

Quality Enhancement and Assurance

Framework for Learning and Teaching Quality Enhancement and Assurance at the University of Auckland

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INTRODUCTION

APPLICATION

This framework applies to all staff members and students of the University.

PURPOSE

This framework provides an overview of the University's structures and processes to support learning and teaching quality enhancement and assurance.

BACKGROUND

Internal quality assurance and enhancement activities must validate the University's progress towards its mission to be a research-led, international university, recognised for excellence in learning and teaching. This framework sets out the main features of the learning and teaching and quality assurance structures, processes and activities at the University of Auckland.

This framework should be read alongside the Framework for Planning and Annual Cycle of Planning and Reporting, which describes in detail the coordinated planning and reporting framework within which the University sets and achieves its strategic objectives and satisfies internal and external accountabilities. Academic quality assurance is an integral part of the planning, reporting analysis and use of information described in the Planning and Accountability Framework. This document should also be read alongside the [University's Graduate Profiles](#).

Responsibility for the assurance and enhancement of learning and teaching quality rests with every member of staff involved in teaching delivery. Students, in partnership with teaching staff, are responsible for their learning and for providing constructive feedback on teaching and courses. Responsibility for the oversight of learning and teaching quality is distributed throughout the University, through Course Directors and Coordinators, Academic Heads, Faculty Deans and Associate Deans with responsibility for learning and teaching, the Dean of Graduate Studies; and ultimately the Deputy Vice-Chancellor (Academic), reporting to the Vice-Chancellor and the University Council.

The Quality Assurance and Enhancement Framework and the quality cycle

Throughout the Framework the description of the University's processes for learning and teaching will address the elements of the PIRI cycle, or how the University plans, implements, reviews and improves its learning, teaching and student services.

The Quality Enhancement and Assurance Framework is updated every two years by the Academic Quality Office. The currency of the framework is the responsibility of the Deputy Vice-Chancellor (Academic).

Section one: planning and reporting for learning and teaching and quality assurance

Note: see also the Framework for Planning and Annual Cycle of Planning and Reporting at the University of Auckland

Long-term timeframe

Long-term planning for learning and teaching is done within the context of the University's [Strategic Plan](#) - which sets out objectives for the University over a ten-year period - and the the Long-term Academic and Capital Plan. The Long-term Academic and Capital Plan draws on faculty three-year plans, and together with an evaluation of the University's property portfolio supports a prioritization of strategic investments and initiatives.

University, faculty and service division-level **Key Performance Indicators (KPIs)** are used to measure progress towards strategic objectives, and form part of the University's **Strategic Management Reports (SMR)** reporting system. KPIs are reviewed and updated periodically.

Medium-term timeframe

The Office of the Deputy Vice-Chancellor (Academic) maintains an operational [Learning and Teaching Plan](#) which identifies objectives and priorities over three years. The Learning and Teaching Plan is aligned with the University's Strategic Plan and is supported by faculty three-year plans and the strategies of service divisions including: the Equity Office, Information Technology Services (ITS), the Office of the Pro Vice-Chancellor (Māori), the Centre for Learning and Research in Higher Education (CLearR), the School of Graduate Studies, and Libraries and Learning Services. Reports against the objectives of the Learning and Teaching Plan are received periodically by University Teaching and Learning Quality Committee (TLQC).

Faculties and service divisions maintain three-year rolling strategic plans, against which there is an annual report. These plans and reports are aligned with the objectives in the University's Strategic Plan, including academic objectives.

Annual timeframe

The University's annual performance against Strategic Plan learning and teaching objectives and KPIs is reported in the Statement of Service Performance in the University's [Annual Report](#).

Strategic Plan objectives are the basis for annual planning and resource allocation for learning and teaching at faculty and service division level, and are used to measure progress in annual reports at this level. Annual plans and reports represent a compilation of strategic activity, including learning and teaching initiatives, across the University.

Semestral reviews are held at semester mid-points to review progress towards achievement of KPIs. The Senior Leadership Team have twice-yearly planning retreats in which key strategic learning and teaching issues are considered. Faculty and service division annual plans are reviewed by the Senior Leadership Team (SLT) at the second annual planning meeting.

In addition, faculties submit an annual plan and report to TLQC on local high-priority learning and teaching initiatives. These plans allow a faculty to prioritise and share the learning and teaching issues identified as most important to the faculty's strategic priorities in the short-term. The information shared is integrated into annual meetings with faculties to discuss the annual results of the Learning and Teaching Survey and course and teaching evaluations.

Planning and reporting for technology-enhanced learning and teaching

The University's [Digital Strategy](#) and the Learning and Teaching Plan are the key institutional planning documents for technology-enhanced learning. Under these institutional documents, the annual plans of service divisions (including ITS, the DVC(A), Academic Services, Property Services and CLear) have KPIs related to the development and monitoring of technology for learning and teaching.

Initiatives in technology-enhanced learning and teaching are tested for strategic alignment through a business case process, and implemented through the Office of the Deputy Vice-Chancellor (Academic) and ITS, supported by the University Strategic Projects Office. Project outcomes are reported through relevant ITS and academic committees, and disseminated to the University community.

External reporting and requirements

The University is required to develop and submit an Investment Plan to the Tertiary Education Committee, every 2-3 years, the approval of which is part of the process for agreeing government funding. The Investment Plan includes information on learning and teaching and quality assurance activities which are drawn from internal planning and reporting processes.

The University undergoes periodic external **Academic Audit** by the Academic Quality Agency (AQA). Academic audit reports are public documents and the University is required to address audit recommendations and report publically on implementation.

Benchmarking

The University undertakes **benchmarking** activity in New Zealand and internationally to assess performance and monitor standards, with a view to continual improvement of learning and teaching outcomes. To allow flexibility of approach at different levels and within different disciplines there is no prescribed single method for academic or institutional benchmarking at the University.

There are a number of principles underpinning benchmarking at the University of Auckland. Benchmarking:

- supports the University's mission and strategic objectives
- identifies comparative strengths and weaknesses, as a basis for developing improvements in academic quality
- provides evidence-based information to inform development or change
- ensures the University remains up-to-date with relevant national and international academic developments
- is undertaken with due consideration to resource use and the potential to add value to the University's activities
- is integrated into the appropriate academic unit, faculty and University planning and reporting processes.

Formal, institutional-level benchmarking exercises are undertaken by the University's Planning and Information Office and other central service divisions. Selected research-intensive comparator universities and organisations in Australia, Asia, North America and Europe, including the Group of Eight Universities in Australia; *Universitas 21*, and the Association of Pacific Rim Universities are preferred benchmarking partners. Systematic benchmarking is undertaken through the **Uniforum Program**, which benchmarks administrative and support services with other Australian and New Zealand universities. Institutional-level benchmarking results are reported to the Senior Leadership Team or the appropriate University committees.

Faculties and academic units undertake periodic benchmarking exercises to support curriculum review. Faculties or academic units determine the most appropriate benchmarking partners based on the focus

of the benchmarking activity. Faculties and departments are responsible for internal approval of benchmarking activities at programme, department and faculty level.

Benchmarking also occurs through University processes supporting quality assurance and enhancement such as academic unit and disciplinary area review; University programme review; professional accreditation, external examining of postgraduate coursework, and Graduating Year Reviews. Academic Heads and Deans, as appropriate, are responsible for ensuring reporting and consideration of benchmarking outcomes, and action taken to adopt the recommendations arising.

Collection of strategic information for learning and teaching

Essential information for learning and teaching and quality assurance is gathered through internal planning and reporting processes, as described above. Additional mechanisms include:

- The Learning and Teaching Survey - an annual survey of student experience with a sample of 10,000 undergraduate and coursework postgraduate students
- Core University-wide surveys of students, which are: the New Students Survey (annual), the Graduate Destination Survey (every two years), and the International Student Barometer (every two years)
- **SET Course and Teaching Evaluations** – formal, summative evaluation of courses and teaching through the centralised, online SET system. Each eligible course is evaluated every time it is taught
- Academic unit and disciplinary area reviews – six to eight reviews are carried out each year by peer review panels with internal and external membership. Panels review curriculum, teaching and research
- **Survey round meetings** - the Deputy Vice-Chancellor (Academic) holds annual meetings with Deans and Associate Deans with responsibility for learning and teaching to discuss faculty-specific issues arising from the Learning and Teaching Survey; results of SET student course and teaching evaluations and student pass rates
- Enhancements identified in the course of Academic Audit self-review and the recommendations made in the Audit report inform quality enhancement initiatives.

Internal monitoring and reporting of strategic information for learning and teaching

- Interactive dashboards in the University's **Strategic Management Reports (SMR)** system allow academic managers and staff access to curated strategic information to monitor student demand, achievement and outcomes such as enrolment trends; student retention, progression and pass rates; student completions; and student withdrawals and failures. SMR Dashboards also support access to Learning and Teaching Survey and Graduate Destination Survey results, and role-appropriate data on course and teaching evaluations.
- TLQC, Education Committee and Senate receive annual reports on the results of the Learning and Teaching Survey and SET course and teaching evaluations and a summary of issues identified during survey round meetings.
- Education Committee receives a biannual report and commentary on pass reports, and an annual report from the Examination and Timetable Office on examination data and error rates.
- Programme and academic unit or disciplinary area review reports and implementation plans are received and discussed at Education Committee and Senate, and reported to Council. Professional body accreditation summary reports are received by Education Committee and analysed for issues of University-wide relevance.
- Central service divisions, such as Libraries and Learning Services, Academic Services, and other units such as CLear, report regularly to academic committees, including TLQC, Education Committee and Senate.
- Reports on projects and initiatives impacting teaching and learning quality are received by committees, with dissemination of information back to faculties and service divisions by committee representatives.

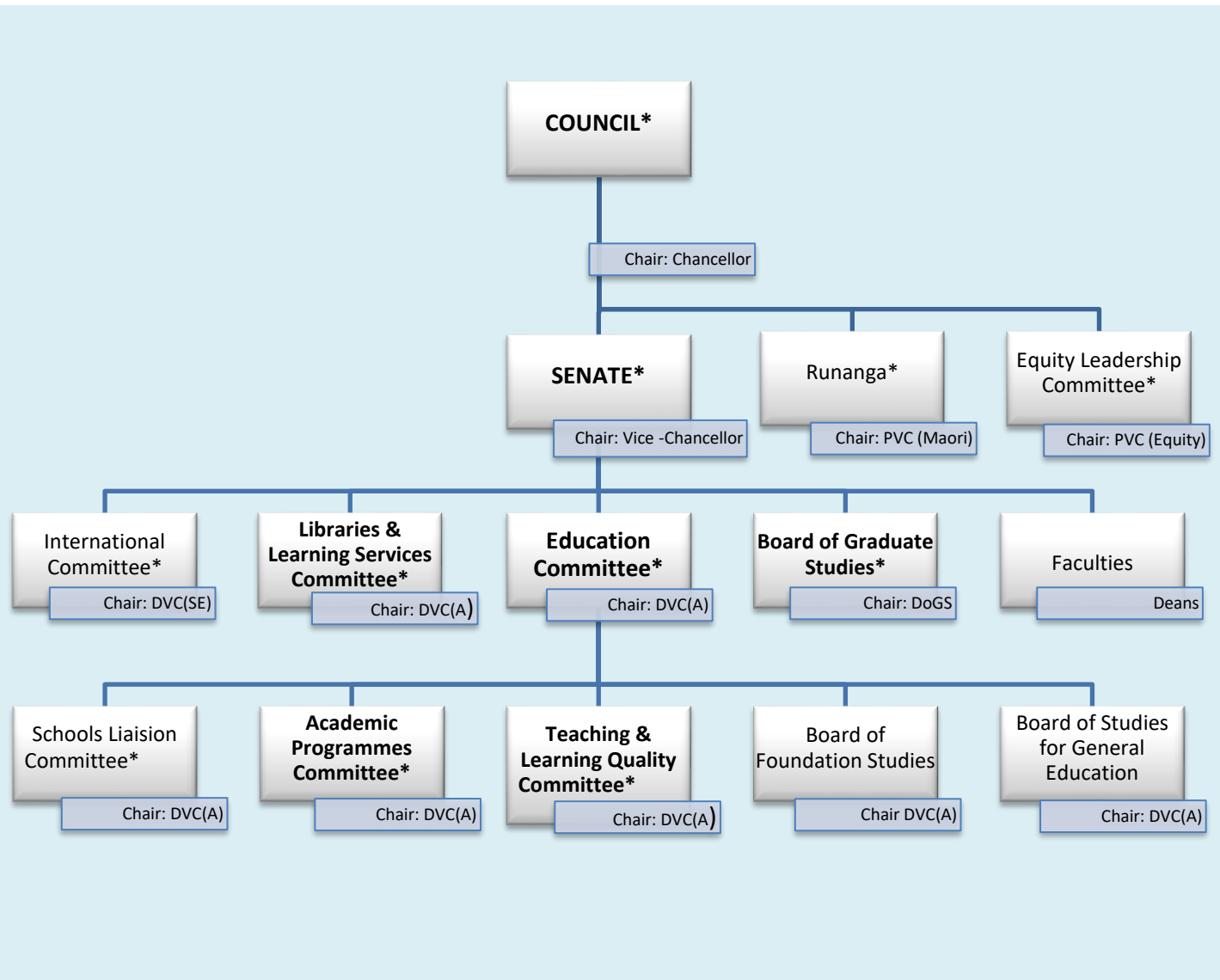
Stakeholder engagement

The University engages with external stakeholders to ensure the relevance and quality of curricula through:

- faculty and programme-level advisory boards with representation from employers, industry and professional groups. These boards often have Terms of Reference for assuring the relevance of curricula
- Boards of Studies for degree programmes with stakeholder members
- stakeholder and employer input, including Maori and Pacific Island communities of interest, into new programme proposals
- curriculum reviews supported by benchmarking information
- accreditation reviews by professional and industry groups
- stakeholder input into University reviews of academic units and disciplinary areas
- stakeholder input into the internal process supporting Graduating Year Reviews
- links through the Schools Partnership Office with teachers and principals
- employer involvement with work-based learning, internships or research projects in programmes and faculties
- stakeholder input into reviews of curricula initiated by faculties

Section two: key University committees for learning and teaching and quality assurance

Figure 1: Key University committees for learning and teaching and quality assurance



* One or more student representatives

Council

The [Council](#) is the University's governance body and ensures that the University attains the highest standards of excellence in education, training and research. Council has one student representative elected by students.

Senate

[Senate](#) is the main decision-making body for academic matters in the University. The standing committees of Senate include key committees with a remit for academic matters, primarily Education Committee, and the Board of Graduate Studies (BoGS). Senate reports to Council, and is chaired by the Vice-Chancellor. Senate has five student members nominated by the Auckland University Students Association (AUSA) (four undergraduate and one postgraduate).

Committees of Senate

Education Committee, sub-committees and standing committees

- [Education Committee](#) advises and recommends to Senate on academic policy developments and regulations and oversees quality assurance and enhancement processes. Education Committee is chaired by the Deputy Vice-Chancellor (Academic). The President (or nominee) of AUSA is a member of Education Committee.
- [Teaching and Learning Quality Committee](#) (TLQC) is a sub-committee of Education Committee, and is responsible for decisions about the quality assurance and enhancement of learning and teaching. TLQC is Chaired by the Deputy Vice-Chancellor (Academic) and reports to Senate through Education Committee. TLQC has two student representatives.
- [Academic Programmes Committee](#) (APC) is a subcommittee of Education Committee, responsible for the design and monitoring of academic qualifications, including new qualifications. APC and APC sub-committee are chaired by the Deputy Vice-Chancellor (Academic) and report to Senate through Education Committee. APC has one student representative.
- The *Board of Foundation Studies* recommends to the University on policy and strategic developments relating to Foundation Studies programmes and University-wide study skill programmes. The Board also oversees the academic development, curriculum and delivery of Foundation Studies programmes and is chaired by the DVC(A).
- The [Board of Studies for General Education](#) (BoGS) is responsible for the development, management and oversight of the University's programme of General Education; the approval of courses to be listed in the General Education programme; and monitoring and maintaining the quality of the General Education programme through course and teaching evaluations, programme reviews and reviews of student learning outcomes. The Board is chaired by the DVC(A).
- [Schools Liaison Committee](#) (SLC) is responsible for the coordination and promotion of relationships and activities between the University and schools throughout New Zealand. SLC reports to Senate through Education Committee and is chaired by the Deputy Vice-Chancellor (Academic) or nominee.
- [Scholarships Committee](#) makes recommendations to Education Committee and the Board of Graduate Studies on policy related to, and the awarding of, scholarships, prizes and awards.

Board of Graduate Studies

The [Board of Graduate Studies](#) (BoGS) advises on and develops policy on postgraduate study; promotes postgraduate study and research and acts on all administrative matters relating to all doctorates and higher degrees. BoGS is chaired by the Dean of Graduate Studies and has two postgraduate student representatives nominated by the Postgraduate Students Association (PGSA).

Libraries and Learning Services Committee

[Libraries and Learning Services Committee](#) advises Senate on policy relating to Libraries and Learning Services, and is chaired by the Deputy Vice-Chancellor (Academic). Libraries and Learning Services Committee has one student representative.

International Committee

[International Committee](#) is responsible for the recruitment and support of international students, and the internationalisation of the curriculum and student campus life. International Committee is chaired by the Deputy Vice-Chancellor (Strategic Engagement) and has one student representative.

The faculties

Each faculty is a sub-committee of Senate and is headed by a Dean who is supported by Deputy and Associate Deans, a Director of Faculty Operations and other administrative staff. The Dean is responsible for coordinating the academic and activities of individual academic units.

Committees of Council

Rūnanga Committee

[Rūnanga](#) is responsible for the consideration of academic matters that have a direct relevance to Māori curriculum content, delivery and research, and to advise Senate committees and Council on these matters. The Rūnanga is chaired by the Pro Vice-Chancellor (Māori) and reports to Council through Senate. The Rūnanga has two Māori student members elected by Ngā Tauria Māori. The Pro Vice-Chancellor (Māori) sits on Education Committee.

Equity Leadership Committee

[Equity Leadership Committee](#) is a Council Committee and advises Senate and Council on University equity strategy, plans, policy, projects and outcomes. Equity Leadership Committee is Chaired by the Pro Vice-Chancellor (Equity), and has one AUSA student member. The Pro Vice-Chancellor (Equity) sits on Education Committee.

Discipline Committee

[Discipline Committee](#) has the power to act with respect to the relevant provisions of the Student Academic Conduct Statute, Statute for Student Discipline, Examination Regulations, and Enrolment and Programme Regulations.

Vice-Chancellor's advisory committees

Senior Leadership Team; and Vice-Chancellor, Deputies and Deans

The Senior Leadership Team (SLT), and the Vice-Chancellor, Deputies and Deans group (VCDD) are key advisory groups to the Vice-Chancellor.

The SLT is normally chaired by the Vice-Chancellor and comprises the Deputy Vice-Chancellors, Pro Vice-Chancellors, Deans, and Directors of the major service divisions. The SLT normally meets fortnightly to consider strategy, policy and current projects and issues.

Staff Advisory Committee

[Staff Advisory Committee](#) provides advice to the Vice-Chancellor on matters related to staff, including Human Resources policies, recruitment, selection and induction; people and organisational development, performance review, promotion, and recognition and reward. Staff Advisory Committee is chaired by the Vice-Chancellor and reports to Senate.

Information Technology Advisory Committee

[IT Advisory Committee](#) provides advice to the Vice-Chancellor on governance of IT, including strategic alignment of IT to University strategic objectives and management of IT resources.

Vice-Chancellor's Student Consultative Group

The [Student Consultative Group](#) (SCG) is an advisory committee to the Vice-Chancellor with membership comprising students from the various University student associations and student representatives on University committees. The SCG shares information with students about key strategic issues facing the University and their impact on students, and consults on some areas of policy. The SCG is chaired by the Vice-Chancellor.

Other academic committees

The *Policy Committee for Contract Education and Training* supports the work of UniServices in this area. It meets three to four times a year and formulates policy, reviews proposals for new delivery arrangements, and monitors any customized delivery to ensure the programmes are academically sound, of high-quality organisation, and enhance the reputation of the University. The Committee is chaired by DVC (Academic) and reports to Education Committee annually.

The *Higher Education Research and Development Board* oversees the activities of CLear, and is Chaired by the DVC(A) and the Dean of Education.

Faculty and academic unit committees

Faculties and teaching units have committees that contribute to quality assurance and enhancement at the local level and often include staff represented on academic committees at University level. These bodies oversee curriculum and quality delivery of courses, and have terms of reference that include consideration of:

- academic planning and programme changes
- the quality of academic advice to students
- assessment practices and outcomes
- best practice learning and teaching strategies

Academic policy

University-level policies and procedures governing learning and teaching activities are approved by Education Committee, Senate and Council.

The review of University-level learning and teaching policy is undertaken by the committee responsible for the development of a given policy, or by a specially constituted working group, which is supported by the Academic Quality Office. Revision of policy is prompted by review cycles (usually three years) or by developments in the learning and teaching environment. A Policy Framework ensures the consistency of policy, procedures and guidelines documents. It is the responsibility of the policy owner to ensure appropriate consultation is undertaken for new or significantly revised policies.

Academic policies are monitored for currency through the online [Policy Hub](#) managed through the office of the University's General Counsel, and by the Academic Quality Office. The Policy Hub is a resource for staff and students and may be used to support consultation on policies under review.

[Policies governing doctoral research and supervision](#) are reviewed by the Board of Graduate Studies. Policies governing sub-doctoral research and supervision are reviewed by Education Committee and the Board of Graduate Studies.

Student input into policy development occurs through student representation on key committees and through feedback from the University-wide Learning and Teaching Survey. Student representatives may be involved in working groups or directly consulted on policy review or development.

Faculty representatives on University committees disseminate new or revised policies at their local level.

Risk management

The [University Learning and Teaching Continuity Planning Guide](#) supports teachers to prepare resilient courses and to manage unexpected interruptions to teaching, learning and assessment. Learning and teaching continuity planning processes articulate with faculty business continuity planning processes.

Section three: service divisions, units and centres with learning and teaching quality assurance responsibilities

Office of the Vice-Chancellor

Within the Office of the Vice-Chancellor, the Deputy Vice-Chancellor (Academic) is responsible for:

- University-wide academic policies and processes
- working with Education Committee, Academic Programmes Committee, Teaching and Learning Quality Committee and their subcommittees, the General Education Board of Studies, and the Board of Foundation Studies
- academic outreach and continuing education
- University strategies for academic staff development and student learning support and eLearning
- academic quality assurance through departmental and programme reviews and external audit

The Director of Learning and Teaching co-ordinates university-wide projects on learning and teaching sponsored by the Deputy Vice-Chancellor (Academic). The Learning and Teaching Team in the DVC(A)'s office is responsible for administering quality reviews of departments and academic programmes, General Education and the organisation and administration of the Teaching Excellence Awards and Learning Enhancement Grants.

The Academic Quality Office (AQO) is a unit within the Vice-Chancellor's Office, reporting to the Deputy Vice-Chancellor (Academic). The AQO supports Teaching and Learning Quality Committee and is involved in the review and management of academic policies. The AQO coordinates and manages the University's course and evaluation system, SET, and has responsibility for the distribution and analysis of course and teaching evaluation information to inform quality assurance processes. Together with the Planning and Information Office, the Academic Quality Office oversees the University's Student Survey Policy and Plan, and manages the University's annual Learning and Teaching Survey. The AQO also maintains and reports on the operation of the Register of Academic Misconduct and its policy framework.

The Planning and Information Office (PIO) leads and coordinates strategic and academic planning and business intelligence across the University. This is achieved by providing a range of information, support and advice, including provision of strategic and tactical information; monitoring and assessing the institution's performance; and coordinating the planning process. The PIO also has primary responsibility for the development and implementation of key performance indicators that monitor the achievement of the Strategic Plan.

Academic Services

Academic Services is headed by a Director, and leads the development and delivery of academic administration and advisory services to students, admissions, enrolment, examinations, academic timetabling, records and fees, and scholarships and graduation. Academic Services supports the delivery and governance of academic administration services and the student life-cycle from application, admission and enrolment to examinations and graduation. Academic Services has responsibility for calendar and academic regulation activities through the Academic Programmes Office.

School of Graduate Studies

The School of Graduate Studies (SGS) has overall responsibility for the development and oversight of policies and procedures for postgraduate programmes, the promotion of graduate study, and advocacy for graduate students. The School facilitates support for graduate students and ensures that staff have access to training and advice on research supervision. SGS has ongoing contact with the Postgraduate Students' Association.

Libraries and Learning Services

Libraries and Learning Services (LLS) supports the teaching, learning, research, creative work and administration of the University. Three areas within LLS support have responsibility for learning and teaching:

- Learning and Teaching (including Learning and Teaching support, Learner Support and Careers Development and Engagement Services)
 - The Learning Advisers team provide workshops, resources and advice including working with faculties to integrate academic and information literacy into the curriculum, services for doctoral candidates, Māori and Pacific students, and students with learning disabilities. The English Language Enrichment team provides resources and advice for any student wanting to improve their academic English.
- Academic Engagement (facilitation of the relationship between the academic community and LLS)
- Research and Collections (including Copyright and Records Management)

Centre for Learning and Research in Higher Education (CLear)

CLear supports new and current teaching staff and postgraduate students in their academic careers, offering a range of research-informed professional development opportunities and programmes, and a consultation service for faculties. CLear offers:

- the Doctoral Academic Leadership Initiative and workshops for tutors and graduate teaching assistants
- The Master of Higher Education, a research-led and -based qualification in higher education learning, teaching and research
- the Teaching Catalyst Programme
- the CLear Fellowship Programme; and the SEED grants for teaching innovation
- Māori academic development, including Tuākana tutor and mentor training, workshops and hui, Māori language development and writing retreats
- e-learning resources for innovation in technology-enhanced teaching and learning.

CLear is part of the Faculty of Education and Social Work, and its activities are governed by the Higher Education Research and Development Board, Chaired by the DVC (A) and the Dean of Education. CLear's programmes and workshops are regularly evaluated. The Director of CLear is an ex-officio member of the University's TLQC.

Campus Life

Campus Life comprises the University's student accommodation services, sport and recreation, campus retail service and Student Support and Engagement. The Student Support and Engagement team delivers the student wellbeing program, University early childhood centres, first year transition (including UniGuides orientation), student events and support for student organisations.

Equity Office

The Equity Office is led by the Pro Vice-Chancellor (Equity) and Directors of Staff Equity and Student Equity. The Pro Vice-Chancellor (Equity) advises Council and the Vice-Chancellor on fulfilling statutory and compliance obligations. Equity Office key functions include the coordination of Equity Leadership Committee, the Equity Community of Interest, the Tuākana Learning Community and the Undergraduate Targeted Admission Schemes (UTAS) Community of Interest. Equity Office also manages Student Disability Services.

Schools Partnership Office

The Schools Partnership Office is part of the Communications and Marketing division, and coordinates University engagement with New Zealand secondary schools.

Section four: key individual quality assurance roles and responsibilities

UNIVERSITY

VICE-CHANCELLOR

- Deputy Vice-Chancellor (Research)
- Deputy Vice-Chancellor (Academic)*
- Deputy Vice-Chancellor (Operations) and Registrar*
- Pro Vice-Chancellor (Maori)
- Pro-Vice Chancellor (Equity)
 - Director, Student Equity
 - Director, Staff Equity
- University Proctor

*DEPUTY VICE-CHANCELLOR (ACADEMIC)

- Dean of Graduate Studies
- Director, Libraries and Learning Services (University Librarian)
- Director, Learning and Teaching
- Manager, Academic Quality Office
- Manager, Academic Reviews

*DEPUTY VICE-CHANCELLOR (OPERATIONS) & REGISTRAR

- Director, Planning
- Director, Academic Services (and Manager Examinations and Timetabling Services)
- Director, Property Services
- Chief Digital Officer (and Director, ITS)
- Director, Campus Life (and Associate Director, Student Wellbeing and Engagement)
- Director, Communications and Marketing

FACULTY

DEANS

Providing effective strategic, academic and managerial leadership and overseeing the quality delivery of courses and teaching within their faculty.

- Associate Deans (Academic) and/or (Learning and Teaching)

Providing leadership on academic programming and planning. Delegated responsibility for overseeing the quality delivery of courses and teaching within their faculty.

- Associate Deans (Postgraduate)

Overseeing academic policy and quality standards for postgraduate programmes and supporting student development

- Directors of Faculty Operations

- Group Services Managers

- Student Academic Services and Engagement Managers

ACADEMIC UNIT

ACADEMIC HEADS

Monitoring teaching quality and initiating and overseeing regular reviews of the quality of the curriculum, assessment and teaching. Academic Heads may appoint Deputy Heads with specific delegated responsibilities.

- UG and PG advisors

- **Course Directors** - course outlines; learning outcomes; assessment design; leading course review; course delivery

- **Academic Staff** - course outlines; learning outcomes; assessment design; participation in course review; course delivery

- **Supervisors** - assisting students to achieve the best research result by providing expertise and support to help bring the research to a successful completion

- Examiners and Assessors

Figure 2: key individual quality assurance roles and responsibilities

Academic delegations

In all planning the University identifies role-holders responsible and accountable for the implementation of specific tasks or processes.

The University's Delegation Policy sets out the principles of delegation and defines the framework of delegations of authority for key functions (including Human Resources and Finance) at the University as delegated by the Vice-Chancellor.

Each academic manager works to clearly-defined operational goals, performance measures and reporting obligations. Academic Development and Performance Review (ADPR) processes ensure accountability, based on the expectation that each member of staff carries out his or responsibilities consistent with the **delegated authority** of his or her position.

Section five: student voice in learning and teaching and quality assurance

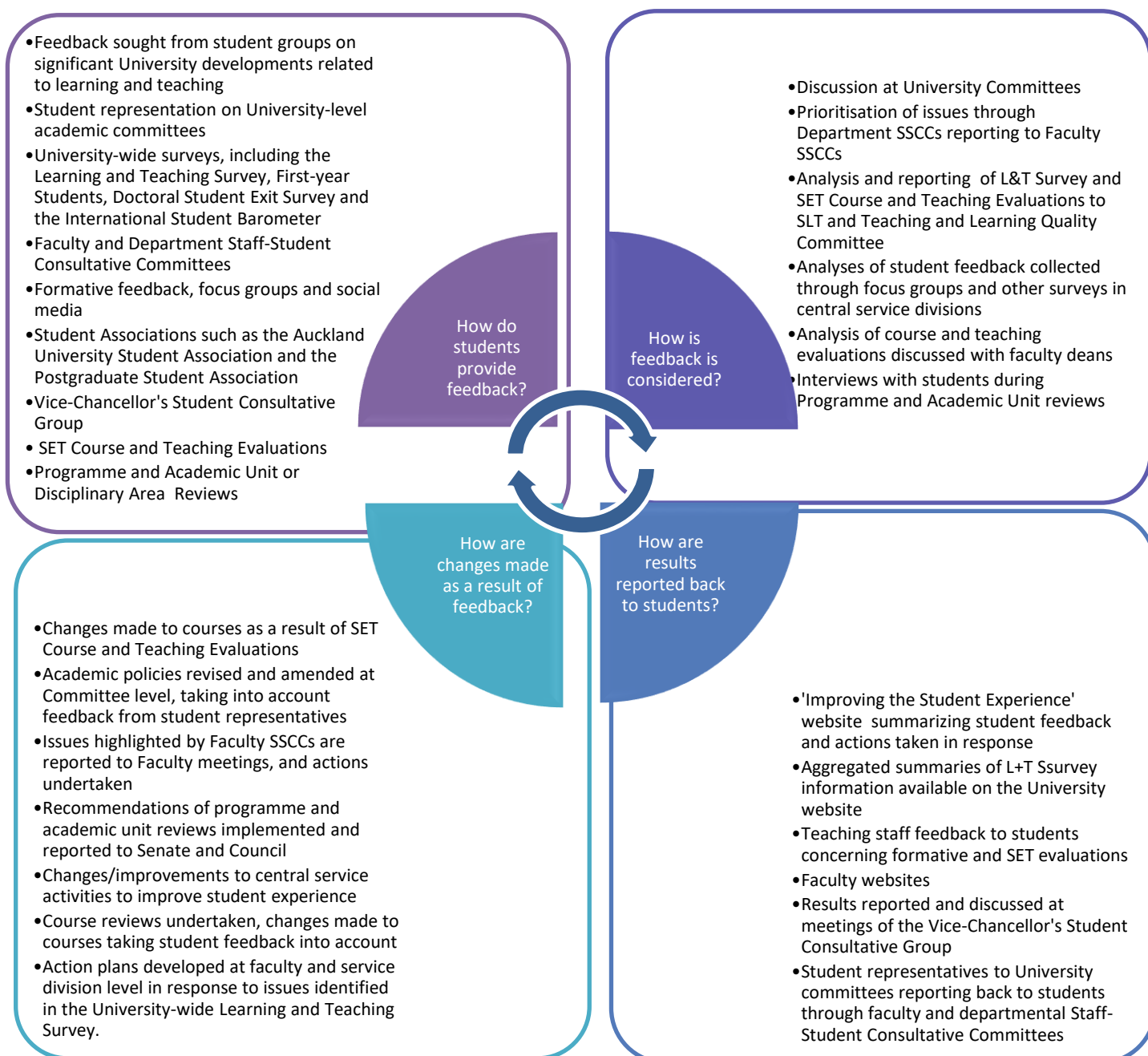


Figure 3: Student voice cycle

Student voice

The University undertakes to provide opportunities for students to participate in, and provide feedback on, the teaching and research activities of the University; and to consult and support student representative organisations. The University's [Student Charter](#) sets out the rights and responsibilities of the University and of students.

Students participate in the University's planning cycle for learning and teaching through student representation on key academic committees, including: Council, Senate, Education Committee, the Board of Graduate Studies, TLQC, Academic Programmes Committee, and Learning and Library Services Committee.

Students also provide feedback through the **class representative system** in each department or school, which is reported to faculty-level Staff-Student Consultative Committees. Student class representatives are supported by training provided by the Auckland University Students' Association (AUSA).

Representatives from the AUSA, other University students' associations, and key University committees provide comment on learning and teaching issues through the Vice-Chancellor's Student Consultative Group.

Students provide feedback on their learning experience through SET course and teaching evaluations and core University surveys.¹ Results of the Learning and Teaching Survey of students are reported to the DVCA(A), faculties, and TLQC. Departments, schools, faculties, and service divisions may administer surveys of students under the University's Student Survey Policy, in consultation with the Academic Quality Office.

Students are invited to participate in University programme, academic unit and disciplinary area reviews, and Graduating Year Reviews.

¹ Learning and Teaching Survey, New Students Survey, International Student Barometer, Graduate Destination Survey

Section seven: student life cycle

Preparation and foundation programmes

The University offers a number of preparation and foundation programmes for domestic and international students. The primary foundation programme for students under 20 is the [Tertiary Foundation Certificate](#), a one-year University preparation qualification which has named pathways for students. Foundation programmes are monitored through the Board of Foundation Studies which is Chaired by the DVC(A) and reports to Education Committee.

The University's Equity Office and Schools Partnership office support a sequence of events throughout the year for prospective students. [UniBound](#) is a free five-week academic enrichment summer programme to prepare school leavers for university studies.

Access, application and enrolment

The University publishes regularly updated information on admission requirements; including University Entrance for domestic and international students. Entry requirements for each programme clearly set out the guaranteed entry score required and subject or other additional requirements. Information about credit transfer and recognition of prior study is also provided.

Students who may not meet the entry requirements may apply to preparation or foundation programmes, or apply for entry under the University Targeted Admission Scheme (UTAS). UTAS reserves a number of places in undergraduate programmes for eligible Māori and applicants from some equity groups who have met the University Entrance (UE) standard but have not met the guaranteed entry score for the programme of their choice. Faculties report annually on UTAS data to the University's Equity Leadership Committee.

Supporting student transitions and engagement

University and faculty initiatives, including first-year experience, [Tuākana](#) and [orientation programmes](#) support student transition to University and ongoing engagement with their learning. Each faculty has a student engagement team with learning advisers available to students.

The Student Engagement and Support division of Campus Life manages a range of orientation and transition initiatives, including:

- the annual New Students' Survey
- working with faculties to support faculty Orientation Days
- online orientation and the [New Students' Guide app](#)
- the [UniGuide](#) programme and Student Ambassadors.

The Student Engagement and Support team also contributes to student engagement through:

- supporting University clubs, societies and associations and administering the Student Group Fund
- coordination of the [Student Leadership Programme](#), University Blue Awards, and the High Performance Student Support Programme
- management of the [Student Volunteering Hub](#) and Leadership and Service Hub

The annual New Students' Survey provides student feedback on their experiences of orientation and transition to the University. The Survey is reported to the Senior Leadership Team and key service divisions.

Course and programme advice

Course and programme advice is available through the University website, and through faculty prospectuses, handbooks and degree planners. [Student Services Online](#) allows students to browse course information, enrol in courses, view timetables and generate programme requirements reports. Online enquiries are supported by the AskAuckland knowledgebase which is monitored and regularly updated to ensure the currency and relevance of the information.

Each faculty has a Student Centre that provides advice to current and future students on programme planning. AskAuckland Central is the University's main student information centre, where students may make appointments for specialist advice from the School of Graduate Studies or the International Office.

Academic advisors for undergraduate and graduate students are available in academic units and work in partnership with faculty student centres to provide specialist academic advice.

The quality of academic advice is monitored through the Learning and Teaching Survey and through management of enquiries through the AskAuckland call centre.

Learning support

[Libraries and Learning Services](#) provides information, academic and language literacy resources and services to enhance the teaching, learning, research, scholarship and creative work of students and staff. Students have access to enquiry and consultation services, universal workshops, and targeted and curriculum integrated learning opportunities to develop the capabilities required for academic success at the University and beyond.

All first-year students and doctoral candidates are required to complete the [Diagnostic English Language Needs Assessment](#) (DELNA). English Language Enrichment provides a range of resources, workshops and other opportunities to develop English language skills.

The University-wide Tuākana mentoring programme supports Maori and Pacific learning communities in every faculty.

Careers advice

[Career Development and Employability Services](#) (CDES) provide services, resources, workshops, events and a job board to enhance the employability and career development of all students. CDES activities are reported through Libraries and Learning Services Annual reports, and updates to Teaching and Learning Quality Committee.

Inclusive learning and teaching

The University is committed to supporting a safe, inclusive and equitable study and work environment. The University's identified equity groups are:

- Pacific students and staff
- Students and staff with disabilities
- Lesbian, Gay, Bisexual, Transgender, Intersex (LGBTI) students and staff
- Students and staff from refugee backgrounds
- Students from low socio-economic backgrounds

The University's [Equity Policy](#) is supported by [Inclusive Learning and Teaching of Students with Impairments Guidelines](#). Equity initiatives are reported through Equity Leadership Committee.

Academic complaints and disputes

The process for addressing and resolving academic complaints and disputes is set out in the [Resolution of Student Academic Complaints and Disputes Statute](#). Students may seek advice from their class representative or from the AUSA's Student Advocacy Service.

The [University Proctor](#) is the primary reference point for all matters relating to student non-academic misconduct, and is a contact person for students who are concerned about bullying and harassment. The Proctor provides advice to students and staff about procedures for dealing with disputes, including academic matters.

Section eight: curriculum and assessment

Graduate Profiles

The University's [Graduate Profile](#) has three levels. At level one are a set of aspirations for Auckland graduates. At level two there a set of themes and generic capabilities which the University seeks to foster in all graduates. At level three, faculties have embedded programme-level profiles that align with levels one and two of the Profile model.

The University and programme-level Graduate Profiles are available to all students on the University's website. Course information links learning outcomes with programme-level capabilities.

Curriculum design

Curriculum design is undertaken within the framework of the University graduate profile to ensure coherent qualifications that build capabilities over the course of the programme

Processes for programme design and approval are managed by the Academic Programmes Office. The annually reviewed document, [Academic Programmes: Amendment Guidelines](#) sets out the University's two-stage approval process, which is monitored through Academic Programmes Committee (APC) and APC sub-committee. This process ensures that the University's academic programmes are high-quality, relevant and in alignment with **CUAP** requirements.

Departmental and programme committees ensure the currency of subject offerings and specialisations. Course development is undertaken at the department or school level, and approved at the faculty level, with oversight by APC. Course Directors have overall responsibility for course assessment, design and review.

CLear provides workshops on course design and assessment and can work with individual staff to support high-quality curriculum design.

Assessment design and standards

The design and use of assessment in undergraduate and postgraduate taught courses is governed by the Assessment (Coursework and Examinations) Policy and Procedures, and University Examination Regulations. Assessment design is considered carefully within the framework of embedded programme graduate profiles to ensure alignment with learning outcomes within a course, and coherence and progression across the programme.

Assessment design in new or substantially-revised programmes is considered through faculty amendment preparation processes with oversight from Academic Programmes Committee.

Examiners (who may be internal or external) are responsible for course assessment, and assessors (who may be internal or external) are appointed to maintain standards in the examining process.

Assessment design is monitored through faculty processes for course design, and through the oversight of Academic Programmes Committee. Quality and consistency is monitored through course reviews and moderation processes at department and faculty level. An annual report on errors in examination papers is received by Education Committee.

Academic units have processes for moderation of assessment outcomes. Pass rates are considered on an on-going basis by the faculties using information available through the SMR system, together with the results of student evaluations; and follow-up activities are undertaken. Formal pass rate reports are considered by Education Committee.

The Learning and Teaching Survey provides student comments on the quality and appropriateness of assessment and feedback.

Postgraduate research examination

Sub-doctoral research examination processes, including the appointment of examiners, are outlined in policies, procedures and guidelines owned by the School of Graduate Studies and approved by Education Committee.

Graduate outcomes

The University and its staff support and monitor student achievement of the University's Graduate Profiles through:

- developing and implementing graduate profiles at programme level, using feedback from other stakeholders including employers
- informing staff and students of the profiles and their importance
- using curriculum mapping to organise curricula, teaching practices and assessment methods to ensure that students are provided the opportunity to work towards the attributes of their respective profile.

The bi-annual Graduate Destination Survey provides further information on graduate outcomes, including, information on graduate roles and salary bands, information on graduates engaged in further study, and feedback from graduates on their skills development.

Work-based learning and employability

Programme graduate profiles set out the aspirations, themes and capabilities to be achieved by graduates progressively through their qualification. The content of courses within the programme are mapped to the graduate profile, ensuring that a graduate has had the opportunity to develop the agreed capabilities. Awareness of graduate profiles, and the link to course learning outcomes helps students to understand the skills and knowledge they are developing, and how they are transferable to the workplace.

The Centre for Career Development and Employment Services' MyCDES portal allows students to identify internship opportunities.

Within faculties, many of the University's professionally-oriented programmes include components of work-based learning such as internships, placements, practica, or industry-based projects. The Faculty of Arts offers an internship course at stage three where the student completes a research project with an employer, under an academic supervisor and workplace mentor. The Science and Arts Scholars programmes allow students to participate in a multi-disciplinary curriculum and develop further their skills in leadership, communication and teamwork through workshops, mentoring and social events. Many faculties offer competitive summer internships.

The Learning and Teaching Survey monitors students' perceptions of skills development and exposure to internships and work-based learning opportunities during their studies.

Academic integrity

Students starting a programme who are new to the University are required to complete an online [Academic Integrity Course](#). The Academic Integrity Course provides information to students on academic integrity, university rules relating to academic conduct, and the identification and consequences of academic misconduct. A statement on academic integrity is included in course outlines. A guidelines document provides further information on the appropriate use of third-party assistance in assessed work.

The University's processes for dealing with instances of academic misconduct are set out in the Statute for Student Academic Conduct. Confirmed instances of academic misconduct are recorded on the University's Register of Academic Misconduct. Inadvertent or naïve, and deliberate (minor) cases are resolved within the academic unit or faculty. Deliberate (major) cases are recommended to the University's Discipline Committee through the Deputy Vice-Chancellor (Academic). Data on academic misconduct incidents are reported to Teaching and Learning Quality Committee. An annual report on cases heard by Discipline Committee is received by Senate.

Management and review of courses

Regular end-of-course student summative course and teaching evaluations are required for quality assurance and enhancement purposes. The requirements and responsibilities for these evaluations are described in the University's [Enhancement and Evaluation of Teaching and Courses Policy and Procedures](#).

A course review process, involving all teaching staff, is undertaken at the conclusion of every course.

The quality of courses is also reviewed through formative evaluation of teaching, informal feedback and discussion between teaching staff and students during delivery of a course, and through formal and informal peer review and observation processes.

Management and review of programmes

University reviews of academic units and disciplinary areas evaluate teaching and research performance against international benchmarks on a seven to ten-year cycle. The DVC(A) maintains a three-year rolling plan for reviews to facilitate review planning. Implementation of key action areas are monitored by Education Committee and Research Committee through a series of progress reports.

The University has an internal process for review of new programmes, which is used to produce Graduating Year Reviews for the Committee on University Academic Programmes.

A number of professional programmes across the University have periodic reviews undertaken by external bodies. Summary reports from the faculties on accreditation reviews are received by Education Committee. An annual summary of accreditation review reports summarises for Education Committee learning and teaching issues identified in the accreditation process.

In some areas a monitoring role for programmes is taken by a Board of Studies or cross-faculty Board.

Academic Programmes Committee is responsible for monitoring academic programme regulations. APC also receives reports on the quality of programmes delivered in partnership with other institutions, or off-shore. Course deletions are monitored and processed by APC.

External moderators may undertake, for all or some postgraduate taught courses, a review of the content and grading of examination papers and report to the Academic Head as to the appropriateness of the examination and grading given course content and recognised academic standards. Moderation takes place on a one or two-year cycle.

Section nine: quality of teaching and supervision

Academic positions

The University has a number of employment categories under which teaching staff may be appointed:

- As permanent and fixed-term staff (including Professor, Associate Professor, Senior Lecturer, Lecturer, Professional Teaching Fellows, Senior Tutors)
- As casual and temporary staff (including Graduate Teaching Assistants and Teaching Assistants)
- As independent contractors (contract for services arrangements may be used in some areas of the University to engage teachers on a contractual basis. Contractors are not employees of the University)
- As Honorary or Visiting Academics

Professional Teaching Fellows (PTFs) and Senior Tutors are not expected to be engaged in academic research. PTFs are engaged in teaching in collaboration with a research-active academic. PTFs at level 4 of the scale may act as Course Directors.

Staffing needs and recruitment

Academic Heads establish staffing needs for permanent academic staff in consultation with the academic unit, and with reference to the academic unit staffing plan. Proposed recruitment is approved by the Dean, who advises the Vice-Chancellor. A Recruitment and Selection Committee is formed, Chaired by the Academic Head and including one member of the relevant Faculty Staffing Committee.

Faculty Staffing Committees consider academic staff appointments, continuations, promotions, and research and study leave approvals. The University Academic Staffing Committee receives reports from and assists Faculty Staffing Committees, and is responsible for considering and recommending on promotion to professor and associate professor.

Induction for new academic staff

Academic Heads are responsible for ensuring new staff participate in appropriate orientation and induction programmes. New academic staff are provided with the 'Teaching Catalyst', a programme through CLear that orients new staff towards their academic responsibilities as teachers, researchers and supervisors at the University. Academic Heads may organise academic mentors for new staff.

Review, promotion and continuation

The University's [Academic Standards](#) policies (Academic Standards for Research Fellows, Senior Research Fellows, Lecturers, Senior Lecturers, Associate Professors and Professors; and Academic Standards for Professional Teaching Fellows and Senior Tutors) provide the framework for management of staff performance and development, review, promotion and continuation processes.

Academic Heads are responsible for reviewing staff performance and development goals, providing feedback, and overseeing the induction and mentoring of new staff.

Teaching quality

Teaching quality is monitored in a number of ways:

- self-reflection and review of teaching practice through formative evaluation
- peer review processes at academic unit level
- course review processes conducted by Course Directors
- summative course and teaching evaluations with reporting to the DVC(A), faculty Deans and Associate Deans with responsibility for learning and teaching, and Academic Heads; follow up actions are required when the overall satisfaction rate for a course falls below 70%
- The University Learning and Teaching Survey with reporting to the DVC(A), faculty Deans, and Associate Deans with responsibility for learning and teaching
- induction processes and training programmes for staff new to university-level teaching or supervision
- Annual Academic Development and Performance Review processes where academic staff reflect upon teaching skills and set objectives for teaching development

Professional development

[CLear](#) supports workshop-based training for teaching staff to develop their academic practice. The Centre also provides advice and assistance for teaching development methods such as peer observation and review, teaching portfolios, electronic portfolios, peer mentoring and formative feedback. Peer reviews and teaching portfolios may contribute to a staff member's Academic Development and Performance Review, and may also form part of a submission for continuation and promotion or for an award for excellence in teaching.

The Centre offers a professional qualification for academic staff, and supports CLear Fellowships. CLear Fellows are academic staff nominated by their Dean to research and disseminate new teaching strategies. CLear also runs the [Teaching Catalyst Programme](#), for staff new to teaching at the University of Auckland. Learning Enhancement Grants provide a source of contestable funding to support the development of innovative projects to enhance teaching practice.

Recognition of excellence

The University's [Teaching Excellence Awards](#) recognise and celebrate excellence in teaching and postgraduate research supervision. As a condition of the award, winners are asked to share their practice in teaching development forums. Faculties and departments recognise and reward excellent teaching practice through local teaching awards. Awards are made for Early Career Excellence, Leadership in Teaching and Sustained Excellence in Teaching.

The Vice-Chancellor's Strategic Development Fund seeds new, innovative, strategically-aligned projects for activities such as the enhancement of Māori and Pacific participation and performance; enhancement of learning and teaching, to include the overall student experience; and enhancement of international students' experience.

Postgraduate supervision

Academic staff must be accredited to supervise masters or doctoral candidates; the accreditation process is managed by the School of Graduate Studies.

Postgraduate Supervision Guidelines set out limits for supervision load per academic staff member.

The quality of postgraduate supervision is monitored through provisional and annual doctoral reports and mid-year Masters progress reports. Students also comment on the quality of supervision in the annual Doctoral Exit Survey.

Data on postgraduate and doctoral students produced by the Planning and Information Office are evaluated regularly by the Board of Graduate Studies.

Section ten: learning and teaching environment and resources

Teaching spaces

Capital planning processes govern capital expenditure for the physical environment for learning and teaching. The Long-term Capital Plan is supported by faculty and service-division accommodation plans. A Campus Development Strategy and set of principles underpins planning for refurbishment and new development.

Space provision is managed through the Property Services division. Much of the day-to-day management of learning and teaching spaces is coordinated by the relevant faculty or service division in conjunction with Property Services.

The Learning Environment Support Unit is responsible for supporting pool teaching spaces and provides guidance and assistance for academic staff in using teaching technologies. LESU is also responsible for the maintenance of lecture recording systems in pool teaching rooms.

Appropriate space requirements for teaching and research facilities, student facilities and service divisions are included in the Long-term Capital Plan. The Plan also requires consideration of informal spaces for student activities, externally and internally, within new and refurbished buildings.

The quality of teaching and learning spaces is monitored through KPIs reported to Council and through the Learning and Teaching Survey.

All teaching technologies in teaching rooms align with Association of Educational Technology Managers standards for tertiary teaching spaces. Standards cover areas such as sightlines, acoustics and audio-visual fit-out. To ensure the University's technologies remain current they are updated on a five-year maintenance plan cycle.

Learning resources

Libraries and Learning Services supports learning, teaching and research through strategic management of learning and teaching spaces, learning services, physical collections and e-resources.

The LLS Vision and Strategy is a four-year, over-arching strategic document implemented through annually identified priorities. LLS conduct surveys of staff and student users and to inform their strategic priorities. LLS have developed frameworks for evaluation of physical and e-resources which inform decision-making in these areas and ensure that learning resources provided are of high-quality and appropriate to current and future needs.

Progress reports are provided to Libraries and Learning Services Committee, a committee of Senate.

The University's Learning Management System, Canvas, allows online course management, including administration and assessment, and staff and student usage data are part of frameworks being developed learning analytics to support student progression and retention. Canvas is also a significant feature of the University's learning and teaching continuity

arrangements. Further development of Canvas is led by the Director of Learning and Teaching and supported by the ITS Academic Services division.

Lecture Theatre Recording is managed centrally through the Learning Theatre Management Unit, with most large lecture theatres equipped for recording. Editing and release of recorded lectures is managed by lecturers, and made available to students through Canvas. Data on lecture theatre recording use are reported through Learning and Teaching Quality Committee, and student perception is monitored through relevant questions in the Learning and Teaching Survey.

The University, through an agreement with FutureLearn, offers a number of Massive Open Online Courses (MOOCs).

The e-Learning division in CLear provides resources and practical support for the development of e-learning projects and the use of e-Learning teaching technologies across the University. Several large faculties have units supporting learning and teaching technologies and pedagogical applications. Contestable Learning Enhancement Grants offer academics funding to develop projects that advance the University's priorities in technology-enhanced learning and teaching.

LIST OF ACRONYMS

ADPR – Academic Development and Performance Review
AQO – Academic Quality Office
APC – Academic Programmes Committee
AUSA – Auckland University Students’ Association
BoGS – Board of Graduate Studies
CDES – Career Development and Employability Services
CLear – Centre for Learning and Research in Higher Education
CUAP – Committee on University Academic Programmes
DELNA – Diagnostic English Language Needs Assessment
DoGS – Dean of Graduate Studies
DVC(A) – Deputy Vice-Chancellor (Academic)
DVC(SE) – Deputy Vice-Chancellor (Strategic Engagement)
LLS – Libraries and Learning Services
PGSA – Postgraduate Students’ Association
PIO – Planning and Information Office
PTF – Professional Teaching Fellow
SLC – Schools Liaison Committee
SMR – Strategic Management Reports
SET – Summative Evaluation of Teaching
SGS – School of Graduate Studies
SLT – Senior Leadership Team
TLQC – University Teaching and Learning Quality Committee
UTAS – Undergraduate Targeted Admission Scheme
VCDD – Vice-Chancellor, Deputies and Deans
VCSCG – Vice-Chancellor’s Student Consultative Group

DEFINITIONS

Academic audit is the cyclical process of self-review and external peer review undertaken by the Academic Quality Agency for New Zealand universities.

Benchmarking is a structured, collaborative, learning process for comparing practices, processes or performance outcomes. Its purpose is to identify comparative strengths and weaknesses, as a basis for developing improvements in academic quality.

(TEQSA Guidance Note on Benchmarking, April 2015. Definition taken from Norman Jackson and Helen S Lund, *Benchmarking for Higher Education*, 2000)

Class representative system describes the system of elected class or year representatives who sit on academic unit and/or faculty staff-student consultative committees.

Committee on University Academic Programmes (CUAP) is the body delegated (by Universities New Zealand) to exercise powers with respect to programme approval and accreditation for New Zealand universities.

Delegated authority means a member of staff has been given the authority to undertake a function or action.

Key Performance Indicators (KPIs) are agreed performance measures

SET Course and Teaching Evaluations (SET) the formal, centralised, online system for course and teaching evaluations at the University of Auckland.

Strategic Management Reports (SMR) is the University's online system for reporting key strategic information.

Survey Round means the annual round of meetings between the DVC(A) and senior staff in the faculty to discuss the Learning and Teaching Survey and course and teaching evaluation results.

The **Uniform Program** is a multi-year, international project that allows the University to benchmark information on the activity and function of professional staff.

KEY RELEVANT DOCUMENTS

Include the following:

Education Act 1989

Consumer Guarantees Act 1993

Privacy Act 2013

Copyright Act 1994

Fair Trading Act 1986

[Strategic Plan 2013-2020](#)

[Learning and Teaching Plan](#)

Student Charter

[Graduate Profiles](#)

[Policy and Procedures on the Enhancement and Evaluation of Teaching and Courses](#)

[Student Survey Policy](#)

[Assessment of Student Learning Policy](#)

[Instructions to Examiners and Assessors](#)

[Academic Programmes: Amendment Guidelines](#)

[Managers and Academic Heads Guide for Inducting New Staff](#)

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