use of analytics to identify students who would benefit from support and the tailoring of that support.*

GS 13 Safety and wellbeing

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

The Education (Pastoral Care of Tertiary and international Learners) Code of Practice (the Code) came into force after the Cycle 6 Academic Audit Framework was agreed. GS 13 intersects with much of the emphasis of the Code and AQA has agreed that, where possible, a university's reporting for the Code will be used for this guideline statement.

Three key pieces of work inform the University's response to this guideline statement: (1) the University's Gap Analysis of its compliance with the Code;⁹⁶ (2) a review of the University's Equity function;⁹⁷ and (3) Oranga Taura – Student Wellbeing Plan.⁹⁸ The Student Services Function Review Phase 2 (SSFR II) recognises that the Code "requires more systematic approaches to student wellbeing".⁹⁹ The wellbeing and safety workstream of SSFR II frames wellbeing using the Whare Tapa Whā model developed for understanding Māori health.¹⁰⁰ This holistic approach to wellbeing is also reflected in Oranga Taura.

The University states that it is "committed to building a safe, inclusive, and equitable community and has a zero-tolerance approach to discrimination of all kinds, including racism, sexism, ableism,

⁹⁵ FE 4.

⁹⁶ KD 9.

⁹⁷ SD 33.

⁹⁸ SD 36.

⁹⁹ SD 35, p. 5.

¹⁰⁰ SD 36, p. 4.

ageism, homophobia and transphobia”.¹⁰¹ Despite intentions, plans and frameworks being in existence, the Panel was concerned to hear of racism experienced by Māori students. However, the Panel was reassured to learn that the University reports on allegations of non-compliance with the Code and instances of alleged bullying, harassment or discrimination to the Audit and Risk Committee of Council, and acts when allegations are upheld.¹⁰²

The Panel reviewed the University’s Gap Analysis and explored university-identified gaps in interviews. The Panel would have found it helpful if the University’s assessment of there being no gaps had included a summary of evidence supporting this assessment. The Panel heard and agreed that the identified gaps are concerned with how services and support are communicated rather than being lacking in substance or responsiveness.

The Panel explored whether the University was approaching the Code compliance assessment from an enhancement orientation (being enhancement-led is an underlying principle of quality assurance for universities in Aotearoa New Zealand¹⁰³). The Panel considers the University is taking a constructive, holistic approach to the Code as a mechanism for enhancement, beyond meeting a regulatory requirement.

The SRR sets out the range of safety and wellbeing services available to students.¹⁰⁴ They include both centrally provided and faculty-based services and address equity, disability, wellbeing, health and safety, social and recreation, as well as services tailored to students in university accommodation, international students and equity groups. Demand for wellbeing support has been exacerbated by COVID-19. Mental health was identified as an area that requires further attention. The Panel considers that the review of policies on sexual harm provides a good model for further work in student safety and wellbeing. It also considers the case management approach that co-ordinates referrals to specialist services while maintaining a single point of contact for complex cases to be good practice.¹⁰⁵ The roll-out of this approach is expected to be completed in 2022. The Panel encourages the University to continue to pay attention to what wellbeing means for Māori students and for Pacific students.

Commendation: *The Panel **commends** the University for its integrated and enhancement-oriented approach to the Education (Pastoral Care of Tertiary and international Learners) Code of Practice.*

¹⁰¹ SRR, p. 108.

¹⁰² FE 8.

¹⁰³ Guide to Cycle 6 Academic Audit, p. 2.

¹⁰⁴ SRR, pp. 108–116.

¹⁰⁵ KD 9, p. 4.

Section C: Curriculum, assessment and delivery

The guideline statements in this section of the audit framework consider the life cycle and key components of curricula and academic delivery, including assessment and academic integrity.

The University offers almost 400 (for-credit) programmes, with postgraduate programmes accounting for just over half of all programmes.¹⁰⁶ The programme portfolio contains around 50 professionally accredited degrees, including medical and health sciences, engineering, law, education and social work.

The CTFP will guide future development on the structure of degrees across the University and the learning experiences that are available. Reflecting the vision of *Taumata Teitei*, it lays out four priority education areas and eight principles (taumata), including a commitment to mātauranga Māori, fostering a sense of belonging and providing breadth and depth of learning.

The recommendations of the CTFP cover several elements—for example, a standardised course size, a universal core course that addresses Te Tiriti o Waitangi principles and knowledge of place, a capstone course for each programme, access to work or community experience, and transdisciplinary options. Issues of admission, accessibility, pathways and transition are also addressed. The Panel finds that the coherence of this educational vision across the whole of the University is an example of commendable practice in institutional curriculum planning that links the particularity of disciplinary teaching to a broader and longitudinal view of the educational experience at the University.

Commendation: *The Panel commends the vision and the intentions around the learning experience that has so far been captured in the Curriculum Framework Transformation Programme.*

GS 14 Programme approval

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

The University outlined its course and programme design, development and approval processes, and provided examples of external referencing and stakeholder engagement in the development of new programmes.¹⁰⁷ The Panel anticipates that future activity in programme approval will be significantly affected by the CTFP, development of programme capabilities to align with the refreshed Graduate Profile¹⁰⁸ and greater use of digital learning environments.

¹⁰⁶ Analysis of SD 1.

¹⁰⁷ SRR, pp. 122–123.

¹⁰⁸ FE 1.7, p. 4.

Learning design capacity was expanded as part of the University's COVID-19 response and Ranga Auaha Ako was established in 2020 to provide learning design support. Ranga Auaha Ako operates a hub-and-spoke model with the Ranga Auaha Ako hub connecting to Curriculum Development Manager spokes in faculties. Large-scale curriculum developments are supported on a project basis, which, the SRR suggests, allows learning design resources to be applied strategically. The Panel wonders, however, given the extent of curriculum development that will be initiated by the CFTP, whether a project model that responds to proposals from faculties will be adequate.

New courses and changes to course are approved by faculties, under delegated authority from the Academic Programmes Committee.¹⁰⁹ The first step in a programme proposal is a New Academic Development Application. This outlines the proposed programme, plus strategic rationale, market demand and financial considerations. The Academic Programmes Office provides guidelines for the development of academic programme proposals and works with faculties to support the development of proposals. The University has recently established Programme Portfolio Managers in faculties and the Panel considers this a positive development.

Affirmation: *The Panel **affirms** the establishment of roles to support programme management and embedding of learning design with programme development.*

The University has identified an enhancement initiative (EI 3) to respond to a perceived challenge in managing programme information and will explore options for a Curriculum System.¹¹⁰ The Panel considers this development to be in line with other University investments in IT and systems that it has already affirmed.

The Panel explored how Te Tiriti o Waitangi responsiveness was being addressed in proposal approval. It heard, as expected, that this was a requirement of CUAP proposals. However, the Panel also gained the sense that this was something for Māori to provide rather than a university-wide responsibility. Māori leadership is, of course, key. The Panel anticipates, however, that as the CFTP—with its taumata to “demonstrate commitment to mātauranga Māori, kaupapa Māori pedagogies, and Te Tiriti o Waitangi principles and accountabilities”—¹¹¹progresses, Te Tiriti responsiveness in CUAP proposals (and therefore programmes) will need to be more widely owned.

GS 15 Course/paper and programme monitoring

The quality of academic programmes and courses/papers is assured and enhanced through ongoing monitoring and academic management.

The University elected to treat GSs 15 and 16 together. Although they are closely related, the Panel finds it appropriate to examine monitoring separately from review. Course and programme monitoring is expected to be an ongoing process through which the University assures itself that

¹⁰⁹ SRR, p. 122.

¹¹⁰ SRR, p. 125.

¹¹¹ FE 2, p. 6.

content remains current, that feedback through course evaluations or other processes is considered and, if appropriate, acted upon, and that any changes to courses/papers remain aligned with graduate profiles.¹¹² The Panel saw clear evidence that courses and programmes were monitored on an ongoing basis as anticipated by this guideline statement.

Courses are evaluated every time they are taught, and the number of courses evaluated in a year has increased from 1,365 in 2017 to 2,535 in 2021.¹¹³ The percentage of courses with a general agreement of 80% with the statement “Overall I was satisfied with the quality of this course” increased from 57% in 2017 to 63% in 2019. This figure dropped in 2020 before increasing again to 61% in 2021. The University used an Online Learning Evaluation (OLE) tool in 2020 to better reflect the online learning environment being experienced by students.¹¹⁴ Use of SET data as an indication of teaching quality (and the acknowledged challenges associated with this) is discussed in GS 25.

Student evaluations of teaching should contribute to a course review completed at the conclusion of each offering of the course.¹¹⁵ The University has recognised that not all courses comply with this expectation and has identified an enhancement initiative to “develop a university-wide online system for end-of-course-review” that will contribute to continuous enhancement (EI 4).¹¹⁶ The Panel affirms this initiative. Consistent with the recommendation in GS 2, the Panel encourages the University to ensure that students are also made aware of the end-of-course review outcomes and changes.

Affirmation: *The Panel **affirms** the development of a university-wide online system for end-of-course review that will support continuous enhancement.*

Monitoring also occurs at the programme level with the University, referring to Boards of Studies with external members, examiners’ meetings and student feedback (including through Student-Staff Consultative Committees at the programme level), as providing input to programme monitoring.¹¹⁷ The Panel was impressed by the annual Academic Quality Review process. In this process, summary data that identifies key themes and reports from academic and/or accreditation reviews is provided to faculties before a meeting with the Pro Vice-Chancellor (Education), the Manager of the Academic Quality office and the Director, Learning and Teaching. Key issues and challenges for learning and teaching are discussed at the meeting and these inform the development of annual learning and teaching priorities considered by the Teaching and Learning Quality Committee.¹¹⁸

Commendation: *The Panel **commends** the annual Academic Quality Review process as a good practice model of data-informed quality enhancement.*

¹¹² Guide to Cycle 6 Academic Audit, p. 19.

¹¹³ SRR, p. 128.

¹¹⁴ Table 24, SRR, p. 128.

¹¹⁵ SRR, p. 126.

¹¹⁶ SRR, p. 127.

¹¹⁷ SRR, pp. 130–131.

¹¹⁸ SRR, p. 130.

GS 16 Review

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

In comparison with GS 15, programme review is a less frequent, but more substantial, assessment of a programme, its curriculum and delivery.¹¹⁹ End-of-course review was discussed in GS 15. Programmes (including qualifications and major subjects) are reviewed in Graduating Year Reviews, accreditation reviews, thematic reviews or specific programme reviews.

The University has a clear framework and schedule for programmes reviews and introduced a thematic cycle in 2020.¹²⁰ Specific issues (for example, assessment at stage one) will be reviewed in a group of related programmes in a thematic review. If a programme has not been included in a thematic or accreditation review within ten years, it will be subject to a programme review. Programmes may also be reviewed in a review of the academic unit offering that programme.

The Panel considers that ten years between programme reviews is at the long end of accepted practice. Although the Panel was advised that a ten-year period between programmes reviews was only likely to occur in a few instances, it still considers that policy settings should require programmes reviews to occur more frequently than ten yearly. Otherwise, the Panel considers that the introduction of thematic reviews offers greater potential for systematic enhancement. It also considers the appointment of a common chair for programme reviews in a calendar year further supports systematic enhancement.

All review reports and an implementation plan are submitted to Senate and the University Council through Education Committee. Progress on implementation of review recommendations is also monitored through Education Committee.¹²¹ The Panel again encourages the University to ensure that students are made aware of the outcomes of programme reviews.

GS 17 Graduate profile

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

Allied with the CFTP, the University has refreshed its Graduate Profile to align with *Taumata Teitei*. The Curriculum Framework Consultation Document describes the Graduate Profile as a “critical foundational statement for teaching”.¹²² At an aspirational level, the Graduate Profile characterises graduates as scholars, citizens, innovators and leaders. At an implementation level, a set of generic capabilities is defined and organised around five themes, focusing on future lives and careers. Each

¹¹⁹ Guide to Cycle 6 Academic Audit, p. 19.

¹²⁰ Table 26, SRR, p. 132; SD 53.

¹²¹ SRR, p. 134.

¹²² FE2, p. 5.

programme will be expected to develop specific capabilities around those themes.¹²³ The implementation of practice to support the realisation of the Graduate Profile will have implications for GS 15 and GS 16.

The University provided evidence that showed low awareness of the previous Graduate Profile among students, and this was reflected in comments elicited from students during the audit process. The Digital Course Outline initiative will contribute to raising awareness of the new Graduate Profile as capabilities will be identified in course outlines. The Panel was also pleased to hear of the continued emphasis on embedding 'employability' in the Graduate Profile and curriculum.¹²⁴

Affirmation: *The Panel affirms the refresh of the Graduate Profile and plans to make this a valuable document in practice for students that is useful for students' learning experiences and for their future employability.*

GS 18 Assessment

Assessment is appropriate and effective.

The University had undertaken significant work to review its assessment policy before the COVID-19 pandemic. This work was "intended to move the University toward more consistent adoption of contemporary pedagogical practices in assessment" and introduce a "set of assessment principles to guide a 'whole of programme' approach to the design and implementation of assessment".¹²⁵

As part of its shift to emergency remote teaching as a first response to COVID-19, the University made adjustments and accommodations to assessment (see GS 19). Ranga Auaha Ako developed resources and provided support for changes to assessment. These included research-based advice about assessment design, alignment with learning outcomes, alternative assessment methods and an assessment design checklist based on the University's assessment principles.¹²⁶

Changes to assessment included greater flexibility, more trust, use of online exams, open-book exams, use of *viva voce* for assessment, submission deadline flexibility and changes to aegrotat provisions. The University also engaged with professional accreditation bodies to change assessment tasks away from closed-book traditional exams. For professional accreditation requirements that continued to require exams, the University used online proctoring tools. Expert communities of practice were used to inform fast decision-making. The Panel is impressed by changes to assessment regimes and the attention the University paid to support for students and reflects this in its commendation of the University's response to COVID-19.

The University monitors student perceptions of the appropriateness of assessment in its Learning and Teaching survey, through a Summative Evaluation Tool (SET) and OLE surveys. It recognised that

¹²³ FE 1.7.

¹²⁴ SRR, p. 137.

¹²⁵ SRR, p. 139.

¹²⁶ SRR, p. 141; <https://remoteteaching.auckland.ac.nz/assessments/redesign/> (Accessed 17 August 2022).

student perceptions of assessment were less positive in 2020 than 2019.¹²⁷ However, 85% of students in Semester 2 2020 agreed that “assessments supported the aims of the course”.¹²⁸

COVID-19 has provided an impetus for thinking about assessment being more flexible, equitable and accessible and the Panel supports this direction. Attention to the appropriateness and effectiveness of assessment will be ongoing as the University moves to implement the CFTP, the refreshed Graduate Profile and a digitally supported learning environment. The University has established a group to provide direction for future assessment. Future work will also need to consider how assessment is culturally appropriate and congruent. The University recognises ongoing redesign of assessment will place demands on teacher capability, and professional development is planned to support this work.¹²⁹

Affirmation: *The Panel affirms the further development of assessment to be more flexible, equitable and accessible.*

GS 19 Assessment standards

Assessment and outcome standards are appropriately set and moderated.

The University set out a comprehensive framework of processes and tasks for monitoring assessment standards at course, programme, academic unit, faculty and university levels, with clear responsibilities for each set of processes and tasks.¹³⁰ The Panel also heard of use of external examiners, benchmarking of assessment standards and moderation being undertaken in practice.

A universal adjustment was made to grades in Semester 1 2020.¹³¹ This was not repeated in 2021 but other provisions outlined in GS 18 were available.

The Panel is confident that assessment standards are maintained through robust processes.

GS 20 Academic integrity

Universities promote and ensure academic integrity and demonstrate fairness, equity and consistency in addressing concerns.

The SRR states the University has a positive focus on academic integrity which is seen as “reflective of the University’s shared values”.¹³² Staff and students are both expected to “uphold and model academic integrity”. An Academic Integrity Community of Practice provides advice to the Teaching and Learning Quality Committee on academic integrity and academic misconduct.

¹²⁷ FE 3.1a, p. 9.

¹²⁸ FE 3.2, p. 2.

¹²⁹ SRR, p. 141.

¹³⁰ Table 27, SRR, pp. 142–143.

¹³¹ SD 2, p14.

¹³² SRR, p. 145.

The University's assessment principles include "assessment design and practices support academic integrity".¹³³ The University's approach to academic integrity is set out in its Student Academic Conduct Statute.¹³⁴ This sets out ways in which academic integrity may be breached, categories of breach, processes and mechanisms for investigating breaches, and penalties or sanctions. The Statute underwent an interim review in 2021 to ensure it remained relevant for increased use of online examinations and online proctoring.

Reported instances of academic misconduct increased considerably since the start of the pandemic and, from comment the Panel heard, numbers are likely to be under-reported. However, the Panel stresses that this situation is by no means specific to Waipapa Taumata Rau, University of Auckland; universities worldwide are reporting higher levels of academic misconduct. Consistent with experiences of other universities, the Panel heard concerns about the workload that investigating and following academic misconduct processes were placing on staff. However, the Panel also heard a somewhat narrow view of academic misconduct. It accepts that this view may not be held across the University, nonetheless the Panel suggests that the University take a holistic view that includes awareness of the increasing range of cheating options and technologies, assessment design, assessment security, investigation, penalties and reporting.

The University has identified an enhancement initiative (EI 5) with respect to this guideline statement.¹³⁵ The initiative is to implement recommendations made by an Academic Integrity Working group, progress towards which is already underway, and the University has made a series of changes with respect to how it promotes and ensures academic integrity. These include recognition of workload concerns and the appointment of Academic Integrity Advisors in faculties and the appointment of an Academic Integrity Specialist in the University's Assessment Services Office; redevelopment of the existing academic integrity educative module (which is required to be taken by all students); and a new system for processing and reporting academic misconduct cases. The Panel heard positive comments in response to these steps already in progress and support for further development.

Recommendation: *The Panel **recommends** that, in addressing its enhancement initiative, the University take a holistic approach to academic integrity and includes support for prevention, detection, investigation and reporting.*

¹³³ SRR, p. 140.

¹³⁴ <https://cdn.auckland.ac.nz/assets/auckland/about-us/about-the-university/policy-hub/Student%20Academic%20Conduct%20Statute%20-%20approved%20by%20Council%208.12.21.pdf> (Accessed 17 August 2022).

¹³⁵ SRR, p. 148.

GS 21 Assessment in te reo Māori

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

The University has a Language Plan for the revitalisation of te reo Māori: Te taonga nō tua whakarere, he taonga mo āpōpō.¹³⁶ The plan outlines the University's commitments to becoming "a place where te reo Māori can flourish, where the language is used by everybody, everywhere and every day",¹³⁷ including in assessment. The University has specific procedures for assessing te reo Māori in coursework and examinations. The Panel noted that these appeared to be overdue for review and was provided with a draft of the revision underway, although no significant changes were signalled.

Awareness of the opportunity to and requirements for submitting assessment in te reo Māori varied among the students the Panel met with. The process was perceived as being complex and the Panel agrees with this perception. The Panel did not gain a sense of how demand for assessment in te reo Māori was being monitored across the University. It suggests that, as the number of students entering the University who are fluent in te reo Māori increases, there will be a need to know whether requests to submit assessment in te reo Māori are being met and supported. The University does maintain a database of discipline-specific te reo Māori assessors and postgraduate supervisors and the Panel sees this as good practice.

Recommendation: *The Panel **recommends** that demand for assessment in te reo Māori be monitored centrally.*

¹³⁶ <https://cdn.auckland.ac.nz/assets/auckland/on-campus/life-on-campus/maori-life/revitalising-te-reo-maori/university-of-auckland-te-reo-plan.pdf> (Accessed 19 August 2022).

¹³⁷ AR 21, p22

Section D: Teaching quality

This section of the audit framework focuses on teachers and teaching.

The ‘Enabling our People and Culture’ strategic priority in *Taumata Teitei* includes a priority to “develop a future-ready workforce”.¹³⁸ This priority recognises that other strategic shifts—including the CFTP and greater use of digital learning environments—will affect how the University recruits, develops and recognises teaching, including what it considers excellent teaching.

In 2021, the University employed almost 6,000 FTE staff; 41% of whom were categorised as academic staff. Academic staff FTE have increased by 8.5% since 2016 and professional staff FTE by 4.3%.¹³⁹ Seven per cent of staff FTE in 2021 were Māori and 6% Pacific. Five per cent of professorial FTE were Māori, but the University has not had a Pacific professorial staff member since 2018.¹⁴⁰

Thirty-three per cent of professorial staff were female in 2021,¹⁴¹ which contrasts with 56.8% of the student population who are female.¹⁴²

The University’s academic staff profile has changed since 2016, with an increase in Professional Teaching Fellow and Graduate Teaching Assistant roles and a decrease in Tutor and Senior Tutor roles. In 2021, Professional Teaching Fellows made up 13.7% of academic staff FTE, second only to Senior Lecturers (20.7% academic staff FTE) as the largest group of academic staff.¹⁴³ Casual academic FTE have decreased from 2016, while permanent and fixed-term academic FTE have both increased, although the number of permanent academic FTE did decrease from 2020 to 2021.¹⁴⁴

GS 22 Staff recruitment

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

Recruitment and appointment are shaped by academic unit teaching plans and the University’s strategic initiatives. Teaching plans are three-year rolling plans that set out teaching workloads together with known and planned staffing developments such as research and study leave, and retirement. The Panel was interested in how recruitment was being managed to support the University’s strategic initiatives and heard that funds were available to support strategic staffing decisions. The Panel considers that staff recruitment needs to be aligned with and targeted to achieving the University’s strategic priorities.

¹³⁸ KD 1, p. 8.

¹³⁹ Table 53, App. 6, SRR, pp. 192–193.

¹⁴⁰ Table 57, App. 6, SRR, pp. 196–197.

¹⁴¹ Table 58, App. 6, SRR pp. 200–201.

¹⁴² Table 38, App. 4, SRR, pp. 184–185.

¹⁴³ Table 54, App. 6, SRR, pp. 192–193.

¹⁴⁴ Table 59, App. 6, SRR, pp. 200–201.

Recommendation: *The Panel recommends that, in progressing its strategic priority of a future-ready workforce (and addressing Enhancement Initiative 7), the University review its recruitment policies and practices to ensure these align with and support the strategic direction and the Curriculum Framework Transformation Programme.*

Taumata Teitei, the CFTP and the SSFR all have implications for academic staff capabilities. The Enabling People and Culture Priorities in *Taumata Teitei* include building a high-performing, diverse, inclusive and equitable community and activating te ao Māori values of manaakitanga, whanaungatanga and kaitiakitanga across people and culture practices.¹⁴⁵ The CFTP includes demonstrating “commitment to mātauranga Māori, kaupapa Māori pedagogies and Te Tiriti o Waitangi principles and accountability”.¹⁴⁶ The Panel has already commended the direction set in the CFTP. It notes that responsibilities for responding to Tiriti o Waitangi criterion in programme approval (GS 14) seem to be referred to Māori. It also heard that Māori staff experience high demands to undertake cultural work which could detract from their ability to undertake the teaching, research and service components of their roles.

The SRR provided links to a series of steps in the recruitment and appointment process for new staff. However, the Panel could find little or no information in these links about how the University would respond to the capability challenges and opportunities presented by *Taumata Teitei* and the CFTP. A sample position description viewed by the Panel contained appropriate information on teaching capabilities but little on cultural capabilities.

The Panel appreciates the University recognises the need to appoint more Māori staff and that a Māori strategic staffing strategy is being developed by the Office of the PVC Māori. The Panel heard calls for urgent progress on this strategy and supports those calls. The University does have targets for the proportion of Māori staff holding academic positions. The 2020 target of 7% Māori staff was barely achieved (actual 6.7%). The Panel’s view is that given the strategic shifts sought by the University and the projected composition of the population of both Tāmaki Makaurau and Aotearoa New Zealand, this target percentage may be rather low.

Recommendation: *The Panel recommends that the Māori recruitment strategy be progressed with urgency to support other plans and strategies.*

Taumata Teitei also recognises the place of the University in and its connection to the Pacific, and the CFTP acknowledges that “Pacific knowledges and pedagogies will deepen relational learning and extend skill development ...”.¹⁴⁷ The University’s staffing profile summarised at the start of this section highlights the lack of professorial Pacific staff in the University. This is a significant impediment to being able to provide the leadership that will be needed in the CFTP. The Panel understands that a Pacific staffing strategy is in early stages of development and heard positive comment about the direction it was taking. The Panel recommends that the development of this strategy should examine and address impediments to recruitment and recognition of Pacific staff. The need for urgency also applies to the Pacific staff recruitment strategy.

¹⁴⁵ KD 1, p. 8.

¹⁴⁶ FE 2, p. 6.

¹⁴⁷ FE 2, p. 11.

Recommendation: *The Panel recommends that in progressing its Pacific staff recruitment strategy, the University examine and address impediments to recruitment and recognition of Pacific staff, particularly for appointment or promotion to Professorial level.*

In response to the challenges of being able to recruit Māori staff and Pacific staff, the Panel heard that some parts of the University were exploring bridging programmes to provide pathways and support for postdoctoral students or PhD candidates to become academic staff. The Panel recognises such pathways can contribute to growing numbers of Māori staff and Pacific staff but considers that they should be one part of a full suite of recruitment options.

In making the above recommendations, the Panel also suggests that the University considers whether traditional configurations of academic roles with teaching, research and service components remain adequate to achieve the workforce it requires. If the University is to achieve a way of working that favours its commitment to the principles of Te Tiriti o Waitangi, the Panel wonders if continuing to position contributions and/or responsibilities to Te Tiriti o Waitangi in the service component of an academic role remains appropriate.¹⁴⁸

The third major challenge and opportunity facing the University in staff recruitment is the need for staff who can support the digital dimensions of teaching and learning, and the development of flexible, equitable and accessible assessment (GS 18). Staff recruitment should also reflect these imperatives.

GS 23 Induction and ongoing expectations

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

The University holds orientation sessions for new staff throughout the year.¹⁴⁹ Academic staff are encouraged to enrol in a semester-long Teaching Catalyst programme and those new to tertiary teaching are required to do so. The University comments that it is aware that induction processes can sometimes be overlooked for experienced staff or staff from non-university backgrounds. The Panel heard positive comment about the Teaching Catalyst programme but also heard of challenges accessing induction programmes over the period affected by the COVID-19 pandemic, including challenges faced by new staff not on the main Auckland campus. Lower numbers of enrolments and completions in the Teaching Catalyst programme support this view. The Panel also heard of

¹⁴⁸ <https://cdn.auckland.ac.nz/assets/central/about/the-university/how-the-university-works/policy-and-administration/Human%20Resources/Academic%20Standards%20for%20Research%20Fellows%20Senior%20Research%20Fellows%20Lecturers%20Senior%20Lecturers%20Associate%20Professors%20and%20Professors.pdf> (Accessed 18 August 2022).

¹⁴⁹ SRR, p. 152.

examples to the contrary, where staff who had held multiple contracts were required to participate in induction on multiple occasions.

Other induction support for new staff came from colleagues, Heads of School, and mentoring and buddy programmes. However, the Panel did not gain a sense that these were systematically planned, monitored and reviewed. It heard that new staff, appreciating the load that COVID-19 had placed on everyone, were reluctant to ask for assistance.

Recommendation: *The Panel **recommends** the University review induction processes so that access to induction programmes is equitable, that induction programmes are taken by those they are intended for, and that programmes are regularly monitored and reviewed with reviews leading to enhancement.*

Having explored the challenges and opportunities to recruit Māori staff and Pacific staff, the Panel was interested in the induction experiences and ongoing expectations for these groups of staff. It was also interested in how the University would address expectations of cultural competency for all teaching staff.¹⁵⁰ The Panel was not able to find evidence of specific induction programmes for Māori staff or for Pacific staff but did hear positive comments about peer networks that provided support.

Recommendation: *The Panel **recommends** the University ensure that induction programmes provide for the specific needs of new Māori staff and new Pacific staff.*

Development of cultural competency for all staff does not seem to be part of induction programmes. However, Te Taumata Ngaio programme, led by the Office of the PVC Māori, provides ongoing professional development opportunities for staff to gain foundational understanding of *Taumata Teitei*, te ao Māori principles, Te Tiriti o Waitangi and biculturalism and te reo Māori pronunciation. Staff are also encouraged to use Te Kūaha app. The University has a goal of having 50% of permanent or fixed term staff engage with Te Taumata Ngaio initiative by 2025.¹⁵¹

Commendation: *The Panel **commends** Te Taumata Ngaio initiative and its participation goal.*

Other ongoing expectations are set out in the Academic Standards Policy.¹⁵² The University has identified an enhancement initiative (EI 7) to review this policy by the end of 2022 and has classified this as a large-scale, high-priority initiative.¹⁵³ The Panel agrees with this assessment.

Affirmation: *The Panel **affirms** the University's enhancement initiative to review its Academic Standards Policy.*

¹⁵⁰ KD 1, p. 10.

¹⁵¹ SRR, p. 155.

¹⁵² <https://www.auckland.ac.nz/en/about-us/about-the-university/policy-hub/people-culture/academic-processes-standards/academic-standards/senior-research-fellows-lecturers-associate-professors.html> (Accessed 2 November 2022.)

¹⁵³ SRR, p. 177.

GS 24 Teaching development

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

Support for teaching development is provided by the Organisational Development team in Human Resources, Ranga Auaha Ako and staff located in faculties.

Teaching development at Waipapa Taumata Rau, University of Auckland is guided by the TeachWell@UoA Framework. TeachWell@UoA was developed by a working group of Associate Deans (Learning and Teaching) and teaching excellence award winners. It is underpinned by Te Tiriti o Waitangi, recognising that “teaching well needs to incorporate the use of contexts and content that affirm the knowledge, language, identity, and culture of Māori” and sets out core competencies for teaching and learning at both baseline and extended levels.¹⁵⁴ The Panel notes the University’s enhancement initiative (EI 6) to refine the TeachWell@UoA Framework “to give prominence to mātauranga Māori and Pacific knowledges ...”.¹⁵⁵

Formal programmes for developing teaching capability are also available through the Postgraduate Certificate and Master of Higher Education qualifications. Other opportunities include access to the JISC Discovery Tool¹⁵⁶ and work is underway to contextualise modules from the University of Sydney’s Professional Learning Framework.¹⁵⁷ Funding to support teaching innovation is provided through Learning Enhancement grants and some faculties also provide grants.¹⁵⁸ Options for continuing to provide internal fellowships and grants for teaching innovation are being discussed.¹⁵⁹

The Panel was impressed by the development of and engagement with communities of practice and communities of interest to support teaching development. It heard frequent mention of these as being engaging and useful.

Considerable teaching development has had to occur with the pivot to online teaching, and further teaching development is associated with *Taumata Teitei* and the CFTP. The University recognises teaching capability development as an “acute issue” and projects to date have identified requirements for development to support active learning, assessment, digital tools and engagement, and embedding academic integrity in the curriculum.¹⁶⁰ The Panel was pleased to hear about the design of specific material and resources to support the CFTP, particularly the Pūtoi Ako workstream.

Further teaching development in learning design and assessment will need to be supported as the University implements the CFTP and greater use of digital learning environments. The lessons learnt

¹⁵⁴ SRR, p. 153; SD 73.

¹⁵⁵ SRR, p. 153.

¹⁵⁶ <https://digitalcapability.jisc.ac.uk/our-service/discovery-tool/> (Accessed 19 August 2022).

¹⁵⁷ SRR, pp. 153–154.

¹⁵⁸ SRR, p. 155.

¹⁵⁹ SRR, p. 154.

¹⁶⁰ SRR, p. 153.

from the COVID-19 experience about greater creativity and flexibility will be useful contributors to this further work.

GS 25 Teaching quality

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

The use of SET data and other student survey feedback was discussed in GS 2, GS 16 and GS 18. The University presented data that showed, except for a drop in 2020 and another smaller drop in 2017, student perceptions of the quality of the teaching they experience has remained fairly constant, with 72% of students agreeing with the statement “the overall teaching in my programme is excellent”. There are differences between student cohorts, with postgraduate coursework master’s students having higher percentages of agreement with this statement and lower percentage agreement found among second year and higher undergraduate students.¹⁶¹ The University is developing more granular reports with opportunities for more detailed analysis as part of its strategic management reporting and use of data dashboards (see GS 1). The Panel was able to view examples of these more detailed reports which showed that offshore students had a slightly higher percentage agreement that teaching in their programme was excellent than did onshore students in 2021.

SET and other data inform reflections on teaching practice. Reflection may also utilise formative student feedback gathered during a course (rather than at the end of a course as is the case for SET and OLE feedback), peer review or other observation of teaching practice, and other scholarly activities.¹⁶²

Formal review of teaching performance, which utilises SET and other data, occurs through an annual Academic Development and Performance Review (ADPR). ADPRs are undertaken by Academic Heads for all permanent and fixed term academic staff members and Academic Heads are encouraged to use the TeachWell@UoA framework.¹⁶³ Shortfalls in teaching performance are addressed initially from a development and support perspective, and then through HR performance management processes for continued poor performance.

The University has indicated it will review policies and processes related to teaching quality (EI 7). This enhancement initiative will include reviewing the Academic Standards Policy (see GS 23), examining evidence of teaching quality (including SET) and investigating refinements to HR processes to ensure that teaching capability development and teaching quality are integral to these processes. This EI should also help address recommendations made with respect to GS 22. In progressing this enhancement initiative, the Panel encourages the University to ensure that Māori leadership and Pacific voices are embedded in and supported to contribute to this work. In particular, this should reflect what it means to be an academic in Aotearoa New Zealand in the twenty-first century in a university that has developed taumata for its curriculum framework.

¹⁶¹ Table 28, SRR, pp. 158–159.

¹⁶² SRR, p. 156.

¹⁶³ SRR, p. 156.

GS 26 Teaching recognition

High-quality teaching is recognised and rewarded.

Recognition of high-quality teaching occurs in promotions and teaching excellence awards processes. Promotion processes and requirements are set out in the Academic Standards Policy, which is signalled for review.¹⁶⁴ The policy sets out teaching achievements to be demonstrated for promotion to different levels and takes account of disciplinary differences. As the University seeks to include more trans disciplinaryity in its teaching, expectations for transdisciplinary and collaborative teaching¹⁶⁵ may also need to be considered.

The Academic Standards Policy does state that standards “must address the University’s equity and Treaty of Waitangi obligations”. The Panel recognises that these are both important but encourages the University to address them separately in its review of this policy. Issues the Panel heard in relation to recognition of teaching included whether cultural contributions were appropriately recognised and whether all staff were addressing Te Tiriti o Waitangi responsibilities in their teaching.

Teaching excellence awards are made at faculty and university level. Waipapa Taumata Rau, University of Auckland staff have received 35 national teaching awards, including four Prime Minister’s Supreme Awards since 2011.¹⁶⁶ Teaching Excellence awardees are expected to share their expertise and winning portfolios are published on the University website. Recipients of teaching innovation grants are also profiled on the University website.¹⁶⁷

The Panel learned of faculty initiatives that give greater weight to student voice or teaching teams in recognising good teaching. As these progress, the Panel suggests the University also considers whether more independent, student-led or peer-led approaches to nomination might offer ways for people who might not nominate themselves to be recognised so that the process is more inclusive.

Recommendation: *The Panel **recommends** the University review whether its nomination processes for teaching excellence awards are inclusive and supportive of those who may not nominate themselves.*

¹⁶⁴ <https://www.auckland.ac.nz/en/about-us/about-the-university/policy-hub/people-culture/academic-processes-standards/academic-standards/senior-research-fellows-lecturers-associate-professors.html> (Accessed 2 November 2022.)

¹⁶⁵ KD1, p. 2.

¹⁶⁶ SRR, p. 160.

¹⁶⁷ <https://clearalumni.blogs.auckland.ac.nz/clear-fellows/#:~:text=The%20Clear%20Fellowships%20Programme%20provides,related%20to%20an%20annual%20theme.> (Accessed 19 August 2022).

Section E: Supervision of postgraduate research students

Undertaking research is a defining characteristic of Aotearoa New Zealand universities. Postgraduate research students are therefore specifically considered in this section of the academic audit framework. The University defines research students as doctoral students and sub-doctoral students who have a research component of at least 30 points in their programme.¹⁶⁸

Waipapa Taumata Rau, University of Auckland has a goal to grow its postgraduate research programme and “further rebalance its student composition towards postgraduate study”.¹⁶⁹

New doctoral student enrolments declined from 630 in 2016 to 601 in 2018 before increasing to 647 in 2019 and then (not surprisingly) dropping to 536 in 2020.¹⁷⁰ In 2020, 53% of the total PhD cohort were female, 1% of new PhD students were gender diverse.¹⁷¹ Part of the University’s response to COVID-19 has been for doctoral students to commence study while still offshore. Over the 2016 – 2020 period, successful doctoral completions increased from 363 in 2016 to 471 in 2020. Average time to completion has remained stable at 4.4 – 4.5 years but decreased slightly in 2020 to 4.3 years.¹⁷²

Research degree completions are reported on a different basis in the Annual Report with a single metric for all research degree completions. Completions for all research degrees recovered slightly in 2021 to 1,283 against 1,122 in 2020. Just over two-thirds (67.3) of total PhD completions were from three Faculties – Science (29.8%), Engineering (19.1%) and Medical and Health Sciences (18.4%).¹⁷³

Enrolments in sub-doctoral programmes have fluctuated slightly from 2016 and were 1,203 students (headcount) in 2021. 817 EFTS were enrolled in master’s research in 2021.¹⁷⁴

In 2020, 5% of new doctoral students were Māori, against 4% of the total cohort. Two percent of new doctoral students in 2020 were Pacific, against 3% of the total cohort. Although the percentage of new doctoral students who are Māori increased in 2020, this needs to be seen against a backdrop of a 10% decrease in the percentage of new enrolments from international students.¹⁷⁵ The percentage of Māori students and Pacific students in sub-doctoral research programmes is slightly higher than for doctoral programmes with Māori students and Pacific students each accounting for 6% of sub-doctoral enrolments.¹⁷⁶ The Panel recommends that the University’s whole-of-university focus on access, outcomes and opportunities for Māori students (led by the PVC Māori), and a whole-of-university focus on access, outcomes and opportunities for Pacific students (led by the PVC Pacific) should extend to doctoral and sub-doctoral research students.

¹⁶⁸ SRR, p. 162.

¹⁶⁹ SRR, p. 162.

¹⁷⁰ Table 62, App. 12, SRR, p. 210.

¹⁷¹ Table 63, App. 12, SRR, p. 210.

¹⁷² Table 64, App. 12, SRR, p. 210.

¹⁷³ SD 10; AR 21. p. 60.

¹⁷⁴ Table 30, SRR, p. 163.

¹⁷⁵ Table 63, App. 12, SRR, p. 210.

¹⁷⁶ Table 29, SRR, p. 163; FE D.

Since its Cycle 5 academic audit in 2014, the University has reviewed the service delivery model for doctoral programmes, the PhD Statute, policies and delegations and staffing for the School of Graduate Studies. The University has implemented a candidate management system—Wahapū—(accessible by both candidates and supervisors) and is currently examining processes and oversight models for sub-doctoral students.¹⁷⁷

The School of Graduate Studies is responsible for strategy implementation, policies and procedures for doctoral students. It facilitates training and advice for both staff and students, manages processes from admission to examination and oversees the doctoral experience for students. The doctoral programme and provision and reviews of services for doctoral students are overseen by the Board of Graduate Studies (BoGS).¹⁷⁸

BoGS has two student members and receives a report from the Postgraduate Students' Association as a standing agenda item.¹⁷⁹ Postgraduate research student voices are also sought through surveys and Postgraduate Student-Staff Consultative Committees in (some) faculties. The University runs a doctoral exit survey, and a doctoral experience survey is planned. The University has identified improving feedback from sub-doctoral students as an enhancement initiative (EI 9) and the Panel endorses this initiative to close a gap in feedback from this cohort of students.¹⁸⁰

GS 27 Supervision quality

The quality of postgraduate research supervision is ensured.

Doctoral supervisors are appointed by the BoGS. Each candidate has a main supervisor and one or more co-supervisors; or two joint supervisors.¹⁸¹ Doctoral supervisors must be research-active and accredited as a supervisor by the University. To be accredited, supervisors must attend policy and procedures training as least every five years and accreditation status is managed within Wahapū. The Panel sees this as good practice.

Supervision quality for sub-doctoral programmes is monitored in faculties. An initial review has identified opportunities to create a consistent set of processes (including for monitoring the quality of supervision) across faculties.¹⁸² The Panel endorses the direction of this work.

Overall, student feedback indicates that most doctoral students are very satisfied with the quality of supervision they receive with 92% being reported as satisfied.¹⁸³ The Panel also heard positive comment about the quality of supervision experienced. The doctoral exit survey examines

¹⁷⁷ SRR, p. 166.

¹⁷⁸ SRR, p. 164.

¹⁷⁹ SRR, p. 164.

¹⁸⁰ SRR, p. 167.

¹⁸¹ SRR, p. 167.

¹⁸² SRR, p. 166.

¹⁸³ FE 16, p. 1.

differences between faculties and explores themes in satisfaction through analysis of qualitative comments.

The Panel also explored provisions for addressing lack of satisfaction or problems with supervision. It heard that supervisors did, on rare occasions, have their accreditation removed. Students are encouraged to seek to resolve issues with supervision by speaking with graduate advisors in their academic units or with their Academic Heads. Other avenues exist, including with the School of Graduate Studies. However, the Panel is conscious that research communities for doctoral students can be small, with many inter-relationships between supervisors and other members of research teams, making it difficult for students to raise issues without concerns of future implications for both their study and future career. Resolution of issues can also be time-consuming, and the Panel did hear of challenges in resolving supervision issues.

Recommendation: *The Panel **recommends** the University examine whether the processes for addressing issues with doctoral and sub-doctoral supervision are sufficiently accessible, transparent, timely, effective and afford appropriate protection for both students and supervisors. The University should engage students early in this process and support their contribution.*

The School of Graduate Studies also facilitates supervisor development and sessions offered in 2021 were well attended. Participant feedback on these sessions was also positive.¹⁸⁴ A University Researcher Skills and Development framework is under development¹⁸⁵ and will include good supervision practice. The Panel anticipates this work will align with the review of the Academic Standards Policy (GS 25) and the associated work signalled in Enhancement Initiative 7.

The Panel explored whether cultural competency was part of supervisor training or accreditation requirements. It learned that it was not at this stage but was anticipated to be. If the University wishes to increase enrolments of postgraduate research students (doctoral and sub-doctoral) who are Māori or who are Pacific and to ensure the experience of those students is culturally safe and supported, it recommends that cultural competency and safety training be included in supervisor development programmes and accreditation requirements.

Recommendation: *The Panel **recommends** the University include cultural competency and safety in its supervisor development programme and requirements for supervisor accreditation.*

¹⁸⁴ FE 16.

¹⁸⁵ SRR, p. 167.

GS 28 Resourcing of postgraduate research students

Postgraduate research students are appropriately resourced and supported to undertake their research.

Resourcing and support for postgraduate research students includes scholarships, access to some employment roles, operational funding for research, access to facilities and equipment, information provision and advice, and professional development and networking opportunities. Resourcing and support are provided both centrally and in faculties. Differences exist in the support available for doctoral and sub-doctoral students and between faculties. The Panel anticipates that progress on Enhancement Initiative 8 will examine support for sub-doctoral students in faculties.¹⁸⁶

Satisfaction with resources is monitored in the Doctoral Exit Survey, which also examines inter-faculty differences.¹⁸⁷ Satisfaction with support for doctoral students was lower than the level for supervision but still reasonably high. However, the Panel did hear a different view from postgraduate research students who had experienced difficulties and inconsistencies in accessing equipment and other support. This reinforces the need for systematic approaches to supporting postgraduate research students. Consistent with its recommendation in GS 2, the Panel recommends the University ensure doctoral students are aware of how the University is responding to student voices in the doctoral exit survey.

While the site visit was in progress, the University announced an increase to its level of doctoral stipend, which will be CPI-adjusted over the period of the scholarship. The University also announced an increase in the number of scholarships to be offered. The Panel sees these announcements as positive and suggests the University keep this matter under review to ensure the stipend provides sufficient support for students. It also suggests the University take a holistic approach to financial support so that stipend and employment requirements (for example, Graduate Teaching Assistantships (GTA)) do not conflict with one another. Three-quarters of doctoral students working part-time worked as GTAs.¹⁸⁸

The Doctoral Exit Survey identifies career advice as an area with lower levels of satisfaction among doctoral students. The Panel thinks that career advice is being given serious consideration by the University. It heard the University recognises that not all (possibly a minority of) doctoral candidates would pursue an academic career, and career advice and development needs to support a range of career options. The University has developed a Doctoral Development Framework to support career development and the Panel thinks this looks like a good tool.¹⁸⁹ However, awareness of the Framework was low among the students the Panel met with and the University does not ask about the Framework in the Doctoral Exit Survey.

¹⁸⁶ SRR, p. 166.

¹⁸⁷ FE 3.6.

¹⁸⁸ FE 3.6, p. 24.

¹⁸⁹¹⁸⁹ <https://www.auckland.ac.nz/en/students/academic-information/postgraduate-students/doctoral/doctoral-opportunities/doctoral-development-framework.html> (Accessed 2 November 2022.)

Low awareness of the Doctoral Development Framework could be part of an information gap that may exist for doctoral students. COVID-19 has placed great demands on communicating clearly with different groups. Doctoral students sometimes require the same information as staff (for example, access to research equipment over lockdowns) and sometimes need the same information as other students. Most importantly, doctoral students require information specific to their needs. This includes 'push' information such as emails as well as information available on websites.

The University provided additional COVID-19 support for doctoral and other postgraduate research students in 2020 and 2021. This included a hardship fund, a three-month fee waiver for students enrolled as of 1 March 2020 and a pre-visa scheme to allow students to start study offshore.

GS 29 Postgraduate research student progress

Student progress and achievement is monitored and supported through consistent and clear academic advice, and guidance for students on completion of requirements.

Support for progress begins with advice on admission and finding a supervisor. The University has a 'FindaThesis' database, University and postgraduate prospectuses and University and Faculty advice.¹⁹⁰ The University is updating its doctoral application system and will seek efficiencies and an improved decision-making timeframe as part of this Enhancement Initiative (EI 10).¹⁹¹

New doctoral candidates should attend an induction with the School of Graduate Studies. The Panel heard mixed experiences of inductions and being welcomed to academic units. This did not seem to be addressed in the Doctoral Exit Survey and the Panel anticipates it may be a matter for the planned Doctoral Experience Survey.

In addition to the induction, doctoral students have a list of requirements to complete in their provisional year (academic integrity, DELNA screening, health and safety needs assessment, ethics approval, training and development plan, an oral presentation, a substantial piece of written work and a full thesis proposal). These requirements are managed in Wahapū (although Wahapū has been rolled out in phases) and a checklist is also available on the University website.¹⁹² The full thesis proposal must be approved by the Confirmation Review Committee.¹⁹³

Once confirmed, doctoral student progress is monitored in an annual continuation report. The annual continuation report is accompanied by a supervisor continuation report which makes a recommendation on continuation. The BoGS considers continuation reports and determines the outcome of the continuation review. The outcome of the review may include specific milestones to help inform future continuation assessments.

¹⁹⁰ SRR, p. 168.

¹⁹¹ SRR, p. 169.

¹⁹² <https://www.auckland.ac.nz/en/students/academic-information/postgraduate-students/doctoral/information-for-new-doctoral-candidates/checklist.html> (Accessed 20 August 2022).

¹⁹³ SRR, p. 170.

The Panel considers these processes to be robust and encourages the University to complete the roll-out of Wahapū. It suggests, however, that there may be opportunities for some within-year monitoring as a year can be a long time if issues do arise.

Progress for sub-doctoral research students is monitored in Faculties with six-monthly progress reported required. The ongoing appropriateness and adequacy of these processes will be considered in Enhancement Initiative 8.¹⁹⁴

GS 30 Thesis examination

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

The University's requirements and procedures for examination of doctoral theses are set out on the PhD Statute and supporting procedures.¹⁹⁵ Criteria for examiners, processes for nominating and approving examiners, including ensuring no conflicts of interest exist, are addressed. The requirements have been recently reviewed (October 2021) and the Panel found them to be comprehensive and consistent with international good practice.

COVID-19 has again prompted student-centric changes to thesis examination processes, with Doctoral Oral Examinations being able to be held via video conference. The Panel is pleased to hear these provisions would continue to be available.

Examination of sub-doctoral research is governed by requirements that are reviewed annually. These will also be addressed in Enhancement Initiative 8.

Affirmation: *The Panel **affirms** the University's Enhancement Initiative to review and make improvements to processes and support for sub-doctoral research.*

¹⁹⁴ SRR, p. 166.

¹⁹⁵ <https://www.auckland.ac.nz/en/about-us/about-the-university/policy-hub/research-innovation/doctoral-study/examination/doctoral-appointment-examiners.html> (Accessed 21 August 2022).

Conclusion

The concluding section of this report first provides an assessment of the underpinning and scope components of the audit framework before summarising the commendations, affirmations and recommendations the Panel has made.

Underpinning and scope components of the audit framework

In addressing the guidelines statements in the Cycle 6 Academic Audit Framework, universities are expected to reflect:

- University obligations under Te Tiriti o Waitangi
- the close interdependence of university research and teaching
- universities' role as critic and conscience of society.¹⁹⁶

The audit framework 'obligations' language in reference to Te Tiriti o Waitangi is now a little dated. The University refers to its 'responsibilities' and 'commitments', as well as 'obligations both in its SRR and in strategic documents. The Panel was pleased to see the PVC Māori having a role as co-sponsor of major University initiatives.

Overall, the Panel considered the University was endeavouring to make positive change towards meeting the needs of Māori students and Māori staff. However, the Panel heard some disconnection between strategic priorities and initiatives and the experiences of Māori staff and Māori students. The Panel has made recommendations where it considers further attention would lead to improvement.

The interdependence of research and teaching at the University was clearly evident in *Taumata Teitei*, in the CFTP and in the refreshed Graduate Profile. The University also drew attention to the interdependence of research and teaching in GS 22 and GS 23.

That the University has been giving effect to its role as critic and conscience of society has been evident over the COVID-19 period. The Panel heard that some staff, particularly early career staff, found it challenging to develop this contribution and to understand how it would be recognised by the University. The Panel understands the University is developing guidance on matters to do with academic freedom and suggests there may also be an opportunity to encourage and support early career staff, in particular, to contribute to the university's role as critic and conscience of society.

The Cycle 6 Academic Audit Framework also has three scope statements that ask the University to consider all students, all delivery and all staff who undertake or support teaching or supervision. Evidence provided by the University reflected the diversity of its staff and student profiles and allowed all students and all staff to be considered. The Panel paid particular attention to Māori students and Pacific students, consistent with the University's identification of Māori students and Pacific students as priority cohorts. COVID-19 has required the University to pay attention to academic quality across different modes of delivery and the Panel saw evidence that the University

¹⁹⁶ Guide to Cycle 6 Academic Audit, p. 11.

was paying attention to students studying online and offshore, as well as those who were on campus.

Enhancement initiatives

Identification of enhancement initiatives is an important component of the self-review process as the University assesses whether it meets the guideline statements in the Cycle 6 Academic Audit Framework. The University identified ten enhancement initiatives. The Panel has commented on and endorsed the direction of all the University's enhancement initiatives. It has made recommendations with respect to two enhancement initiatives and an affirmation with respect to another.

Summary of commendations, affirmations and recommendations

The Panel considers the University does meet, and in a number of instances exceeds, the outcomes and standards a university of good international standing would be expected to demonstrate. It therefore meets the expectations of the Cycle 6 Academic Audit Framework. Commendations of good practice, affirmations of work underway and recommendations of matters for the University to consider are summarised below. The pattern of commendations, affirmations and recommendations reflect the strategic work underway at the University. The Panel has made recommendations that encourage further good practice and are intended to assist the University as it progresses its own strategic direction.

Commendations

In an academic audit, commendations refer to examples of exceptionally good practice or to examples of innovative practice that should produce positive impacts on teaching, learning and student experience. The Panel has made the following commendations:

Introduction	C1	The Panel commends the University, its staff and students for their response to COVID-19.
GS 1	C2	The Panel commends the University's significant investment in comprehensive data collection and the development and well-received roll-out of data dashboards to support decision-making.
GS 5	C3	The Panel commends the University for how risk management and business continuity frameworks and processes enabled an effective response to COVID-19.
GS 12	C4	The Panel commends the University for its comprehensive range of learning support services and for the way these services also pivoted to online to remain accessible to students over COVID-19.
GS 13	C5	The Panel commends the University for its integrated and enhancement-oriented approach to the Education (Pastoral Care of Tertiary and international Learners) Code of Practice.

Section C	C6	The Panel commends the vision and the intentions around the learning experience that has so far been captured in the Curriculum Framework Transformation Programme.
GS 15	C7	The Panel commends the annual Academic Quality Review process as a good practice model of data-informed quality enhancement.
GS 23	C8	The Panel commends Te Taumata Ngaio initiative and its participation goal.

Affirmations

Affirmations refer to initiatives planned or underway that are likely to have a positive impact but are at an early stage and data is not yet available to assess impact. The Panel has made affirmations in the following areas:

GS 2	A1	The Panel affirms the University's Enhancement Initiative to develop, with students, a Student Voice Framework.
GS 3	A2	The Panel affirms the development of the University's learning management system to support more engaged learning and changing assessment modalities.
GS 10	A3	The Panel affirms the development of the centralised course advising model and the development of metrics for monitoring the performance of this system.
GS 12	A4	The Panel affirms the development of the Service Delivery Model for student services and the greater use of analytics to identify students who would benefit from support and the tailoring of that support.
GS 14	A5	The Panel affirms the establishment of roles to support programme management and embedding of learning design with programme development.
GS 15	A6	The Panel affirms the development of a University-wide online system for end-of-course review that will support continuous enhancement.
GS 17	A7	The Panel affirms the refresh of the Graduate Profile and plans to make this a valuable document in practice for students that is useful for students' learning experiences and for their future employability.
GS 18	A8	The Panel affirms the further development of assessment to be more flexible, equitable and accessible.
GS 23	A9	The Panel affirms the University's enhancement initiative to review its Academic Standards Policy.
GS 30	A10	The Panel affirms the University's Enhancement Initiative to review and make Improvements to sub-doctoral processes and support.

Recommendations

Recommendations refer to areas where the Panel considers the University would benefit from making some improvements or changes. Recommendations alert the University to what the Panel needs to be addressed, not how this should be done. The Panel has made the following recommendations:

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| GS1 | R1 | The Panel recommends that Te Tiriti o Waitangi implications be included in terms of reference for all reviews, including reviews of policies and procedures. |
| GS 2 | R2 | The Panel recommends that the University—in developing its Student Voice Framework—undertake further work on training, recognising and managing the impact on students as they contribute to university initiatives and decision-making, and ensuring information about how the University has responded to student feedback is clearly available. |
| GS 6 | R3 | The Panel recommends the University maintain a whole-of-university focus on access, outcomes and opportunities for Māori students, led by the PVC Māori. |
| GS 7 | R4 | The Panel recommends the University maintain a whole-of-university focus on access, outcomes and opportunities for Pacific students, led by the PVC Pacific. |
| GS 20 | R5 | The Panel recommends that, in addressing its enhancement initiative, the University take a holistic approach to academic integrity and includes support for prevention, detection, investigation and reporting. |
| GS 21 | R6 | The Panel recommends that demand for assessment in te reo Māori be monitored centrally. |
| GS22 | R7 | The Panel recommends that, in progressing its strategic priority of a future-ready workforce (and addressing Enhancement Initiative 7), the University review its recruitment policies and practices to ensure these align with and support the strategic direction and the Curriculum Framework Transformation Programme. |
| GS 22 | R8 | The Panel recommends that the Māori recruitment strategy be progressed with urgency to support other plans and strategies. |
| GS 22 | R9 | Recommendation: The Panel recommends that in progressing its Pacific staff recruitment strategy, the University examine and address impediments to recruitment and recognition of Pacific staff, particularly for appointment or promotion to Professorial level. |
| GS 23 | R10 | The Panel recommends the University review induction processes so that access to induction programmes is equitable, that induction programmes are taken by those they are intended for, and that programmes are regularly monitored and reviewed with reviews leading to enhancement. |

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| GS 23 | R11 | The Panel recommends the University ensure that induction programmes provide for the specific needs of new Māori staff and new Pacific staff. |
| GS 26 | R12 | The Panel recommends the University review whether its nomination processes for teaching excellence awards are inclusive and supportive of those who may not nominate themselves. |
| GS 27 | R13 | The Panel recommends the University examine whether the processes for addressing issues with doctoral and sub-doctoral supervision are sufficiently accessible, transparent, timely, effective and afford appropriate protection for both students and supervisors. The University should engage students early in this process and support their contribution. |
| GS 27 | R14 | The Panel recommends the University include cultural competency and safety in its supervisor development programme and requirements for supervisor accreditation. |

Follow-up Report

The Panel invites Waipapa Taumata Rau, University of Auckland to provide a follow-up report one year after the release of this report. The report should address progress with respect to both affirmations and recommendations. Once it has been accepted by the AQA Board, the University's follow-up report should be made publicly available.

Members of the Audit Panel

Professor David Crabbe <i>Chair of the Panel</i>	Te Herenga Waka, Victoria University of Wellington (retired)
Associate Professor Meegan Hall	Te Herenga Waka, Victoria University of Wellington
Dr Tasileta Teevale	University of Otago, Te Whare Wānanga o Ōtākou
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Acknowledgements

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Thanks also to Sharon Cuzens for proofreading the report.

The translation of the Executive summary into te reo Māori was undertaken by Ōkupu.¹⁹⁷

¹⁹⁷ <https://www.okupu.co.nz/>

Appendix 1: The Academic Quality Agency for New Zealand Universities

The Academic Quality Agency for New Zealand Universities, Te Poukapū Kōunga Mātauranga mō ngā Whare Wānanga o Aotearoa (AQA) is an operationally independent entity established by the New Zealand Vice-Chancellors' Committee in 1994. Its purpose is to contribute to the advancement of New Zealand university education by:

- engaging as a leader and advocate in the development of academic quality
- applying quality assurance and quality enhancement processes that assist universities in improving student engagement, academic experience and learning outcomes
- supporting confidence in the academic quality of New Zealand universities.¹⁹⁸

AQA helps support universities to achieve standards of excellence in research and teaching by conducting institutional audits of the processes in universities which underpin academic quality and by identifying and disseminating information on good practice in developing and maintaining quality in higher education. Activities include a quarterly newsletter and regular meetings on quality enhancement topics.

AQA interacts with other educational bodies within New Zealand and with similar academic quality assurance agencies internationally. The Agency is a full member of the Asia-Pacific Quality Network (APQN), and of the International Network for Quality Assurance Agencies in Higher Education (INQAAHE). AQA was assessed in 2020 as being aligned with the INQAAHE Guidelines of Good Practice in Quality Assurance. This recognition of alignment is current until November 2025.

Further information is available from the AQA website: www.aqa.ac.nz.

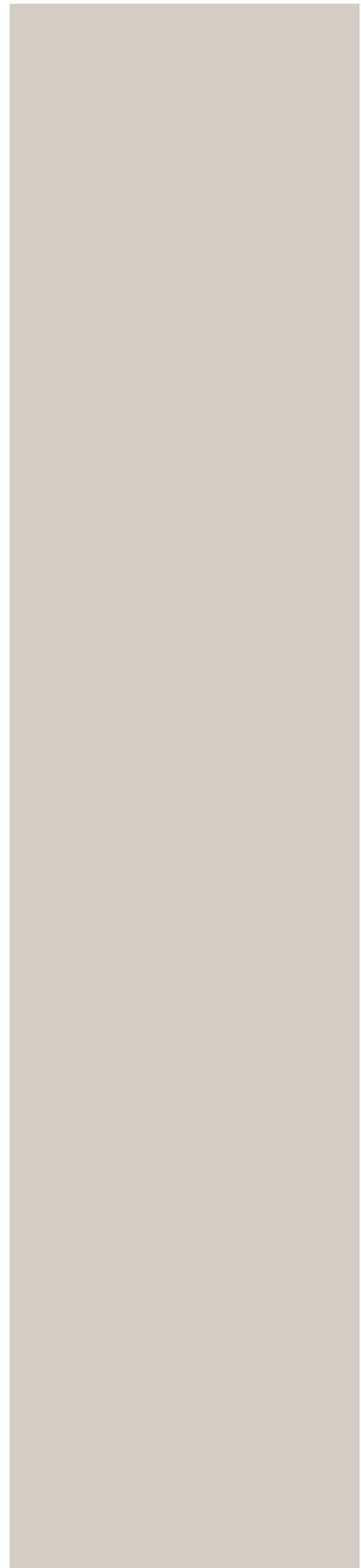
Quality assurance principles

AQA and CUAP have jointly agreed principles that underpin quality assurance. These are that quality assurance acknowledges the principles of Te Tiriti o Waitangi and is:

- developed by the universities
- evidence-based
- enhancement-led
- founded on self-review
- assured by peer review
- collective and collegial
- individually binding
- internationally benchmarked
- independently operated
- publicly accountable
- in partnership with students.

¹⁹⁸ AQA (2020), Constitution. Available at <https://www.aqa.ac.nz/sites/all/files/AQA%20Constitution%20Amended%20Oct%202020.pdf>. (Accessed 23 February 2022).





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