



NEW ZEALAND QUALIFICATIONS AUTHORITY  
MANA TOHU MĀTAURANGA O AOTEAROA

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## Tertiary Evaluation Indicators

October 2017

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# The review of the tertiary evaluation indicators (TEIs)

## What are the TEIs and why do they matter?

The tertiary evaluation indicators (TEIs) were first developed in 2009 and revised in 2010. They follow the principles of the evaluative quality assurance framework (EQAF), which means they:

- are needs-based
- focus on outcomes
- are flexible in their application
- balance trust and accountability
- do not prescribe quality in only one way.

The main purpose of the TEIs is to provide tertiary education organisations (TEOs) with common points of reference for what 'good' can look like in education and training. As such, the TEIs serve as a useful tool in ongoing organisational self-assessment.

Furthermore, the TEIs help inform the answers to the key evaluative questions (KEQs) which all organisations will need to answer in the course of external evaluation and reviews (EERs). At the same time, the TEIs prompt EER evaluators to consider the possible sources of evidence of organisational performance and capability in self-assessment relevant to each TEO under review.

## Mātauranga Māori

The TEIs reflect the Tertiary Education Strategy commitment to education in and through Māori language, tikanga Māori and mātauranga Māori. This recognises the important role of Māori as tangata whenua and the government's responsibilities under the Treaty of Waitangi<sup>1</sup>. The TEIs emphasise successful engagement with learning, achievement and valued outcomes for Māori.

## Priority groups

The TEIs support best possible success (provision, achievement, outcomes) for all students. There is a specific focus on those at risk of not succeeding or with historic disparities in educational achievement and outcomes. These groups may include young people (under 25), Māori and Pasifika students, and those requiring foundational education and skills.

## How the tertiary education sector can use the TEIs

Under the EER Rules, TEOs are required to be able to answer the KEQs as part of their ongoing self-assessment activities. The KEQs are a central and common quality assurance framework between NZQA and tertiary organisations (EER rules, 2016). Answering the KEQs is also an important part of preparing for EER.

NZQA encourages TEOs to consider using the indicators in their self-assessment activities. It makes sense that the evidence of quality and value in tertiary education should be the same, whether informing NZQA EER or a TEO's self-assessment.

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<sup>1</sup> NZQA operates an optional, parallel quality assurance framework (Te Hono o Te Kahurangi – THoTK) for those programmes and organisations that base their provision explicitly on kaupapa Māori principles and mātauranga Māori. The THoTK framework has the equivalent of the TEIs - Ngā Tūtohu. These relate mainly to the expressions of kaupapa in a mātauranga Māori TEO context and cover many of the same aspects of TEO performance that the TEIs do.

## The importance of context

The relevance of each tertiary evaluation indicator varies according to the type of TEO and:

- the education it provides
- the nature of its programmes
- the characteristics of its students.

NZQA is responsible for quality assuring a wide range of TEOs. Some offer programmes leading to the full range of qualifications listed on the New Zealand Qualifications Framework (NZQF), while others may provide a short course for a few hours on a single topic. Others offer English language courses, business and technology programmes, or emphasise foundation literacy and numeracy education. Some are specialists in one area or help get students ready for work or further study. A significant number of TEOs provide tertiary education for international students.

Many organisations have an element of On-line Distance Flexible Learning (ODFL) in their provision, an area that has grown with the availability of fast, reliable internet services.

The EER process and its methodological tools are not a 'one size fits all' approach. They are flexible enough to respond to the wide range of circumstances described.

## How to use the indicators in self-assessment and preparing for external evaluation and review

The indicators suggest factors that might be relevant when considering a TEO's educational performance and capability in self-assessment. They are relevant to all the types of organisation, but their use and interpretation varies according to context. NZQA does not have a fixed view of how the indicators will be applied.

TEOs should use the indicator table to:

- identify which indicators are most relevant to them
- how they apply in their context
- the nature, types, extent and quality of the evidence available.

The aim is to assist TEOs to understand, maintain and improve their performance.

The indicators can also help develop a common understanding of the TEO's context and what is available through its self-assessment. Where a TEO has distinctive or specialised characteristics these should be clarified as part of the preparation for EER.

To assist with their use the TEIs have been grouped under the KEQ(s) they most relate to. However, it should be noted that there will be contexts where an alternative grouping may be appropriate. Some indicators have a high level of cross-over between KEQs and could be appropriately applied to more than one KEQ.

Most indicators will likely be relevant to most TEOs. However, TEOs and EER teams should also consider if there are any indicators that do not apply or need to be interpreted in a particular way.

## How do we know? Evidence from TEO self-assessment

The EER process aims to validate a TEO's self-assessment processes and results, and how it has used what it learned to maintain and improve provision. NZQA expects that a TEO's information about its educational performance is primarily informed by its self-assessment activities. TEOs are expected to have relevant evidence to answer the KEQs as part of their ongoing self-assessment.

The TEIs provide an organised way of thinking about how best to answer the key evaluation questions in an institution. However, the TEIs are not intended to be prescriptive. TEOs may well include information not mentioned in the TEIs or have different ways of thinking about

quality from those outlined in this document. Although we have suggested which indicators are most relevant to each EER key evaluation question, others may also apply.

## Validating TEO self-assessment

The key to understanding a TEO's educational performance is through its self-assessment. Where a TEO cannot demonstrate its performance in a credible and convincing way, the EER team will employ more direct questioning and evidence-checking themselves to reach their statements of confidence. Under these circumstances, the TEIs can provide a more prescriptive outline of what might be expected in the context of the TEO.

## How the indicators link to NZQA rules and guidelines

*All tertiary education organisations should refer to the New Zealand Qualifications Authority statement on evaluating educational performance:*

### [How NZQA evaluates educational performance in external evaluation and review](#)

This statement details the expectations for how TEO educational performance is evaluated. This applies to all types of tertiary organisation. It is central to the EER process and should also influence TEO self-assessment.

#### *NZQA rules*

To maintain statutory permissions<sup>2</sup> to deliver quality assured education, TEO's must conform with the NZQA rules. All of NZQA's rules are made under section 452 of the Education and Training Act 2020 and have been approved by the NZQA Board and, when required, the appropriate Minister of the Crown. The KEQs and TEIs provide guidance for TEOs in how to fulfil their obligations to the rules: e.g.

- [Private Training Establishment Registration Rules 2021](#)
- [NZQF Qualification Listing and Operational Rules 2021](#)
- [NZQF Programme Approval and Accreditation Rules 2021](#)
- [Consent to Assess Against Standards on the Directory of assessment Standards Rules 2021](#)
- [Quality Assurance \(including External Evaluation and Review \(EER\)\) Rules 2021](#)

#### *Enrolling and delivering to international students*

In addition to these rules, TEOs that enrol international students have an important responsibility to ensure that those students are well informed, safe and properly cared for.

To support this, the New Zealand government has developed the Education (Pastoral Care of International Students) Code of Practice 2016. TEIs assist TEOs to meet their responsibilities under the Code: [The Education \(Pastoral Care of International Students\) Code of Practice 2016](#)

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<sup>2</sup> Programme approval, training scheme approval, programme accreditation, consent to assess against standards on the directory of assessment standards, PTE registration, signatory status for the Education (Pastoral Care of International Students) Code of Practice 2016.

## Tertiary Evaluation Indicators

| Outcome indicators<br>Achievement & Outcomes   | ← Process indicators →<br>Programmes match needs   | Student engagement  | Governance & Management   | → Compliance  |
|--|--|---|---|---|
| <b>These indicators are relevant to:</b><br>1. How well do students achieve?<br>2. What is the value of the outcomes for key stakeholders, including students? | <b>These indicators are relevant to:</b><br>3. How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders? | <b>These indicators are relevant to:</b><br>4. How effectively are students supported and involved in their learning? | <b>These indicators are relevant to:</b><br>5. How effective are governance and management at supporting educational achievement? | <b>These indicators are relevant to:</b><br>6. How effectively are important compliance accountabilities managed? |
| Students acquire useful skills and knowledge and develop their cognitive abilities.  | Programmes maintain relevance to stakeholders and communities.   | Student learning goals are well understood.   | Organisational purpose and direction is clear.  | Policies and practices are legal and ethical.   |
| Students complete courses and/or gain qualifications.  | Programmes are regularly reviewed and updated to meet existing and emerging needs of students and stakeholders.  | Comprehensive and timely study information and advice is provided to assist students pursue their chosen pathways.    | Organisational academic leadership is effective.  | The TEO has effective compliance management processes.  |
| Students gain relevant employment and/or engage successfully with further study.   | Learning environments are planned and structured for the benefit and needs of students.  | Responses to the well-being needs of students are appropriate.  | Sufficient resources are allocated to support learning, teaching and research.  | Relevant legislation, rules and regulations are complied with.  |
| Students apply new skills and knowledge and contribute positively to their local and wider communities.  | Academic standards and integrity are maintained.   | The learning environment is inclusive.  | Data analysis is used effectively throughout the organisation.  |   |
| Students improve their well-being and enhance their abilities and attributes.  | Learning activities and resources are effective in engaging students.  | Policies and procedures minimise barriers to learning.  | Recruitment and development of staff is effective.  |   |
| Communities' and iwi bodies of knowledge are created, developed, and advanced.   | Key stakeholders, including students, are clearly identified and engagement is appropriate and ongoing.  | Students have opportunities to apply knowledge and skills in a variety of contexts.                                   | Staff are valued.   |   |
|  | Assessment is fair, valid, consistent and appropriate.   | Students are supported to establish effective social and academic support networks.                                   | The education organisation anticipates and responds effectively to change.  |   |
|  | Assessment provides students and teachers with useful feedback on progress.  | Students are provided with useful and timely feedback on their progress.  | Innovation, responsiveness and continuity are balanced.   |   |
|  | Learning activities and assessment tasks are purposefully aligned with learning outcomes.  |   | The TEO operates a sustainable business model, which is aligned to its educational purpose.                                       |   |

**Self-assessment is comprehensive and effective.**

# EER key evaluation questions (KEQs)

There are two questions (KEQs) relating to the outcomes of tertiary education (KEQs 1 and 2) and four relating to the key processes that contribute to or are associated with the outcomes (KEQs 3, 4, 5 and 6).

TEOs are expected to be able to answer the six key evaluation questions through evidence and analysis from their self-assessment processes and results. The possible evidence of achievement and valued outcomes (KEQs 1 and 2) is detailed in the 'outcome indicators' of the tertiary evaluation indicators. The possible evidence of the key activities likely to contribute to achievement and outcomes (KEQs 3, 4, 5 and 6) is detailed in the 'process indicators'. Refer to the table on page 6.

## Outcome questions (KEQs 1 and 2)

*KEQ 1: How well do students achieve?*

KEQ 1 focuses on the immediate 'products' of tertiary education. Actual student<sup>3</sup> achievement, including, where possible, clear and unambiguous evidence of the progress or value-added component, is a primary indicator of effective educational delivery.

For the purposes of this question, student achievement involves:

- completion of the course(s)<sup>4</sup>/qualification(s)
- evidence of students attaining the knowledge, skills and attributes of the programme or qualification at the appropriate level (in the case of New Zealand qualifications, as specified in the qualification's graduate profile)
- evidence of gains in personal, cognitive, study, communication and social skills
- evidence of the 'value-add'<sup>5</sup> for students as demonstrated through tracking academic and personal progress (for individual and/or groups or cohorts of students).

*KEQ 2: What is the value of the outcomes for key stakeholders<sup>6</sup>, including students?*

The possible outcomes include short, medium and longer-term benefits and impacts like:

- enhanced personal and cognitive skills, abilities and attributes (students/graduates)
- becoming employable and/or gaining relevant employment (students/graduates)
- regional/national employment, business, and industry needs being met (students/graduates/stakeholders)
- wider social, economic, cultural or environmental benefits (students/graduates/stakeholders).

Students and other groups, such as whānau, iwi, employers, business, local and wider communities, are likely to be significant in answering this question. The TEO should be able to evidence through its self-assessment how the needs of its particular stakeholders are being met through the achievement of identified, relevant and important outcomes.

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<sup>3</sup> Individuals, cohorts, and identified priority groups such as Māori, Pasifika, young people (under 25), and those requiring foundational education and skills.

<sup>4</sup> Not all courses or programmes are required to be NZQA approved, for example English Foreign Language courses of 10 or 12 weeks' duration, or First Aid courses, and various other (mainly short) courses.

<sup>5</sup> Including retention in study and progression to further study.

<sup>6</sup> 'Stakeholders can be different groups of people in different TEOs, but are likely to include some or all of: students, communities, employers, industry and business, professional bodies and other relevant regional and national groups, including whānau, hapū, iwi and hapori Māori.



'Value' is the usefulness or benefit to a student or stakeholder group of a TEO's activities. 'Valued outcomes' occur when the important needs of students and/or stakeholders have been met and intended benefits have been realised (to the extent reasonably possible).

### Process questions (KEQs 3, 4, 5, 6)

*KEQ 3: How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?*

This question is about designing and delivering programmes to match the needs of students and stakeholders. Programme design (including learning activities and assessment tasks) should align with the intended learning outcomes and expected graduate profile outcomes (for programmes based on New Zealand qualifications). Similarly, programme delivery should be based on the programme approved by NZQA (where relevant) and be flexible enough to meet student needs.

Effective assessment will identify gaps in learners' understanding and abilities as well as what they already know and can do. The TEO can then target learning activities to address these gaps and build on existing knowledge, skills and attributes. Good assessment is also essential for valid credentialing at the end of the programme or qualification. The reliability and validity of assessment is vital to maintaining academic quality and integrity. Explicitly aligning learning and assessment activities with intended learning outcomes empowers students to reflect on their progress, enhances engagement and strengthens motivation.

In general, teachers/tutors are responsible for these aspects of programme design and delivery. The learning context may include 'on the job' training and/or work experience, technology and distance/flexible learning strategies, classroom-based, campus-based, noho marae or other learning activities.

*KEQ 4: How effectively are students supported and involved in their learning?*

Good support and guidance help teachers and others to identify and respond to student needs. They also help to actively and successfully engage students, and keep them engaged to the completion of their course and beyond.

Research strongly suggests that learning occurs most effectively when students are clear about the learning goals, understand fully what the criteria for success are, and are provided with multiple opportunities to reflect upon their progress towards achieving the learning outcomes.

Involving students in formative assessment opportunities, soliciting their prior knowledge and feedback to inform delivery, and supporting them to monitor their own progress and development enhances learning and improves achievement.

*KEQ 5: How effective are governance and management in supporting educational achievement?*

This question is about a systematic and purposeful whole-of-organisation approach to maximising educational performance. The approach should illustrate a clear organisational purpose informed by data-driven self-reflection directed towards coherent and clearly articulated goals.

*KEQ 6: How effectively are important compliance accountabilities managed?*

This question focuses mainly on how well the TEO manages its regulatory responsibilities under the Education and Training Act 2020 and associated NZQA rules. This means effective TEO self-management of:

- processes to manage compliance
- compliance with relevant NZQA rules, including programme approvals



- compliance with relevant regulations, such as The Education (Pastoral Care for International Students) Code of Practice 2016
- meeting wider legal and ethical responsibilities, as relevant.

TEOs are expected to take all reasonable steps to meet their important compliance responsibilities. This is the minimum standard NZQA expects.

## Indicator category: achievement and outcomes

These indicators are most relevant to:

### Key evaluation questions 1 and 2:

1. How well do students achieve?
2. What is the value of the outcomes for key stakeholders, including students?

### Indicator title

***Students acquire useful skills and knowledge and develop their cognitive abilities***

### Explanation

Tertiary education leads to many positive and important outcomes for students – often beyond the specific context of the course or qualification.

Development of personal skills, and the skills relating to learning itself and learning to learn (metacognition), are likely to have life-long benefits often well beyond the vocational or discipline-related skills of tertiary study. The key aim for students/graduates is not only to have the immediate skills employers want but also have the ability to go on acquiring new knowledge and expertise to meet changing circumstances.

Higher order thinking skills – critical thinking, the ability to exercise judgement, applied evaluation and decision-making skills – are also highly relevant in both the immediate and longer terms. These skills may be among the most valuable outcomes of successful engagement with tertiary education.

### How do we know? Evidence from TEO self-assessment

Evidence of positive changes in:

- literacy and numeracy skills
- concentration and study skills
- communication and inter-personal skills
- higher order thinking skills
- trends from student assessment information, including student progress/educational value-add.

Evidence of positive changes in:

- subject specific knowledge
- problem solving and decision making
- motivation
- life skills
- self-management
- physical health
- cultural awareness
- sense of belonging
- community engagement
- family relationships.

### Prompts to aid evaluative inquiry

How well does the TEO understand and use information on skills development, knowledge gains and changes in attitude to further improve achievement and outcomes for students?

How well does the TEO understand the needs of its priority learners?

To what extent have students improved their literacy and numeracy skills?

To what extent have students improved their learning skills?  
To what extent have higher order thinking skills been fostered/promoted?

### Indicator category: achievement and outcomes

These indicators are most relevant to:

#### Key evaluation questions 1 and 2:

1. How well do students achieve?
2. What is the value of the outcomes for key stakeholders, including students?

#### Indicator title

#### ***Students complete courses and/or gain qualifications***

#### Explanation

Successful course and/or qualification completion are indicators that a student is ready for employment, further learning or engaging with and contributing to society.

Course and qualification completions, retention in study and progression to further study are each measured by the Tertiary Education Commission's educational performance indicators (EPIs). The EPIs have recently moved to a cohort-based qualification completion rate and to a first-year retention rate so that they focus on tracking individuals (rather than EFTS) and whether those individuals are retained or complete courses and qualifications. As a result, the EPIs are now less likely to be distorted by external factors (for example, changing enrolments across years or embedded qualifications).

Course and qualification completions are the immediate output of tertiary education for most graduates. They represent a key indicator of achievement. Similarly, completion rates are an important indicator of the organisation's overall educational performance, and can provide a basis for comparison with similar organisations.

Interpreting what EPI data means requires due caution. By themselves, completion rates are simply one part of the picture of student achievement. They depend on context and need to be considered alongside information about the specific knowledge, skills and aptitudes that graduates have gained (at the appropriate level) and the value-add or 'distance travelled' by the student.

NZQA carries out external reviews of the 'consistency of graduate outcomes' to provide assurance that all graduates of New Zealand qualifications meet the outcomes to an equivalent, nationally acceptable standard. TEOs are expected to have good information about the extent to which their graduates meet the graduate profile of the qualification, and this information should be an important part of the overall picture of student achievement.

In addition, it is possible that a TEO with lower course completion rates, for example, has added more 'educational value' for its students than one with higher completion rates. This depends on where the student was when they started the course. Tertiary education organisations can draw on both institutional-level data on completions and internal assessment data for individual programmes to better understand what value they add.

*Taken together, course and qualification completions, information about the consistency of graduate outcomes and information about the progress that students have made provide a much fuller picture of achievement.*

#### How do we know? Evidence from TEO self-assessment

- Information from student assessment gathered at commencement, during and at completion of the course/qualification

- Trends over time that are cross-referenced to other relevant programmes and TEOs
- Evidence that the TEO uses benchmarking information to revise/set its goals and expectations appropriately
- Student achievement of relevant cohorts and/or groups within departments/schools/disciplines and at TEO level (e.g. whole-of-TEO data)
- Data on priority group student achievement alongside overall TEO results to inform conclusions
- Data on Māori student achievement alongside overall TEO results to inform conclusions
- Data on Pasifika student achievement alongside overall TEO results to inform conclusions
- Information on student and stakeholder outcomes relevant to the organisation
- Any reviews of the range and quality of available performance data, including any significant gaps in that data
- Evidence from any steps taken to objectively verify educational performance

### Prompts to aid evaluative inquiry

- What counts as student achievement in the organisation?
- What counts as student and stakeholder outcomes in the organisation?
- How and what information or evidence is gathered on achievement/outcomes?
- What is the quality of the information? How is this determined?
- How is this information/evidence interpreted and understood within the TEO?
- How does the understanding gained from self-assessment influence decision making in the TEO?
- How is the information and understanding used to maintain and improve performance?
- What is the overall impact of these efforts on student achievement and outcomes? What is the evidence of that impact (i.e. evidence of improvement)?
- What value-add are the students seeking to get out of their education (e.g. full-time vs part-time, school leavers vs from employment, educational and socio-economic background)?
- Are students able to transfer their learning to another TEO if required?
- In the case of Māori student achievement and/or Pasifika student achievement (or any other relevant identified group within the TEO), how the above steps have been applied in the context of that group to maximise achievement and outcomes.

#### *Māori student achievement*

- How many Māori students are enrolled at the TEO? What proportion of total enrolments is this?
- What courses are they enrolled in?
- How does their achievement compare with other students?
- What is the overall quality of outcomes for Māori? How does the TEO know?
- How effectively are Māori students supported to be successful?

#### *Pasifika student achievement*

TEOs should be able to discuss and answer questions relating to Pasifika student achievement where relevant:

- How many Pasifika students are enrolled at the TEO? What proportion of total enrolments is this?
- What courses are they enrolled in?
- How does their achievement compare with other students?
- What is the overall quality of outcomes for Pasifika students? How does the TEO know?
- How effectively are Pasifika students supported to be successful?

#### *Priority students*

- Do you have (other) priority groups? Who are they and what are their learning needs? How well are these needs being addressed? How well are these needs being met? What is the evidence of achievement and/or outcomes?

## Indicator category: achievement and outcomes

These indicators are most relevant to:

### Key evaluation questions 1 & 2:

1. How well do students achieve?
2. What is the value of the outcomes for key stakeholders, including students?

### Indicator title

***Students gain relevant employment and/or engage successfully with further study***

### Explanation

Is the course or qualification relevant to the graduate's future life? What value does the course or qualification have for the graduate?

The government invests in tertiary education to contribute to wider economic, social and environmental outcomes. Key stakeholders include business, employers, industry, community and regional groups, and iwi.

Students also invest in their tertiary education, and expect personal benefits that help them meet their needs and fulfil their aspirations.

Many qualifications are focused on a vocation and are intended to make the graduate employable. Qualifications may also be 'stepping stones' to further/higher study, which may lead to improved future employment prospects or other personal or societal contribution.

It is a reasonable expectation that tertiary education organisations will take an active interest in how suitable the knowledge, skills, attributes of their graduates are for their intended destination. TEOs should also have appropriate ways to track this information and use it to adjust their provision in response to what 'end users' have to say. Although the means of tracking graduates will vary, it is particularly relevant where there are vocational or applied outcomes. TEOs should be able to track graduates to enhance their provision and meet the needs of their students and communities.

From 2017, tertiary education providers will have to publish information on the employment status and earnings of their graduates. The information will come from a Statistics New Zealand database that links data from many government agencies (Integrated Data Infrastructure IDI).

### How do we know? Evidence from TEO self-assessment

Evidence sources could include:

- employment outcomes
- career advancement
- creative enterprise
- voluntary work
- community/iwi/hapū/marae participation
- further achievement in scholarship, research, publications or awards.

This data could be taken from:

- alumni information
- graduate surveys
- employer surveys

- data on economic trends
- data on societal trends
- census data
- Integrated Data Infrastructure (IDI) – Statistics New Zealand
- graduate outcome surveys and publications – Ministry of Education
- social media or another formal or informal means of tracking graduate destinations.

### Prompts to aid evaluative inquiry

How well does the TEO make the connection between longer term outcomes (employment, further study, community involvement) and the shorter-term outcomes of tertiary study (course and qualification completion)?

Does the organisation have a deliberate and effective strategy for tracking graduate destinations and determining the fit between the graduate's knowledge, skills and attributes and the requirements of their 'destination'?

How does the organisation use the information about graduate destinations to adjust their provision?

What changes or improvements are made as a result?

### Indicator category: achievement and outcomes

These indicators are most relevant to:

#### Key evaluation questions 1 and 2:

1. How well do students achieve?
2. What is the value of the outcomes for key stakeholders, including students?

#### Indicator title

***Students apply new skills and knowledge and contribute positively to their local and wider communities***

#### Explanation

TEOs are important contributors to the economic, social, cultural and environmental development of communities. Students and graduates contribute to this development through applying the range of skills gained through tertiary study.

TEOs respond to the identified needs of their communities through:

- businesses, employers, and industry
- social and community groups including iwi/hapū/marae
- ethnic groups with specific aspirations and needs
- responding to environmental issues.

#### How do we know? Evidence from TEO self-assessment

Evidence sources could include:

- employment outcomes
- creative enterprise
- voluntary work
- community/iwi/hapū/marae participation.

This data could be taken from:

- alumni information
- graduate surveys

- employer surveys
- data about economic trends
- data about societal trends
- census data
- Integrated Data Infrastructure (IDI) – Statistics New Zealand
- graduate outcome surveys and publications – Ministry of Education
- social media or other formal or informal means of tracking graduate destinations.

### Prompts to aid evaluative inquiry

What information does the TEO gather about graduate destinations and contributions to their communities?

How effectively do communities and groups make use of the knowledge, skills and resources of the TEO?

How effective is the TEO in enhancing communities?

### Indicator category: achievement and outcomes

These indicators are most relevant to:

#### Key evaluation questions 1 and 2:

1. How well do students achieve?
2. What is the value of the outcomes for key stakeholders, including students?

#### Indicator title

***Students improve their well-being and enhance their abilities and attributes***

#### Explanation

Enhanced well-being enriches and empowers students to succeed during their study, and contributes to success in wider society after study.

A quality educational experience can give graduates higher levels of self-confidence and self-efficacy, along with the motivation, skills and longer-term ambitions to participate constructively in society.

Success for Māori students in literacy, language and numeracy can be built on foundations of Māori culture and identity, pedagogies and tikanga. It reflects a holistic approach to the student, including: taha whānau (social/cultural well-being), taha wairua (spiritual well-being), taha hinengaro (emotional/mental well-being), and taha tinana (physical well-being) dimensions to encourage and enable progress.

#### How do we know? Evidence from TEO self-assessment

Information about student assessment and the trends this shows.

Evidence of positive changes in:

- motivation
- life skills
- self-management
- physical health
- cultural awareness
- sense of belonging
- community engagement
- family relationships.



### Prompts to aid evaluative inquiry

How does the TEO know it has had a positive influence on the well-being of students?

How does the TEO know it has had a positive influence on the abilities and attributes of students?

### Indicator category: achievement and outcomes

These indicators are most relevant to:

#### Key evaluation questions 1 and 2:

1. How well do students achieve?

2. What is the value of the outcomes for key stakeholders, including students?

#### Indicator title

***Communities' and iwi bodies of knowledge are created, developed, and advanced***

#### Explanation

New knowledge, skills, and technology enhance understanding and support business, industry, and/or community/iwi development.

TEOs have a responsibility to recognise, support, promote and advance Māori expression through te reo Māori and tikanga Māori. Mātauranga Māori – Māori knowledge – should be recognised and protected in practice and process, where whānau, hapū and iwi benefit.

#### How do we know? Evidence from TEO self-assessment

Evidence of:

- publications
- citations
- research outputs
- presentations
- consultancies
- cooperative ventures
- new technologies
- new or improved business processes and products
- community/iwi initiatives
- evidence that the value and importance of te reo Māori is recognised
- evidence that the value and importance of tikanga Māori is recognised
- evidence that the value-add of Māori bodies of knowledge is recognised in programmes and advanced in/through scholarship
- evidence that governance and management support Māori expression and the development of mātauranga Māori.

### Prompts to aid evaluative inquiry

How effectively has the TEO contributed to the creation and dissemination of new knowledge within its influence?

How do research and technology support industry/professions?

How do research and technology support community interests/professions?

How does the TEO contribute to education in and through Māori language, tikanga Māori and mātauranga Māori?

How does the TEO recognise the role of Māori as tangata whenua and its responsibilities under the Treaty of Waitangi?

How does the TEO know its contribution is valued by stakeholders/iwi/hapū/marae?

### Indicator category: programmes match needs

These indicators are relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Programmes maintain relevance to stakeholders and communities***

#### Explanation

This indicator addresses a TEO's ability to provide programmes valued by students and stakeholders, and their communities. Sound needs analysis and sustained engagement with stakeholders and communities are central to maintaining relevance. TEOs should identify key stakeholders and engage with them to understand their learning, training, research, employment and social needs. Identifying present and future needs should then underpin programme design.

Stakeholders refer to groups and individuals who have a direct, formal, and often economic stake in the work of the TEO, including iwi. Communities refer to less formal social and cultural groups, including whānau, hapū and iwi, that have a legitimate interest in the work of the TEO. The TEO's distinctive contribution and context will influence how it engages with stakeholders and communities to produce relevant and equitable outcomes.

The more relevant the programmes are to key stakeholders and communities, the better supported they are likely to be. Students are also more likely to engage with programmes they feel are relevant. A programme that maintains relevance will better equip students with the knowledge, skills, and attributes they will need to succeed after completing the programme.

#### How do we know? Evidence from self-assessment

- Key stakeholders are identified and there is evidence of ongoing, active engagement with them.
- Feedback from stakeholders is used to inform programme planning, delivery and review.
- There is evidence of worthwhile improvement through self-assessment.

There is evidence of analysis and use of feedback from:

- students and student groups
- feedback
- iwi/hapū/marae
- ITOs/standard setting bodies
- advisory groups
- secondary schools
- other TEOs
- community groups
- other relevant sources including employers and industry.

#### Prompts to aid evaluative inquiry:

How does the TEO consult with stakeholders, students and their communities on programme planning and design?

How does the TEO implement feedback and suggestions from students and student groups?

How, and how effectively, do TEO staff, at various levels, engage with stakeholders and communities, beyond programme planning and design?

How effective is engagement in providing information for planning, delivery and programme evaluations?

### Indicator category: programmes match needs

These indicators are relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Programmes are regularly reviewed and updated to meet existing and emerging needs of students and stakeholders***

#### Explanation

TEOs should have effective processes that actively consider and review the content of their programmes. In addition, TEOs should research current teaching and learning when reviewing delivery methods and technologies.

Programmes and delivery methods can quickly become obsolete. To be relevant and effective, as well as address student and stakeholder needs, teaching practice and learning activities must keep pace with change. Students' expectations of their tertiary learning are being formed in an interactive, interconnected, and digital world. Where the rate of change in an industry and/or subject area is high, it is important for learners' wider cognitive abilities to be developed as well as their content knowledge. Well-planned programmes will respond to and reflect these changes in the learning environment.

#### How do we know? Evidence from self-assessment

- Programmes, services and activities are monitored on an ongoing basis, using a range of relevant quantitative and qualitative data.
- Data (both qualitative and quantitative) is used to inform systematic, regular reviews and evaluation.
- TEOs conduct programme reviews/evaluations and departmental/school/disciplinary or organisational self-reviews, then analyse and act on the results.
- The TEO uses a range of relevant information and data to improve programme delivery and maintain academic standards:
  - Needs assessments
  - Analysis and use of information from:
    - programme reviews
    - feedback from students.
- Evidence of worthwhile improvement through self-assessment.
- Student and student group feedback

#### Prompts to aid evaluative inquiry

How are learning resources and activities reviewed and updated?

How are teaching resources and activities reviewed and updated?

How, and how effectively, does the TEO identify and respond to ongoing student and stakeholder needs?

How does the TEO implement feedback and suggestions from students and student groups into programme design?

How, and how effectively, does the TEO plan based on the needs assessment?

How does the TEO introduce new subject content and methods?

What evidence is there of the TEO adapting its learning and teaching activities because of the reviews of programme design and delivery?

### Indicator category: programmes match needs

These indicators are relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Learning environments are planned and structured for the benefit and needs of students***

#### Explanation

A well-organised learning environment, with a range of support facilities and pastoral care services, can enhance and sustain motivation and concentration. It can also contribute to learners' physical and emotional health and well-being. Community and whānau involvement are likely to be essential for this.

For Māori students, effective learning environments are often characterised by Kaupapa Māori approaches that connect with the student's iwi and tikanga.

Creating good learning environments involves responding to diverse skills and learning preferences in a way that engages students. Positive interaction between teachers and students both within and outside teaching is often a feature of such environments.

Effective learning environments make use of a wide range of teaching/delivery methods: for example, face-to-face, distance and online. They may also involve different settings such as classrooms, communities and workplaces.

#### How do we know? Evidence from self-assessment

Analysis and use of information from:

- informal and formal feedback from students via surveys, interviews, focus groups, social media and regular interaction with tutors and TEO staff
- tutor performance and evaluation
- observation by peers and/or senior staff
- complaints register.

#### Prompts to aid evaluative inquiry

What is done to make learning environments:

- motivating and engaging?
- relevant and valued by students?

- responsive to the needs of priority groups?
- open to different cultural values?
- focused on achievement?

### Indicator category: programmes match needs

These indicators are relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Academic standards and integrity are maintained***

#### Explanation

New Zealand's tertiary education sector must be credible and robust both nationally and internationally. The integrity of the NZQF depends on the sector having a good reputation, based on appropriately high academic standards. Poor standards and practice from TEOs would dilute the faith of employers, further education institutions and wider society in the value of New Zealand's tertiary qualifications.

Students and stakeholders must be confident in a TEO's processes for managing academic standards.

This indicator considers the processes the TEO uses for ensuring that these standards are maintained. Programme and assessment design should be appropriate to the level of the qualifications and adequately reflect the expected skills, knowledge, and attributes set out in the graduate profile of a New Zealand qualification, or with the intended programme objectives for those programmes not based on New Zealand qualifications.

Academic honesty should be explicitly discussed and understood within the TEO. The TEO must consider all levels of potential misconduct (staff and student) and have robust and rigorous methods in place for detecting and addressing any misconduct.

A TEO's organisational culture should encourage, support and reward the maintenance of academic standards and behaviours that demonstrate integrity. TEOs need to continually assess the currency and effectiveness of academic misconduct policies so that students are not left with room to make assumptions about misconduct. Students should be aware of the consequences of breaching academic integrity policies. This particularly applies to the use of new technologies. Staff should also be encouraged and motivated to report dishonesty, with organisational support provided when they report it.

#### How do we know? Evidence from self-assessment

Analysis and use of information from:

- feedback from academic misconduct processes
- tutor performance and evaluation
- complaints register
- internal and external assessment moderation reports
- reports from monitoring activities.

#### Prompts to aid evaluative inquiry

What process does the TEO use for identifying and addressing academic misconduct?

What guidance and support do staff receive about academic misconduct?  
 What guidance do students receive about academic misconduct?  
 How effective are the TEO's academic misconduct processes? How does the TEO monitor this?

### Indicator category: programmes match needs

These indicators are relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Learning activities and resources are effective in engaging students***

#### Explanation

Using appropriate activities and resources enhances learning by making it interesting and relevant to students.

Programme design should actively consider and integrate student engagement techniques appropriate to the student cohort, including priority groups and content of the programme.

Effective teaching includes features such as: subject knowledge, flexible delivery, timely feedback, and providing appropriate resources. It should also facilitate higher-level learning, such as critical and creative thinking, problem-solving and the transfer of knowledge.

Effective teachers intentionally plan and structure learning tasks to meet the content requirements of the programme, address student needs and successfully engage students.

#### How do we know? Evidence from self-assessment

Analysis and use of information from:

- reflection on design of learning activities
- formal and informal feedback from students
- well-designed and structured tutor performance and evaluation
- well-designed and structured observation by (tutor) peers
- complaints register.

#### Prompts to aid evaluative inquiry

How, and how well, are resources matched to learners' abilities, their literacy and numeracy needs and goals, and course objectives?

How do teaching and learning activities match the needs of the qualification?

How well do learning activities engage students? How does the TEO know?

How does the TEO implement engagement feedback and suggestions from students and student groups?

How effective are learning resources in engaging priority students?

How, and how effectively, does the TEO use online and distance delivery?

How effectively do student-tutor interactions encourage learning? How does the TEO know?

How well do students collaborate? How does the TEO know?

## Indicator category: programmes match needs

These indicators are relevant to:

### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Key stakeholders, including students, are clearly identified and engagement is appropriate and ongoing***

#### Explanation

Although students are their primary stakeholders, TEOs must also respond to the needs of a wide range of stakeholders and communities. Stakeholders include groups and individuals who have a direct, formal, and often economic stake in the work of TEOs. 'Communities' refers to the less formal, and often less organised, social and cultural groups in society that have a legitimate interest in the work of TEOs. From an economic perspective, employers, business and industry are key stakeholders for many programmes and qualifications.

Engagement with stakeholders is often focused on identifying learning needs and research priorities. This will help the TEOs ensure the resulting programmes are relevant and of high quality and value. TEO's may engage with prospective students to assist them with programme selection and inform them of likely benefits or prospects.

TEOs can play a vital role by using expert knowledge and skills to inform and contribute to their communities. They can also bring people together in support of community goals (local or regional), and work constructively to achieve desired educational, social, cultural or environmental goals.

Stakeholders and TEOs have perspectives and information that are mutually beneficial.

TEOs may engage for their own benefit with allied organisations and networks (national or international) to share emerging knowledge. Some of these organisations offer participation in benchmarking and accreditation activities.

It may not be possible to satisfy all stakeholders. What is important is the best possible management of the tensions involved in addressing competing needs.

#### How do we know? Evidence from self-assessment

- Key stakeholders are identified and there is evidence of ongoing, active engagement with them.
- Analysis and use of feedback from:
  - individual students and student groups
  - iwi/hapū/marae
  - ITOs/industry
  - advisory groups
  - secondary schools
  - other TEOs
  - community groups
  - council/board
  - management
  - staff.
- Effectiveness of different media when communicating with:
  - individual students and student groups
  - iwi/hapū/marae
  - ITOs/industry



- advisory groups
- community groups.

Other possible sources of evidence include:

- minutes of meetings held with these groups and between staff and industry
- reports from government and local bodies.

### Prompts to aid evaluative inquiry

How, and how effectively, does the TEO engage with its students and student groups?

How, and how effectively, does the TEO engage with its communities?

To what extent is engagement characterised by agreement on goals and how these should be achieved?

How effective is the TEO's participation in the life of its community?

How, and how effectively, does the TEO identify its stakeholders and their needs?

To what extent is stakeholder engagement characterised by the mutual exchange of ideas and information? How is this done?

How effectively does the TEO manage the competing needs of stakeholders?

How does the TEO inform itself of developments in technology, work practices and the economic environment?

How, and how well, are stakeholders informed of developments in learning, education, and content areas?

How well do stakeholders understand the TEO's goals and objectives? How does the TEO know?

### Indicator category: programmes match needs

These indicators are most relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Assessment is fair, valid, consistent and appropriate***

#### Explanation

Well-constructed assessments are required to support learning, and to provide good evidence of achievement. Assessment materials and decisions are required to be fair, valid, consistent and appropriate for the level, given the stated learning outcomes

- *Fair*: Assessment processes and products should be without barriers – providing equity of opportunity for all students.
- *Valid*: Assessment should sample fairly the objectives and content of the course, should have clarity and appropriate marking criteria for the task and level of students. It should be 'fit for purpose'.

- *Consistent:* Assessment that is a reliable and accurate measurement of student learning will provide consistent results regardless of when the assessment occurs or who does the marking. Consistent assessment can be used for multiple cohorts with similar results.
- *Appropriate:* Assessment should only be of the intended skills, knowledge and attributes of the graduate profile the qualification the assessment leads to or objectives of the programme (if not based on a New Zealand qualification on the NZQF). It should be at a level appropriate to the stated learning outcomes and should be sufficient to provide certainty about the level of competence of those being assessed.

Different organisations, subject areas and programmes will have different approaches to assessment. External agencies may also influence the form and content of assessment.

There are formative and summative aspects to assessment. Formative assessment enables students and teachers to judge progress towards learning objectives. Summative assessment enables them to judge if and when objectives have been met. Summative assessment is 'high stakes' as it tracks a learner's progress towards the achievement. Modes of assessment should provide students with opportunities to test and clarify their understanding of content.

Analysis of assessment information contributes to programme development, and may also be an alternative way of judging organisational and programme quality. While assessment informs and guides learning, it does not on its own guarantee the quality of learning.

### **How do we know? Evidence from TEO self-assessment**

Analysis and use of:

- information from reviews of assessment practice in the TEO
- TEO assessment policy and guidelines
- assessment information/publications for students
- feedback from students
- assessment results
- internal and external assessment moderation reports
- appeals of results
- reports from external agency's – where relevant.

### **Prompts to aid evaluative inquiry**

How does the TEO know about the quality of assessment across all programmes, and the extent to which they are valid, sufficient, fair, and transparent (especially to students)?

How does the TEO assure itself that students clearly understand assessments

How does the TEO assure itself that external stakeholders clearly understand assessments?

How does the TEO implement feedback and suggestions from students and student groups into assessment design?

How does the TEO obtain feedback on assessment where professional bodies or other stakeholders have a significant interest in the programme?

How does assessment take account of the context of the knowledge, skills and attributes being assessed?

How effective is information to students about what assessments there are, when assessments will happen and any criteria for completion?

How is formative assessment of students used?

How effectively does the TEO use assessment to inform programme development for individual, groups and cohorts of students?

How is assessment information used to inform judgements about programme and organisational quality?

## Indicator category: programmes match needs

These indicators are most relevant to:

### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Assessment provides students and teachers with useful feedback on progress***

#### Explanation

Assessment is integral to learning and influences the way students engage with their study. Feedback to students must be reported in ways that they clearly understand. Nor should students wait an unreasonable time to see the results from their assessments.

Assessment of learning involves determining what and how much students have learned, tied to specific learning outcomes derived from the graduate profile of the qualification or the objectives of the programme. This kind of assessment answers the question: what exactly do students need to demonstrate that they know and can do as a result of the teaching and engaging with the learning activities?

Assessment for learning is focused on using assessments to help students improve and move forward in their learning. This kind of assessment is equally important in giving students the information they need to guide and promote their own learning so that they can meet the intended outcomes. Assessment for learning means that academic staff assess in a way that allows teachers to identify what kinds of improvements are needed and communicate this information to students. Is the student being told what to do to improve and master the graduate profile/meet the programme learning objectives?

Assessment provides useful feedback to students and contributes to improving teaching and programme development. Assessment also has a role in developing the habit of self-assessment in learning. Regular feedback to students on their progress towards commonly understood learning goals is probably the single strongest influence on successful achievement.

Analysing results from assessment activities provides academic staff with worthwhile information about the quality of the teaching and learning activities of the programme.

#### How do we know? Evidence from TEO self-assessment

Analysis and use of:

- information from reviews of assessment practice in the TEO
- TEO assessment policy and guidelines
- assessment information/publications for students
- feedback from students, (particularly about the assessment feedback they receive)
- assessment results
- internal and external assessment moderation reports
- appeals of results
- reports from external agencies.

#### Prompts to aid evaluative inquiry

How does the TEO ensure that formative feedback is used to enhance learning?

How does the TEO assist and encourage students to assess their own progress?

What opportunities do students have to report on the quality of the feedback they get?

To what extent do assessment results inform future programme design?

How do teaching staff use assessment results to improve their teaching?

How effective is the link between the results of literacy and numeracy assessment and the establishment and review of learning plans?

How is assessment data analysed and used to facilitate personalised learning and support for students?

How is assessment data analysed and used to facilitate personalised learning for priority students?

How is assessment practice in the TEO reviewed for how well it promotes successful student engagement and achievement?

### Indicator category: programmes match needs

These indicators are most relevant to:

#### Key evaluation question 3:

**How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?**

#### Indicator title

***Learning activities and assessment tasks are purposefully aligned with learning outcomes***

#### Explanation

To maximise student achievement, programmes need to be deliberately designed so that the learning activities and assessment tasks are aligned with the intended learning outcomes. The learning outcomes should be derived from the qualification graduate profile outcomes or the stated aims of the programme (for non-NZQF programmes). This provides the students with anchors for the content of the learning. Students should be explicitly aware of both the learning outcomes and how they will be assessed. The idea is that the learning outcomes should not be left to students to work out for themselves.

#### How do we know? Evidence from TEO self-assessment

Evidence from:

- programme planning and records from programme design
- programme approval documents
- feedback from teachers/tutors
- information from reviews of programmes
- information from reviews of teaching practice in the TEO
- TEO policy and guidelines related to learning and teaching
- assessment information/publications for students.

#### Prompts to aid evaluative inquiry

How are programmes designed to align learning and teaching activities with intended learning outcomes?

How are assessments designed to align with learning outcomes?

How are students made aware of the intended learning outcomes?

How are students made aware of the alignment between learning and teaching activities and intended learning outcomes?

How are students made aware of the alignment of assessments with the intended learning outcomes?

### Indicator category: student engagement

These indicators are relevant to:

#### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

##### *Student learning goals are well understood*

##### Explanation

The learning goals that students have will vary according to their pathway to tertiary study. Students will have some goals in mind, some outcome they want to achieve, and perhaps some way to assess and compare their own performance. Understanding these goals will assist TEOs to provide instruction and assessment that helps to students achieve these goals. Using this understanding, TEO's can also assist, support and retain students when they are at risk of not meeting their goals.

Student goals may differ from the goals the TEO has for them. Understanding this can assist with developing programmes that motivate and engage students. The most important goals are likely to be well-matched to the needs and aspirations that students identified.

Facilitating learning pathways refers to how TEOs assist diverse students to make appropriate study choices and progress their learning. Students are more likely to engage with their learning and continue their study if courses/programmes are suited to their needs, interests and abilities.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- TEO policies and processes for understanding student goals
- pamphlets and course information brochures etc
- information posted on, and use of, websites and other electronic media
- analysis and use of information:
  - about non-completions and early withdrawal
  - from student feedback
  - from exit interviews.

##### Prompts to aid evaluative inquiry

What processes does the TEO use to inform itself of student goals?

How helpful is information about programme guidance and selection for individual students?

How does the TEO ensure students at all stages clearly understand study options and expectations related to their learning goals, including the literacy and numeracy demands of programmes?

How does the TEO implement student goal information into programme design and learning activities?

How, and how well, do students and staff understand and apply the prerequisites and study requirements for programmes: e.g. selection processes, regulations, timetabling and workload?

How, and how well, does the TEO respond to the specific information needs of different student groups: e.g. Māori, Pasifika, international?

How do individual student goals influence student placements/enrolments?

### Indicator category: student engagement

These indicators are relevant to:

#### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

***Comprehensive and timely study information and advice is provided to assist students pursue their chosen pathways***

##### Explanation

Students are more likely to achieve when they have active and ongoing support. Continued advice and support, throughout the study experience, is often necessary. This need varies according to different student backgrounds and aspirations with priority group students having distinct needs.

Guidance about admission and progression contributes to a student's satisfaction and retention. Timely and accurate advice can help students to make appropriate study decisions and improve their chances of completing their study. When students have no guidance or assistance while making decisions (including during enrolment and re-enrolment), they may make inappropriate course decisions that impact on their progress. Students need ongoing information as they progress through their studies.

Effective TEOs use multiple channels and multiple formats of communication that meet the needs of their students.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- TEO enrolment processes
- TEO student support mechanisms and policies
- support mechanisms and policies for priority students
- analysis and use of information from:
  - feedback from students and student groups
  - student progression
- evidence of worthwhile improvement through self-assessment.

##### Prompts to aid evaluative inquiry

How effective are processes to identify students (from enrolment onwards) who may require assistance or specific advice?

How effective are processes to identify and assist students from priority groups?

How effective is the student support provided: for example, literacy, numeracy, academic and study skills?

How does the TEO know that it is meeting the needs of students through organisational support and services?

What channels and formats does the TEO use to provide support and information for students?

How well does the TEO implement and action feedback and suggestions from students?

### Indicator category: student engagement

These indicators are relevant to:

#### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

***Responses to the well-being needs of students are appropriate***

##### Explanation

Student well-being impacts on engagement and achievement. Effective TEOs make a commitment to delivering teaching that is responsive to the students' individual and unique circumstances. An organisational level focus is required to understand these. Community and whānau involvement is required to provide effective support for Māori, Pasifika and other priority students.

TEO support facilities and pastoral care services can contribute to learners' physical and emotional health by promoting positive social and emotional well-being. 'Social and emotional well-being' refers to a state of positive mental health and wellness. It involves a sense of optimism, confidence, happiness, clarity, vitality, self-worth, achievement, having a meaning and purpose, engagement, having supportive and satisfying relationships with others. It also involves understanding oneself, and responding effectively to one's own emotions. Students with well-being have improved achievement and positive outcomes.

Supportive learning environments that enable student well-being include positive interaction between teachers and students both within and outside the learning environment. This is likely to involve organisation-wide opportunities for fostering positive relationships.

##### How do we know? Evidence from self-assessment

Analysis and use of information from:

- formal and informal feedback from students
- tutor performance and evaluation
- observation by peers
- complaints register
- student advocates and support people
- student support services data.

##### Prompts to aid evaluative inquiry

What is done to make the learning environment:

- motivating and engaging?
- relevant and valued by students?
- responsive to priority student needs?



- focused on achievement?

What is done to enhance students' general well-being?

What is done to establish and maintain constructive teacher-student relationships?

How well do teachers and students relate to one another? How does the TEO know?

How do teacher-student interactions support learning?

How well do students collaborate with other students, TEO staff and/or the community?

### Indicator category: student engagement

These indicators are relevant to:

#### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

##### *The learning environment is inclusive*

##### Explanation

New Zealand is a nation of peoples from diverse backgrounds, with varying learning needs and aspirations. Providing an inclusive learning environment will enhance student achievement. This reduces obstacles and enables students to meet learning outcomes and/or their own learning goals.

Inclusive learning environments provide settings that foster new understandings of diversity to ensure that *all* students experience an education that enhances their learning and social relationships, and prepares them for a quality adult life in the community.

A culturally appropriate learning environment is likely to be essential to Māori doing well in tertiary study. Students are more likely to achieve when they see themselves and their culture positively reflected in the subject matter and learning contexts. TEOs can assist with this by appropriately involving whānau, hapū and iwi and modifying programmes and activities as required to best meet the needs and aspirations of Māori students.

##### How do we know? Evidence from self-assessment

Analysis and use of information from:

- feedback from students and student groups
- tutor performance and evaluation
- observation by peers
- complaints register
- implementation of equal employment opportunities (EEO) policy.

##### Prompts to aid evaluative inquiry

How does the TEO respond to its students and provide appropriate programmes and services?

What services does the TEO provide for students with impairments?

How do teaching approaches respect and cater for different ways of learning?

To what extent is the learning community inclusive and respectful of all students?

How does the TEO manage its Treaty of Waitangi partnership responsibilities?

How does the TEO identify and respond to the needs of Māori students?  
 How does the TEO identify and respond to the needs of Pasifika students?  
 How does the TEO identify and respond to the needs of international students?  
 How does the TEO identify and respond to the needs of other identified priority groups of students?

### Indicator category: student engagement

These indicators are relevant to:

#### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

##### *Policies and procedures minimise barriers to learning*

##### Explanation

There are many potential barriers of various kinds: for example, institutional, cultural, linguistic, physical disabilities and life situations. A TEO may reduce the effect of these barriers by providing a range of learning options and pathways, flexible delivery methods and additional support for students where required. These may result in higher levels of achievement and contribute to an inclusive learning culture where students feel valued and understood.

Policies and procedures can create barriers for students. The focus here is on the TEO considering whether their policies are creating barriers and addressing those policies that do. Unconscious and structural bias may be reflected in policies and then hinder students' participation. It is not possible to remove every obstacle for students. However, TEOs can anticipate potential barriers and take reasonable action to minimise or remove them.

##### How do we know? Evidence from self-assessment

Analysis and use of information from:

- formal and informal feedback from students
- implementation of recognition of prior learning (RPL) procedures
- carrying out student transfers
- data about students transitioning from one programme to the next.

##### Prompts to aid evaluative inquiry

How does the TEO adapt information provided to students to meet individual learning needs?

How do learning pathways provided by the TEO minimise barriers to learning?

How does the TEO respond to learners' questions and concerns?

How does the TEO implement feedback and suggestions from students and student groups into removing or reducing barriers?

How does the TEO identify and seek to remove barriers for students with a range of literacy and numeracy needs, including English as a second or other language?

What process does the TEO use to assess its policies and identify unconscious barriers?

How well do policies that govern progression, transfer, and mobility between institutions take account of the needs and aspirations of students?

## Indicator category: student engagement

These indicators are relevant to:

### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

***Students have opportunities to apply knowledge and skills in a variety of contexts***

##### Explanation

Students who can apply their knowledge and skills in various contexts (especially practically) engage more deeply with the content. The results are improvements in understanding and application ('double loop learning' or 'deep learning'). Practice reinforces skills and knowledge, particularly when 'theoretical' skills are applied in diverse contexts. Students should have opportunities to practise adaptability and the higher-level thinking skills of applied reasoning and judgement.

As employers seek students and graduates with practical skills who are adaptable, teaching that promotes context-relevant learning is desirable for many learning situations.

In addition, 'scenario-based learning' is a means of introducing students to authentic, experiential learning experiences.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- analysis and use of information from:
  - feedback from employers
  - feedback from students and student groups
  - tutor performance and evaluation
  - observation by peers.

##### Prompts to aid evaluative inquiry

To what extent are practical activities relevant to the objectives of the programme?

How are practical skills incorporated into the programme?

How are the deliberate connections with practical contexts made?

What evidence is there that such contexts improve learning outcomes?

To what extent do practical activities encourage problem-solving and critical thinking?

## Indicator category: student engagement

These indicators are relevant to:

### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

***Students are supported to establish effective social and academic support networks***

##### Explanation

Friendships and social networks contribute to student well-being and building a sense of belonging. This contributes to retaining students as well as supporting their achievement. Study groups and peer assistance provide motivation and support for students.

TEOs should proactively facilitate academic and social engagement as a culturally appropriate and normalised part of learning.

Māori peer mentors, Māori tutorials, learning communities, and the integration of support into the core curriculum are effective ways of facilitating such connections and support for Māori students.

In addition, research has found that positive learning experiences for Pasifika students require a safe, culturally strengthening place where academic services are available. This place is a mirror of their own communities, reflecting Pasifika values and beliefs.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- TEO policy on student interaction
- the design and use of study space
- guidelines for student study groups
- spaces and places design for priority student groups
- feedback from students and student groups.

##### Prompts to aid evaluative inquiry

How does the TEO encourage formal and informal social networks among students?

What facilities does the TEO provide for students to gather informally?

What network for formal study support does the TEO provide?

How effective are the formal study networks in improving student achievement? How does the TEO know?

How well does the TEO seek feedback and suggestions from students and student groups into developing student networks?

How does the TEO incorporate and promote tikanga values into shared spaces?

How does the TEO incorporate and promote Pasifika values into shared spaces?

## Indicator category: student engagement

These indicators are relevant to:

### Key evaluation question 4:

#### How effectively are students supported and involved in their learning?

##### Indicator title

***Students are provided with useful and timely feedback on their progress***

##### Explanation

Effective feedback supports students by strengthening their understanding of their progress. Feedback can guide students towards achieving their academic goals by helping them identify and correct errors in their understanding. Feedback should be timely and related to the expected skills, knowledge and attributes of the study and the students' progress towards these. Providing feedback on work in progress allows students to recover from errors before formal assessments.

Effective feedback builds confidence and provides positive motivation. Poor feedback can reduce student achievement by failing to support the student in understanding the gaps in their knowledge.

In addition, providing regular feedback for students encourages teachers to assess the success of their programmes and the teaching. Feedback data can identify gaps in teaching, particularly if the same errors are occurring across cohorts.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- TEO assessment policies
- TEO feedback policies and results
- analysis and use of information from:
  - formal and informal feedback from students
  - tutor performance and evaluation
  - observation by peers.

##### Prompts to aid evaluative inquiry

How does the TEO ensure that feedback is used appropriately to enhance learning?

How does the TEO ensure that feedback is used to develop student confidence?

How well does the TEO implement feedback and suggestions from students and student groups?

How does the TEO assist and encourage students to assess their own progress?

How do students evaluate and report on the quality and timeliness of the feedback they get?

How do assessment results inform programme design?

## Indicator category: governance and management

These indicators are relevant to:

### Key evaluation question 5:

**How effective are governance and management at supporting educational achievement?**

#### Indicator title

***Organisational purpose and direction is clear***

#### Explanation

This indicator is concerned with how an organisation sets and implements a purpose and direction, as well as the way it responds to changes in knowledge, the use of knowledge, and the effects of teaching and learning. A clear purpose and direction links governance, management, and staff. It strengthens the culture of the organisation in relation to its wider communities, focuses decision making and improves effectiveness.

Good strategic management enables a TEO to be up-to-date, innovative, able to meet its goals and respond to the changing needs of students and communities.

Leadership structures, processes and styles will vary across and within TEOs depending on kaupapa, values and the operational context.

#### How do we know? Evidence from self-assessment

Analysis and use of feedback from:

- council/board
- management
- staff
- external stakeholders including external agencies
- community
- iwi/hapū/marae and Māori communities
- Pasifika communities
- Students and student groups
- financial viability reports
- planning documents
- evidence of worthwhile improvement through self-assessment.

#### Prompts to aid evaluative inquiry

How well is the TEO's purpose and direction understood and supported throughout the organisation?

How well do plans, policies, practices and self-assessment support the organisation's purpose and direction?

What are the organisation's change management processes?

## Indicator category: governance and management

These indicators are relevant to:

### Key evaluation question 5:

**How effective are governance and management at supporting educational achievement?**

#### Indicator title

***Organisational academic leadership is effective***

#### Explanation

Effective leadership is important in communicating purpose and direction internally and externally, making the organisation's vision a practical reality. Leaders are not only expected to inspire, but also to facilitate a working style among employees that maximises motivation, delivery and performance.

Leadership is most effective when it is shared throughout the organisation with collective responsibility for decision making and actioning organisational goals. Effective leadership uses self-assessment to identify what is working well and what the future priorities are.

Leadership is effective when it creates good communication and cooperation. Effective leadership is responsive to both internal and external environments. The most appropriate decisions may often involve contextual factors beyond the obvious. Effective leadership communicates these tensions, explains why decisions are made and involves the relevant people in the process.

#### How do we know? Evidence from self-assessment

Possible sources include:

- analysis and use of feedback from:
  - council/board
  - management
  - staff
  - student and student groups
  - external stakeholders
  - community
  - outcomes of consultative processes
- review of board/council self-assessment of own performance
- evidence of worthwhile improvement in educational performance as a result of self-assessment
- evidence of worthwhile improvements in student outcomes

#### Prompts to aid evaluative inquiry

How effectively is leadership distributed throughout the organisation?

How does leadership focus on improving outcomes for students and the wider communities?

How well do staff collaborate?

How are administration and academic staff involved in decision making?

How effective are the leadership approaches in the organisation?

What are the barriers to effective leadership and how are these mitigated?



## Indicator category: governance and management

These indicators are relevant to:

### Key evaluation question 5:

#### How effective are governance and management at supporting educational achievement?

##### Indicator title

***Sufficient resources are allocated to support learning, teaching and research***

##### Explanation

The first priority of any TEO is to provide high quality education. TEO managers need to effectively allocate sufficient resources to support high quality teaching, learning and, where relevant, research.

Resources include a range of factors expected to enhance student learning: appropriate physical facilities, qualified and knowledgeable human resources and adequate financial resources.

Proficient TEO management will have clear plans in place to address competing demands that arise. The TEO will have effective processes in place to prioritise resource allocation to best address student and stakeholder needs. This includes consideration of priority student group needs. When resourcing is clearly targeted, TEOs can better plan for, and achieve, good outcomes.

Stakeholders, including students, should have opportunities to participate in planning and allocating resources.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- analysis and use of feedback from:
  - council/board
  - management
  - staff
  - students and student groups
- programme/course reviews
- financial reports and budget prioritising
- evidence of worthwhile improvement through self-assessment.

##### Prompts to aid evaluative inquiry

How does the TEO identify resource needs and priorities?

How well do staff understand resourcing decisions and constraints?

How well do students understand resourcing decisions and constraints?

How are teaching and support staff involved in financial planning?

How are resourcing decisions influenced by evaluations and feedback from stakeholders, including students?

## Indicator category: governance and management

These indicators are most relevant to:

### Key evaluation question 5:

#### How effective are governance and management in supporting educational achievement?

##### Indicator title

***Data analysis is used effectively throughout the organisation***

##### Explanation

An increasing range and sophistication of data is becoming available through:

- student management systems
- internal TEO administration and quality management information
- external agencies such as the Tertiary Education Commission and Ministry of Education
- the Integrated Data Infrastructure (IDI).

Student or data analytics can be used to understand and personalise learning, and maximise achievement and outcomes throughout the organisation. TEOs can use Individual student real-time data from their student management systems to monitor attendance and engagement in ways that can be used to identify potential issues and proactively manage these.

It can transform administration, teaching and support within the TEO by improving decision making at individual, group, and organisational level.

As more, and better quality, data becomes available, it is important for TEOs to think about what data it can collect, how it can be interpreted and understood, and how to use that understanding to improve performance.

##### How do we know? Evidence from TEO self-assessment

Data sources could include:

- student progression data
- employment data
- cross-departmental data
- local, regional and/or national surveys
- data from communities/iwi/business/employers
- alumni information
- graduate surveys
- employer surveys
- economic trends
- societal trends
- census data
- Integrated Data Infrastructure (IDI) – Statistics New Zealand
- graduate outcome surveys and publications – Ministry of Education
- social media or other formal or informal means of tracking graduate destinations.

Evidence of analysis and use of data by:

- governance and management of the TEO
- academic management boards (or equivalent)
- departments/subject areas/disciplines
- benchmarking activities
- feedback from students.

### Prompts to aid evaluative inquiry

What data does the TEO access to understand its performance? At organisational level? At the level of subjects/departments/disciplines?

How does the TEO use external data from government agencies (the Ministry of Education/Tertiary Education Commission/Statistics New Zealand (Integrated Data Infrastructure)) and other relevant external data?

How is the data analysed, interpreted, understood and used?

What has changed or improved as a result?

How is data used to improve student academic progress and student welfare?

How is individual student data used to monitor engagement and proactively manage individual student issues?

How have communities/iwi/business/employers benefited?

### Indicator category: governance and management

These indicators are relevant to:

#### Key evaluation question 5:

**How effective are governance and management at supporting educational achievement?**

#### Indicator title

***Recruitment and development of staff is effective***

#### Explanation

TEOs are typically labour-intensive entities - they depend on people for the delivery of their services. The quality of staff is central to the TEO's effectiveness. All staff, including administrative and support staff, play a role in providing positive learning environments.

Effective TEOs will actively plan recruitment, retention and development of staff and ensure staff are appropriately qualified and experienced to work with the students. Staff should have sound knowledge and appropriate qualifications and experience related to learning and teaching, as well as the subject(s) being taught.

Ongoing staff development and support is important to ensure that teachers and other staff stay up-to-date and effective in their roles. Staff should be managing the innovation required to address the changing needs of students. Good subject and teaching knowledge are important for good learning. Staff must continue to develop their understanding of teaching and subject areas to maintain the programme's relevance to students.

#### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- student feedback
- staff satisfaction survey results
- any plans or strategic documents relating to staff recruitment, retention, development, support and performance management
- records and information about recruitment processes
- results from performance management (where appropriate)
- information from professional development plans and activities
- records of needs analysis for staff

- analysis and use of staff feedback about recruitment, induction, professional development, and performance management
- analysis of the effectiveness of recruitment, induction, professional development, and performance management.

### Prompts to aid evaluative inquiry

How does the TEO ensure staff are appropriately qualified and experienced to teach at the TEO?

How qualified and experienced are staff for teaching the literacy and numeracy content of programmes?

How well do staff understand their roles, responsibilities, and accountability? How is this achieved?

What is done to induct and orientate staff?

How does the TEO provide opportunities for teaching staff to update subject knowledge and skills?

How does the TEO know staff views regarding the adequacy of staff development policies?

What improvements for students have occurred because of staff development activities?

How do staff performance management and appraisal systems work?

How does student achievement results and improvements factor into reward and promotion policies?

How does the TEO identify and follow up staff who may need assistance?

## Indicator category: governance and management

These indicators are relevant to:

### Key evaluation question 5:

#### How effective are governance and management at supporting educational achievement?

##### Indicator title

#### ***Staff are valued***

##### Explanation

Staff who feel valued are more likely to be engaged, committed, collegial and effective. Researchers have found that there are many methods to show you value staff and motivate them in their work. The key is that the TEO has a conscious process for developing a sense that staff are valued. This relates to the TEOs process for reimbursement, promotion, reward, and job security. TEOs should understand their staff's goals and ambitions.

Reimbursement is a motivator. Fair pay and benefits are successful tools for recruiting and retaining staff. Other motivators include:

- autonomy
- being engaged in worthwhile work
- opportunities for growth and development
- recognition of effort, success, or skill.

##### How do we know? Evidence from self-assessment

Possible sources of evidence include:

- analysis and use of feedback from:
  - staff
  - management
  - students
- staff turnover information
- staff satisfaction reports.
- staff recruitment and retention policies

### **Prompts to aid evaluative inquiry**

What process does the TEO use for identifying the goals of staff (teaching and non-teaching)?

How does the TEO identify and promote excellent teaching?

How does the TEO show staff they are valued?

How does the TEO promote and support collegiality in the organisation?

How does the TEO ensure that the whole organisation contributes to student learning?

### **Indicator category: governance and management**

These indicators are relevant to:

#### **Key evaluation question 5:**

**How effective are governance and management at supporting educational achievement?**

#### **Indicator title**

***The education organisation anticipates and responds effectively to change***

#### **Explanation**

Change management is an integral part of innovative practice. The anticipation of, and timely response to, change can enhance the relevance and credibility of the organisation.

Change can be the result of external requirements (i.e. agencies), internal strategic planning and/or regular self-assessment processes and results.

TEOs will have different processes depending on their size, the age of the organisation and the academic and management cultures.

The effect of change on student achievement may be uncertain. While lack of change may disadvantage students, change may not result directly in higher achievement. Poorly managed change may lead to uncertainty, anxiety, low morale, poor performance and high levels of absenteeism from students and staff. This will affect educational achievement.

#### **How do we know? Evidence from self-assessment**

Possible sources of evidence include:

- analysis and use of feedback from:
  - iwi/hapū/marae
  - ITOs/industry
  - advisory groups
  - secondary schools
  - other TEOs

- community groups
- council/board
- management and staff
- planning documents
- professional development
- research and consultation with stakeholders
- evidence of worthwhile improvement through self-assessment.

### Prompts to aid evaluative inquiry

What processes does the TEO use to keep up-to-date with changes to the policies of external agencies?

How does the TEO manage enforced change?

How does the TEO review its practices and implement the resulting changes?

How well does the TEO manage feedback and suggestions from students and student groups when implementing change?

How effective is the TEO in informing staff, students and stakeholders of emerging change?

How does the TEO manage and monitor the timely response to change?

How does the organisation respond to unpredictable change?

How does the TEO ensure quality is maintained during periods of transformative change?

### Indicator category: governance and management

These indicators are most relevant to:

#### Key evaluation question 5:

**How effective are governance and management in supporting educational achievement?**

#### Indicator title

***Innovation, responsiveness and continuity are balanced***

#### Explanation

Responsiveness to student and stakeholder needs is an essential driver of the TEO's everyday performance and strategic direction. Responding to and meeting needs involves a balance between continuity and innovation. Organisational self-assessment will identify what is working well and therefore needs to be maintained and strengthened, and where new or different approaches may be needed (innovation). It will also provide the necessary insight into how well new approaches are working and whether to strengthen, modify or abandon them.

Integrating established and new practices is essential for effective management. Pacing and monitoring change may help avoid confusion and improve effectiveness as organisations implement changes and innovations.

#### How do we know? Evidence from TEO self-assessment

Analysis and use of feedback from:

- iwi/hapū/marae
- students and students groups

- ITOs/industry
- advisory groups
- secondary schools and other TEOs
- community groups
- council/board
- management and staff
- financial reports
- evidence of worthwhile improvement through self-assessment
- specific activities that focus on innovation, responsiveness, and continuity.

**Prompts to aid evaluative inquiry:**

How does the TEO plan for innovation?

What practices does the TEO consider innovative?

How effectively does the TEO integrate innovation?

How well does the TEO develop and sustain strategic partnerships with stakeholders?

How well does the TEO manage the challenges of change?

How well does the TEO present stakeholders with a credible case for change or address their resistance to change?

How well does the TEO engage stakeholders in conversations about the need for change?

**Indicator category: governance and management**

These indicators are most relevant to:

**Key evaluation question 5:**

**How effective are governance and management in supporting educational achievement?**

**Indicator title**

***The TEO operates a sustainable business model, which is aligned to its educational purpose***

**Explanation**

All educational delivery must be supported by business practice which is systematic, viable and consistent. Without a sound commercial base, no TEO can fully support the aspirations of its learners and other stakeholders. Operating a sustainable business model requires attention to current market realities and probable future developments. It involves some degree of ongoing risk management to plan for changes in organisational circumstances.

A sustainable business model will be duly diligent in supporting the educational and other needs of the TEO. As such, it will not be overly dependent on the performance or presence of particular individuals within the TEO, but will ensure that the business will be robust enough to continue operating in the event of foreseeable 'threats' (e.g. loss of key personnel, likely reduction of funding streams).

The business model will also be directly relevant to the TEO's core educational mission. That is, the mode will be designed in such a way as to support in full the programmes that it delivers, the needs of its stakeholders, and the quality of its educational outcomes.



### How do we know? Evidence from TEO self-assessment

Analysis and use of feedback from:

- analysis of learner achievement & outcomes
- analysis of financial performance and position
- succession planning (where relevant)
- risk and contingency planning (or systems)
- review of progress against strategic plan
- comparison of actual performance against targets
- management reports
- analysis of stakeholder feedback
- self-assessment findings including benchmarking (internal and/or external).

### Prompts to aid evaluative inquiry:

How does the TEO develop and maintain its business model?

How effectively does the TEO plan for the future?

How well does the TEO meet the needs of relevant funding bodies?

How well does the TEO manage the challenges of market change?

How well does the TEO demonstrate that its business practices are well-suited to its educational programmes and delivery?

### Indicator category: compliance

These indicators are most relevant to:

#### Key evaluation question 6:

#### How effectively are important compliance accountabilities managed?

##### Indicator title

***Policies and practices are legal and ethical***

##### Explanation

A reliable foundation of legal and ethical practice is essential for successful operation of the TEO. This is best maintained through explicit consideration of legal and ethical requirements at all levels of the TEO. Legal and ethical practice protects internal and external stakeholders.

TEOs should have appropriate guidelines and/or policies relating to legal requirements and considerations. TEO governance and management have a responsibility to inform themselves of the legislative and regulatory framework of the sector.

Communication and access to information about relevant legal and ethical considerations within TEOs should be open and transparent.

### How do we know? Evidence from TEO self-assessment

Possible sources of evidence include:

- governance and management, departmental/school, and/or staff meeting minutes
- records of student attendance
- programme approval and delivery documents
- audit reports
- TEO risk management plans

- self-assessment results and reports
- survey results (student, employer, community, iwi/hapū/marae)
- timetables and delivery schedules
- student or course handbooks
- TEO risk management documents
- records of staff professional development
- interviews with staff and students
- direct observation
- steps and measures aimed at the ‘avoidance of harm’, for example principles, professional codes of practice/conduct, professional development activities, case study or critical incident follow-up
- complaints processes for dealing with incidents and records of complaints
- records of behaviours that may be, or are, harmful to others.

### Prompts to aid evaluative inquiry

How does the TEO ensure that they comply with relevant legal requirements?

How are staff, students, governors and managers made aware of relevant legal requirements?

How does the TEO know how well it is managing its legal and ethical responsibilities?

How do staff and management actively seek to avoid harm to students?

How do management and staff identify and understand appropriate ethical considerations?

How does the TEO review and improve its performance in relation to relevant legal and ethical matters?

### Indicator category: compliance

These indicators are most relevant to:

#### Key evaluation question 6:

#### How effectively are important compliance accountabilities managed?

##### Indicator title

*The TEO has effective compliance management processes*

##### Explanation

Effective management systems will help to ensure compliance occurs. Compliance management should be part of a TEO’s important ‘business as usual’ responsibilities.

For a TEO to successfully manage this aspect of its performance it should have effective systems to:

- identify its compliance responsibilities and
- proactively manage those responsibilities.

##### How do we know? Evidence from TEO self-assessment

Possible sources of evidence include:

- governance and management, departmental/school, and/or staff meeting minutes
- academic board minutes and decisions
- records of student attendance, (particularly international student attendance)
- programme approval and delivery documents
- audit reports

- TEO risk management plans
- survey results (student, employer, community, iwi/hapū/marae)
- timetables and delivery schedules
- student or course handbooks
- TEO risk management documents
- records of staff professional development
- interviews with staff and students
- direct observation
- steps and measures aimed at the 'avoidance of harm', for example principles, professional codes of practice/conduct, professional development activities, case study or critical incident follow-up
- complaints processes for dealing with incidents and records of complaints
- records of behaviours that may be, or are, harmful to others
- responses to external agency activities and queries
- appropriate improvement plans.

### Prompts to aid evaluative inquiry

What are the internal processes to identify and manage compliance?

How does the TEO review changes in the regulatory environment that affect its operation?

How does the TEO monitor compliance?

How are TEO management and staff actively involved in compliance monitoring?

How does the TEO ensure total learning hours are aligned to the credit value of a programme?

How do TEO staff receive regular updates and professional development regarding relevant changes to regulations and legislation?

What is done to make sure that non-compliances are rectified in a timely manner?

If serious cases of non-compliance are identified, how does the TEO notify the relevant regulator? What records of this are kept?

How does the TEO make sure that communication and access to information are open and transparent to all relevant parties?

### Indicator category: compliance

These indicators are most relevant to:

#### Key evaluation question 6:

**How effectively are important compliance accountabilities managed?**

#### Indicator title

***Relevant legislation, rules and regulations are complied with***

#### Explanation

NZQA rules cover key aspects of NZQA's responsibilities for qualifications and quality assurance. Effective TEOs will be aware of the relevant rules, regulations and legislation and the implications of these for the organisation. In addition, TEOs will have systematic processes for keeping themselves up-to-date with their responsibilities.

NZQA approves programmes to deliver the graduate profile and outcomes of the relevant qualification. TEOs are required to deliver the programmes as approved, or to ensure that changes are planned and approved.

The Education (Pastoral Care of International Students) Code of Practice 2016 sets out the legislated outcomes for practices relating to the pastoral care of international students. Where relevant, TEOs need to inform themselves of their responsibilities in relation to international students (not New Zealand citizens or holders of a New Zealand residence class visa) and fulfil these responsibilities.

### **How do we know? Evidence from TEO self-assessment**

Possible sources of evidence include:

- programme approval and delivery documents
- meeting minutes
- records of student attendance
- audit reports
- TEO risk management documents
- programme planning documentation
- programme change documentation
- hours (learning, teaching)
- exam/assessment timing
- interviews with programme leaders/managers, students and staff
- evidence of changes to delivery – entry requirements, total hours, mode, qualification level, student numbers (actual and EFTS).

### **Prompts to aid evaluative inquiry**

What processes does the TEO use to learn about the implications of relevant rules?

What practical steps are taken to comply with the rules in each area relevant to the TEO?

How does the TEO monitor compliance with the rules?

How does the TEO introduce improvements in compliance with rules? How are significant issues with non-compliance dealt with?

How does the TEO assure itself that programmes are delivered according to the hours and mode(s) approved by NZQA?

What process does the TEO use to ensure that changes to programmes are submitted to NZQA for approval?

How are programme managers and staff informed about programme approvals?

What active steps are taken to ensure delivery within the approval?

Where relevant:

- How does the TEO manage the welfare and safety of international students?
- What processes are used to manage their commitments as Code signatories?
- What processes does the TEO use to monitor compliance with the Code?
- How do managers and staff monitor international student welfare?
- How does the TEO monitor and review changes in the regulatory environment that impact international students?
- How does the TEO ensure that communication and access to information relating to international student welfare within TEOs is open and transparent?
- What grievance procedures does the TEO use for international students?
- What professional development activities related to international student do the TEO have for staff and management?

## Indicator category

This indicator is relevant to all key evaluation questions and is an underpinning indicator for education organisation quality management.

### Indicator title

#### ***Self-assessment is comprehensive and effective***

### Explanation

Effective self-assessment will influence all significant aspects of the TEO's performance and activities. It should result in ongoing improvements in educational performance and outcomes for students.

A requirement of the EER rules 2021 is that self-assessment is comprehensive, authentic, transparent and robust:

*Comprehensive* – all key aspects of the TEO's performance are systematically addressed

*Authentic* – the self-assessment is honest and identifies real issues and problems

*Transparent* – the self-assessment process and results are accessible to all relevant parties (TEO governance and management, staff, students, stakeholders, communities including iwi)

*Robust* – asks, and answers, the hard questions about TEO performance and academic standards and integrity

TEO self-assessment is also required to focus on:

- needs assessment
- processes and practices that support successful learning and help achieve outcomes
- student achievement
- outcomes for students
- using what is learned
- actual improvements.

(For more detail, refer Quality Assurance (including External Evaluation and Review (EER)) Rules 2021).

Effective self-assessment is a systematic process of evidence-driven self-reflection. It should be based on clearly articulated and understood goals and lead to improved educational performance.

Organisational self-assessment typically has four components:

- Systematic data gathering
- Robust data analysis leading to valid conclusions
- Reflective processes that involve all people in the organisation
- Decision making that is logically connected to the outcomes of the self-reflective process.

### How do we know? Evidence from TEO self-assessment

Evidence of ongoing collection of data from such sources as:

- progress reports from the student management system (or equivalent)
- routine statistical data on student performance and attendance
- special purpose statistical data gathered by (well-designed) surveys and questionnaires
- one-on-one interviews with students, for example on enrolment or on completion (or non-completion)
- formal and informal focus groups
- information from student councils or groups that engage with the 'student voice'
- records of a TEO's financial performance
- informal conversations with students (perhaps unreliable but potentially powerful when triangulated with more formal data)

- critical incident records, for example records of complaint investigations
- routine administrative data
- trajectory records – tracking individuals or groups as they pass through the TEO and recording their experiences
- decision tracking – forensic enquiry into poor decisions, tracking backwards into the reasons.

### **Prompts to aid evaluative inquiry**

How are all levels of the organisation made aware of the requirements for effective self-assessment?

To what extent are staff at various levels involved in self-assessment?

To what extent does the data collected cover the most important aspects of the TEO's performance and activities?

To what extent does self-assessment include relevant quantitative data (e.g. retention, completions, qualifications) and qualitative data (e.g. course and programme evaluations, teacher evaluations, stakeholder surveys)?

How has self-assessment improved education performance?

What important decisions/changes have been influenced by TEO self-assessment?

What are some examples of significant issues identified through self-assessment activities?  
What happened after this issue was identified?

How well does the TEO identify strengths, weaknesses, and opportunities for innovation?

How is data analysed and triangulated?

How well does the TEO use already existing data sources, including data gathered informally?

What is the process/processes for analysing, interpreting and understanding the data?

How does the TEO ensure its data analysis and interpretation is valid?

To what extent are external stakeholders involved?

How well does the TEO monitor its response to change, and find further ways to improve?

To what extent is self-assessment sustainable and ingrained in TEO governance and management practices?