

# Academic Quality Management System (AQMS)

---

**2016**

**Campuses at:**

Palmerston North  
Masterton  
Whanganui  
Auckland

## APPROVAL & AUTHORISATION

- This version of UCOL's Academic Quality Management System (AQMS) has been formally approved by the Academic Board.

Signed: 

Date: 10/10/2016

- This AQMS manual now supersedes all previous versions. Previously published versions of the manual should be destroyed.

# CONTENTS

<b>APPROVAL &amp; AUTHORISATION</b> -----	<b>2</b>
<b>FOREWORD BY CHIEF EXECUTIVE</b> -----	<b>4</b>
<b>ABBREVIATIONS</b> -----	<b>5</b>
<b>GLOSSARY</b> -----	<b>5</b>
 <b>Part A</b>	
<b>AN OVERVIEW – THE ORGANISATION, MANAGEMENT &amp; QUALITY</b>	
1. The Institution-----	6
2. Mission and Vision-----	6
3. Commitment to Quality -----	7
4. Quality Management -----	7
5. Approach to Academic Quality -----	8
6. Responsibilities for Academic Quality within UCOL-----	8
 <b>Part B</b>	
<b>UCOL ACADEMIC QUALITY STANDARDS</b>	
1 Institutional Academic Quality Management -----	10
2 Development and Review of Qualifications & Educational Programmes -----	12
3 Financial, Administrative, Human and Physical Resources -----	14
4 Staff Selection, Appraisal and Development -----	16
5 Student Information and Admission to Programmes -----	18
6 Student Guidance and Support -----	20
7 Teaching & Learning -----	22
8 Off-Site Practical/Workplace Components -----	24
9 Assessment and Moderation -----	26
10 Reporting and Certification -----	28
11 Research -----	30
12 Self Assessment, External Evaluation and Review -----	32
 <b>APPENDIX</b>	
Appendix One: AQMS Amendment Record-----	35

## FOREWORD BY CHIEF EXECUTIVE



The UCOL Academic Quality Management System (AQMS) is the collation of all policies and procedures directly related to academic matters, and the services that support teaching and learning.

The purpose of the AQMS is to provide a coherent and reliable operational framework that enables the highest possible quality of educational activities (teaching and learning). Its policies, procedures, guidelines and forms/templates provide for consistency of the student experience while studying at UCOL.

The AQMS has been refreshed in 2016 as part of the review of academic policies and procedures to reflect changes in UCOL's strategy, structures and processes which occurred in 2015 and 2016. It was agreed by the Academic Board to maintain the identity and existence of the AQMS, though it is preferred that over time all of UCOL's policies and procedures are placed within a single Quality Management System (including academic and other policies). In the meantime, the AQMS clusters UCOL's academic policies and procedures within the 12 Academic Standards approach of the previous quality assurance body (QAB), the Institutes of Technology and Polytechnics New Zealand (ITPNZ), and remains useful and recognisable for users.

Leeza Boyce  
Chief Executive

## ***ABBREVIATIONS***

AB	Academic Board
AQMS	Academic Quality Management System
ITP	Institutes of Technology and Polytechnics
ITPNZ	Institutes of Technology and Polytechnics of New Zealand
MOE	Ministry of Education
NZQA	New Zealand Qualifications Authority
SAEER	Self-Assessment, External Evaluation and Review
TANZ	Tertiary Accord of New Zealand
TEC	Tertiary Education Commission
UCOL	Universal College of Learning

## ***GLOSSARY***

For definitions used within this document refer to the UCOL Academic Statute Glossary.

## PART A

# AN OVERVIEW

## THE ORGANISATION, MANAGEMENT & QUALITY

### 1 The Institution

- 1.1 The Universal College of Learning – UCOL, is a Polytechnic under the Education Act 1989, with three major campuses in the lower North Island: Palmerston North, Whanganui and Masterton and a further campus in Auckland.

### 2 UCOL's Strategic Story 2015 - 2018

In 2015 we refined our vision, our mission, and our goals, creating an inspirational strategic story that charts our pathway over the next four years and defines our intended outcomes.

#### 2.1 UCOL's Vision:

To inspire students, businesses and communities to succeed.

This vision is supported by our Mission, which focuses sharply on our students. As a provider of tertiary education we want to help each student, domestic and international, to develop their full potential.

#### 2.2 UCOL's Mission:

Develop great graduates who make a difference wherever they work in the world.

Our mission is founded on four goals that form the cornerstones of our strategic story.

#### 2.3 UCOL's Values:

UCOL has values which guide it to strive for excellence in education, training and research; to equip students to meet the demands of the workplace; to encourage the participation of communities so as to enhance their educational opportunities; and to place particular emphasis on communities under-represented among the students of UCOL.

#### 2.4 UCOL's Goals

2015-2018 Goals:

- Individuals choose UCOL as their preferred provider of learning;
- Our students succeed;
- We collaborate with key stakeholders to find unique solutions and mutually beneficial outcomes;
- We are a high performing tertiary education institute.

### **3 Commitment to Quality**

- 3.1 UCOL recognises its obligation under the Education Act to “strive to ensure the institution attains the highest standards of excellence in education, training and research” (Education Act 1989 s181 (a))
- 3.2 Educational excellence is considered as an integrated approach to organisational performance within UCOL which results in:
- The delivery of educational programmes that continuously improve in meeting the needs of students and stakeholders
  - The improvement of overall organisational effectiveness and capabilities, and
  - Organisational and personal learning.
- 3.3 UCOL considers that quality is one component of ‘excellence’ and that a commitment to institutional research, critical reflection and continuous quality improvement will assist the institution achieve excellence.
- 3.4 UCOL believes that quality is determined largely by the extent to which its services successfully meet the needs of its students and other stakeholders, including their perception of value for money.
- 3.5 UCOL recognises that it has many external stakeholder groups. Whilst students are a major group, others include Iwi, industry, government and the community.
- 3.6 UCOL is committed to meeting its obligations under the Treaty of Waitangi. UCOL’s Academic Statute provides for the participation of Māori by ensuring appropriate representation on Academic Board and related committees.
- 3.7 UCOL is committed to providing and maintaining quality in all aspects of its business.

### **4. Quality Management**

- 4.1 UCOL’s Academic Quality Management System (AQMS) is a documented system of policies and procedures designed to provide confidence to students and other stakeholders that academic programmes and other services will be delivered consistently and reliably.
- 4.2 The AQMS was developed by UCOL to provide a framework for quality assurance and a written record of established quality processes, thus promoting greater consistency of practice.
- 4.3 UCOL’s AQMS is continually undergoing development in order to improve its effectiveness and consistency of application.
- 4.4 Policies and procedures are designed to ensure that opportunities for continuous quality improvement are translated into actions and that these are subsequently reviewed to ensure continued effectiveness.

- 4.5 UCOL uses the NZQA Self Assessment model to evaluate its quality systems.
- 4.6 Staff feedback is sought and incorporated into the development and review of policies and procedures.

## **5. Approach to Academic Quality**

- 5.1 UCOL's Academic Statute is the basis of its AQMS. It is the legal instrument that provides the authority by which UCOL's qualifications are awarded. In doing so it provides the framework for the processes and accountabilities for academic quality assurance within UCOL. All policies and procedures must comply with the provisions of the Academic Statute.
- 5.2 Particular attention is paid to removing barriers to student access to tertiary education and subsequent barriers to student success. At the same time UCOL seeks to maintain high standards for its qualifications and the achievement of its students. UCOL is vitally concerned with helping students to succeed, but recognises that this must not be at the expense of lowered academic standards.
- 5.3 A fundamental part of the quality philosophy is to meet and exceed student expectations. Particular attention is paid to student feedback from a variety of sources, not least student surveys and programme evaluations. At the same time, UCOL fully recognises that a critical focus should be on the transformative nature of education. Part of the education process is to challenge students' academic expectations as they progress through study at UCOL.

## **6. Responsibilities for Academic Quality within UCOL**

- 6.1 Quality is the responsibility of each and every member of staff. Academic quality is primarily a professional issue supported by institutional systems, policies and procedures, rather than being simply a function of management. A commitment by staff to undertake their roles efficiently and effectively as well as a willingness to improve existing practices and be innovative are a fundamental responsibility.
- 6.2 A range of quality control and quality assurance mechanisms are implemented throughout UCOL to ensure that it consistently meets the needs of its stakeholders in delivering quality programmes. Council has delegated the oversight of Quality Assurance to the Academic Board and its Committees as outlined in the Academic Statute. Executive Deans, Campus Managers, and corporate and administrative managers are ultimately responsible for quality in their areas of responsibility.
- 6.3 Specific responsibilities are also outlined in institutional-wide policies.
- 6.4 UCOL also involves external academic, professional, industry and community groups in its quality assurance processes to ensure that it is maintaining quality in all aspects of its work.
- 6.5 The Academic Board formally approves the AQMS, which is endorsed by Council. The Chief Executive, who is ultimately responsible for the academic and administrative management of UCOL, is committed to its implementation.



**PART B**

**UCOL**  
**ACADEMIC QUALITY**  
**STANDARDS**

# STANDARD 1

## INSTITUTIONAL ACADEMIC QUALITY MANAGEMENT

### 1.1 The Standards

- 1.1.1 *UCOL has documented academic quality systems and policies, and evidence of their effective application.*
- 1.1.2 *Authorities and responsibilities for academic quality are clearly assigned in accordance with UCOL policies.*
- 1.1.3 *UCOL's commitment to the principles of the Treaty of Waitangi<sup>1</sup> is clearly evident throughout its operations.*
- 1.1.4 *UCOL's commitment to attaining the highest standards of excellence in education, training and research, with due concern for the public interest and the well-being of students attending the institution<sup>2</sup>, is evident in the way it conducts its academic functions.*

### 1.2 Introduction

UCOL is committed to providing quality academic programmes and services for its students. A coherent academic structure has been established and academic policies developed to meet the internal and external requirements of its stakeholders and those agencies responsible for approval and accreditation of programmes.

### 1.3 Guiding principles

- 1.3.1 UCOL will ensure the institution complies with the requirements of relevant legislation.
- 1.3.2 UCOL's Academic Quality Management System (AQMS) specifies standards for academic quality and the core policies to be followed.
- 1.3.3 The AQMS is consistent with the requirements and intent of UCOL's Academic Statute and other approved and authorised institutional policies.
- 1.3.4 The AQMS reflects UCOL's commitment to its obligations under the Treaty of Waitangi.
- 1.3.5 UCOL's documented quality systems and policies undergo regular review and monitoring.

---

<sup>1</sup> The Education Act (1989) s181(b) states that it is the duty of the Council of an institution, in the performance of its duties and the exercise of its powers to acknowledge the principles of the Treaty of Waitangi.

<sup>2</sup> The Education Act (1989) s181 assigns these duties to the Council of an institution. The academic functions inherent in fulfilling these obligations are normally delegated to the institution's Academic Board.

1.3.6 UCOL has clear lines of accountability and responsibility for academic quality and monitors the effectiveness of quality improvement processes.

1.3.7 The AQMS, statutes, policies, procedures and guidelines can be accessed electronically on the UCOL Intranet. These versions are the only guaranteed current and approved versions.

## 1.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Statutes and Policies</b>	<b>Responsibility</b>
Academic Statute	Chief Executive
Quality Assurance	Executive Director, Quality
Official Documents	Executive Manager Corporate

# STANDARD 2

## DEVELOPMENT AND REVIEW OF QUALIFICATIONS AND EDUCATIONAL PROGRAMMES

### 2.1 The Standards

- 2.1.1 *An educationally sound, effective process is used for the development, approval and review of all qualifications, programmes and courses<sup>3</sup> associated with UCOL.*
- 2.1.2 *Stakeholders<sup>4</sup> have appropriate opportunities to give feedback on programmes and to be involved in the development and review of programme outcomes.*

### 2.2 Introduction

Systems have been developed to ensure all programmes are consistent with UCOL's mission, vision and strategic direction, and are educationally sound. Consultation with major stakeholders is a requirement for the approval of new programmes by the Academic Approvals Committee of Academic Board. UCOL considers that programme evaluation and improvement is an integral part of on-going programme development. UCOL's Teaching and Learning Framework provides strategic direction for developing new programmes and product.

### 2.3 Guiding Principles

- 2.3.1 Programmes will reflect UCOL's vision and guiding principles; learning designs will be informed by current research, scholarship, advanced practice and knowledge of the relevant industry/profession.
- 2.3.2 Creativity in curriculum design and delivery will be promoted and fostered.
- 2.3.3 Programmes must comply with the provisions of UCOL's Academic Statute and NZQA requirements, and documentation for programmes will follow UCOL's approved formats.
- 2.3.4 Programmes already approved by a TANZ partner or another tertiary institution specifically approved by UCOL's Academic Board will be deemed to be approved by UCOL.
- 2.3.5 Changes or modification of programmes are to follow established procedures in respect to all curriculum documents, handbooks, workbooks, brochures and marketing materials.
- 2.3.6 Programme development, review, and redevelopment are carried out in consultation with stakeholder groups, including Māori.

---

<sup>3</sup> The definitions of qualification, programmes and courses are those used by TEC for funding purposes.

<sup>4</sup> Stakeholders must include students.

- 2.3.7 The self-assessment and review of programmes will include consideration of their currency and relevance for stakeholders (e.g. continued ability to meet industry needs).
- 2.3.8 Programmes will undertake regular self-assessment and outcomes will be reported to the Academic Board.
- 2.3.9 Monitoring and review of programmes (level 7 and above) will be undertaken in accordance with policy in order to improve the educational experience and outcomes for students, and to identify and make recommendations to support the future direction of these programmes.
- 2.3.10 Literacy and numeracy approaches are embedded in a context relevant to the student and level of the programme.

## 2.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Statutes and Policies</b>	<b>Responsibility</b>
Academic Statute	Chief Executive
New Programme Development	Executive Director, Business Development
Admission and Enrolment	Executive Director, Business Development
Quality Assurance	Executive Director, Quality
Programme Commencement	Executive Director, Education and Applied Research
Stakeholder Engagement	Executive Director, Education and Applied Research
Monitoring and Review of Programmes (level 7 and above)	Executive Director, Quality
Student Evaluation of Programmes	Executive Director, Quality

# STANDARD 3

## FINANCIAL, ADMINISTRATIVE, HUMAN AND PHYSICAL RESOURCES

### 3.1 The Standards

- 3.1.1 *An effective process is used to identify and allocate adequate resources (including physical resources) to achieve the outcomes of qualifications, programmes and courses and to implement, maintain and improve UCOL's QMS.*
- 3.1.2 *Effective policies and procedures are in place to meet UCOL's health and safety requirements.*

### 3.2 Introduction

UCOL is committed to the effective provision and management of resources to ensure the on-going viability of the institution and its programmes. UCOL will ensure that strategic and annual planning occurs, so that all resources including staff, buildings, support services, equipment and environment that are necessary for the provision of quality educational services, can be provided.

### 3.3 Guiding Principles

- 3.3.1 UCOL's strategic plan is consistent with the institution's purpose and values. It includes clear objectives and statements regarding the operational management of UCOL.
- 3.3.2 Staff and stakeholders typically have input during the strategic planning cycle and will receive appropriate feedback. Regular review of strategic direction will occur.
- 3.3.3 The UCOL Council will approve the Investment Plan which is negotiated with the Tertiary Education Commission.
- 3.3.4 The outcomes of the approved Investment Plan will be reviewed and reported in UCOL's Annual Report as a Statement of Service Performance.
- 3.3.5 Budgets will be prepared annually under the guidance of the UCOL Financial Controller and in accordance with appropriate UCOL policies and procedures. All budgets will comply with relevant legislation.
- 3.3.6 Annual Institutional budgets will be approved by Council.
- 3.3.7 Comprehensive business cases may be required for proposed programmes, and will include the identification of financial, physical and staffing resources.
- 3.3.8 Audit New Zealand will undertake an annual audit review of UCOL's Annual Report prior to its submission to Parliament.
- 3.3.9 A comprehensive risk management process will be undertaken and reported quarterly to Council.
- 3.3.10 UCOL will ensure that all physical resources are fit for purpose, and maintained regularly in accordance with current health and safety requirements.

- 3.3.11 UCOL will operate Health and Safety hazard identification and incident and accident reporting processes.
- 3.3.12 UCOL will undertake to provide a safe environment for the physical and emotional well-being of staff and students.

### 3.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Policies</b>	<b>Responsibility</b>
Budgeting	Chief Financial Officer
Capital Expenditure	Chief Financial Officer
Internal Control	Chief Financial Officer
Library Collection Development	Executive Director, Student Success
Computer Use	Chief Financial Officer
Audio Visual Use	Chief Financial Officer
Information Systems Security	Chief Financial Officer
Remote Access Security	Chief Financial Officer
Internet Use by Employees	Chief Financial Officer
Use of Electronic Mail by Employees	Chief Financial Officer
Fire	Executive Manager Corporate
Health and Safety	Executive Manager Corporate
Smoke Free	Executive Manager Corporate
Drug Free Campus and Substance Abuse	Executive Manager Corporate
Alcohol	Executive Manager Corporate
Infection Control	Executive Manager Corporate
Discomfort, Pain and Injury Prevention and Management	Executive Manager Corporate
Student Work Experience and Off-campus Learning	Executive Director, Education and Applied Research
Student Harassment/Bullying Prevention	Executive Director, Student Success
Early Warning System Policy – Dangerous or potentially dangerous behaviours	Executive Manager Corporate
Purchase, Use and Storage of Hazardous Substances	Executive Manager Corporate
Incident Management	Executive Manager Corporate
Emergency Management	Executive Manager Corporate
Contractors on Site	Executive Manager Corporate
First Aid	Executive Manager Corporate
Risk Management	Executive Manager Corporate
Fraud	Chief Financial Officer
Discretionary Expenditure	Chief Financial Officer
References and Acting as a Referee	Executive Manager Corporate

# STANDARD 4

## STAFF SELECTION, APPRAISAL AND DEVELOPMENT

### 4.1 The Standards

- 4.1.1 *Staff qualifications and experience enable quality delivery of programmes.*
- 4.1.2 *Appropriate staff development plans, based on identified needs, are implemented and outcomes monitored to ensure effectiveness.*

### 4.2 Introduction

UCOL recognises that staff are a key resource and therefore will ensure that suitably qualified staff are recruited, trained, culturally aware and are provided with opportunities for personal growth and professional development. Teaching staff will be prepared for facilitating learning and will be provided with feedback on their performance and achievements.

### 4.3 Guiding Principles

- 4.3.1 UCOL's policies and procedures are consistent with legislation and with being a good employer.
- 4.3.2 Lecturing staff are generally expected to hold relevant qualifications and/or industry experience in advance of the level at which they are teaching.
- 4.3.3 New lecturing staff are required to complete an adult learning and teaching qualification (or to apply for recognition of prior learning) in order to develop skills to foster effective learning environments.
- 4.3.4 UCOL staff are encouraged to complete an orientation process within their own section, and UCOL-wide induction, as appropriate.
- 4.3.5 UCOL's capability framework identifies competencies and outcomes that support success in the staff member's role, and contributes to excellence in performance management.
- 4.3.6 All teaching staff employed on level 1 and 2 courses leading to a level 1-3 qualification must hold the National Certificate in Adult Literacy and Numeracy Education (level 5).
- 4.3.7 Staff performance appraisal is conducted in a manner which enhances effectiveness and encourages performance development.
- 4.3.8 Opportunities to participate in personal growth and professional development activities are provided for UCOL staff.
- 4.3.9 Faculty Boards of Educational Improvement will report regularly to the Academic Board on staff development activities.
- 4.3.10 Staff will be encouraged to continually update their knowledge of relevant industry, intellectual and professional developments.



- 4.3.11 UCOL will facilitate the upgrading of staff qualifications when new programmes such as degrees are developed.
- 4.3.12 UCOL's Academic Career and Remuneration Framework provides a pathway for professional career advancement for academic staff.

#### 4.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Policies</b>	<b>Responsibility</b>
Adult Teaching Qualifications	Executive Director, Education & Applied Research
Adjunct Lecturers Appointment	Chief Executive
Conduct Expected of Employees	Chief Executive
Consultation	Chief Executive
Employee Assistance Programme	Executive Manager Corporate
Equal Employment Opportunities (EEO)	Chief Executive
Harassment Prevention for Employees	Chief Executive
Induction	Chief Financial Officer
Leave	Executive Manager Corporate
Overtime, Time in Lieu, and Flexi Time Policy	Executive Manager Corporate
Performance Management	Executive Manager Corporate
Privacy	Executive Manager Corporate
Professional Development	Executive Director, Education & Applied Research
Probation	Executive Manager Corporate
Recruitment	Executive Manager Corporate
Remuneration	Executive Manager Corporate
Retirement Grant	Executive Manager Corporate
Retirement Pathways	Executive Manager Corporate
Staff Higher Qualifications Funding	Executive Director, Education & Applied Research
Staff Participation in Local Body Elections and Potential Representation	Chief Executive
Surplus Staffing	Chief Executive
The Appointment of Professors and the Use of Academic Titles	Executive Director, Education & Applied Research
Working Conditions Review	Chief Executive
Student Evaluation of Programmes	Executive Director, Quality
Student First Impressions/Satisfaction Survey	Executive Director, Quality
Staff Fees Concession	Chief Financial Officer

# STANDARD 5

## STUDENT INFORMATION AND ADMISSION TO PROGRAMMES

### 5.1 The Standards

- 5.1.1 *Prospective and continuing students receive effective information and guidance to assist with making informed decisions on their programme of study.*
- 5.1.2 *Appropriate entry and selection criteria for each programme of study are well publicised and applied consistently.*
- 5.1.3 *UCOL has effective credit transfer and recognition of prior learning policies and procedures, consistent with NZQA Credit Recognition and Transfer policy.*

### 5.2 Introduction

UCOL is committed to enhancing access to, and achievement in, tertiary education by removing unnecessary barriers to both student entry and student success. UCOL aims to help students to succeed by offering appropriate advice especially prior to enrolment and during the initial stages of a programme.

### 5.3 Guiding principles

- 5.3.1 Prospective students will be provided with opportunities for advice and guidance on the skills and aptitudes required to engage in the programme for which they are seeking entry.
- 5.3.2 Prospective students will have appropriate opportunities to discuss the academic requirements of a programme of study, including the literacy and numeracy demands of the programme, and the career/further study opportunities arising from the successful completion of a particular programme.
- 5.3.3 Entry qualifications for programmes must be approved by the Academic Board as educationally sound and will be included in programme information provided to students.
- 5.3.4 Unnecessary barriers to entry and the progress of students will be eliminated. Wherever possible, UCOL will seek to accommodate all students who wish to enrol on a programme of study.
- 5.3.5 Programmes and opportunities will be developed to increase participation of under-represented groups.
- 5.3.6 Subject to regulations for a specific programme, students may be admitted to any point in a programme following a successful application for RPL. This may include Cross-Credit, Credit Transfer and/or the Assessment of Prior Learning.

## 5.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Statutes and Policies</b>	<b>Responsibility</b>
Academic Statute	Chief Executive
Admission and Enrolment	Executive Director, Business Development
International Students	Executive Director, Business Development

# STANDARD 6

## STUDENT GUIDANCE AND SUPPORT

### 6.1 The Standards

- 6.1.1 *Students are provided with learning and pastoral support which is timely, effective and appropriate.*
- 6.1.2 *Safeguards are in place to protect students' physical and emotional well-being.*
- 6.1.3 *UCOL has effective policies and procedures, which are accessible, appropriate and fair, for resolving student complaints.*

### 6.2 Introduction

UCOL is committed to providing appropriate support services to students that will assist in their learning and ensure their physical and mental well-being is protected. UCOL will also continue to explore ways to ensure that students with various special needs can actively engage in a range of programmes at UCOL.

### 6.3 Guiding principles

- 6.3.1 UCOL will undertake to provide a safe environment for the physical and emotional wellbeing of students.
- 6.3.2 UCOL strives to ensure that students succeed in their educational goals and seeks to provide support where possible.
- 6.3.3 Learning support will be available to students who may access this support independently or by referral by staff.
- 6.3.4 Students who indicate they have a disability on their enrolment form will have access to additional assistance through student support services.
- 6.3.5 Students have access to health and counselling services.
- 6.3.6 UCOL will maintain effective systems to resolve student concerns and complaints.
- 6.3.7 The learning environment enables Māori students to prosper, grow, achieve their potential, maintain their cultural identity and succeed as Māori.
- 6.3.8 Support will be provided to students to enable them to use UCOL learning services to their best advantage.
- 6.3.9 UCOL is a signatory to the Education (Pastoral Care of International Students) Code of Practice 2016.
- 6.3.10 UCOL provides opportunities for students to give feedback on UCOL activities and services.
- 6.3.11 Literacy and numeracy assessment results will inform teaching approaches to support literacy and numeracy skills development.

## 6.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Policies</b>	<b>Responsibility</b>
Student Harassment/Bullying Prevention	Executive Director, Student Success
Student Complaints	Executive Director, Quality
Drug Free Campus and Substance Abuse	Executive Manager Corporate
Alcohol	Executive Manager Corporate
Assessment and Moderation	Executive Director, Education and Applied Research
Student Health Service	Executive Director, Student Success
Student Hardship Fund	Executive Director, Student Success
Student Financial Relief	Executive Director, Education and Applied Research
Library Circulation	Executive Director, Student Success
Intellectual Property – Students	Executive Director, Education and Applied Research
Admission and Enrolment	Executive Director, Business Development
Student Evaluation of Programmes	Executive Director, Quality
Student First Impressions/Satisfaction Survey	Executive Director, Quality

# STANDARD 7

## TEACHING & LEARNING

### 7.1 The Standards

7.1.1 *UCOL defines and implements effective teaching and learning practices that are educationally sound and appropriate to the programme of study and mode of delivery.*

7.1.2 *Programme delivery undertaken in partnership with, on behalf of or by another organisation, meets the standards set in the quality management system<sup>5</sup>*

### 7.2 Introduction

Student learning is the purpose of UCOL. We are committed to learning and teaching that optimises student success. The development and support of good teaching practice is essential if students are to achieve the outcomes of their programmes of study. The learning environment is constructed to meet the needs of students. Learning activities respond to student needs and provide opportunities to contextualise and apply knowledge and skills. UCOL's Teaching and Learning Framework provides strategic direction to enhance delivery.

### 7.3 Guiding principles

- 7.3.1 UCOL supports teaching staff to be reflective practitioners to continue to improve their teaching practice using student voice to drive change.
- 7.3.2 Executive Deans have operational responsibility for quality educational delivery and line management responsibility for the performance of individual staff.
- 7.3.3 UCOL provides a supportive environment, in which teaching is recognised, valued and rewarded for all those who teach and support learning.
- 7.3.4 Academic staff will receive appropriate institutional support during their induction, probation and while undertaking their ongoing teaching responsibilities.
- 7.3.5 Academic staff will be expected to maintain and enhance their subject knowledge and teaching competence by undertaking professional development on a regular basis.
- 7.3.6 Approaches to learning, teaching and assessment are designed to foster student engagement and develop students' skills and attributes such that they become critically reflective life-long learners who take responsibility for their own personal and professional development.
- 7.3.7 UCOL staff supported by Te Atakura aim to reduce the disparity between Māori and non-Māori student achievement and improve the educational experience and outcomes for all students.

---

<sup>5</sup> Memoranda of agreements and contracts with partners/sub-contracted providers that cover all relevant academic aspects including requirements of relevant external bodies and internal policies and assure the improvement of the quality of learning

- 7.3.8 Learners are actively engaged in the learning environment as participants rather than passive recipients of knowledge.
- 7.3.9 Students participating in each programme are offered the opportunity to evaluate the programme and the lecturers involved in its delivery. Evaluations are incorporated as appropriate into individual staff performance appraisals and (for more generic issues) into annual programme self-assessment reports. Issues raised are addressed through action plans as necessary.
- 7.3.10 Various mechanisms are in place to debate and promote current issues in education thereby fostering good educational practice.
- 7.3.11 Academic staff take a positive, non-deficit view of Māori students, and see themselves as capable of making a difference for them.

## 7.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Policies</b>	<b>Responsibility</b>
Adult Teaching Qualifications	Executive Director, Education and Applied Research
Quality Assurance	Executive Director, Quality
Professional Development	Executive Director, Education and Applied Research
Contract Development and Management	Executive Manager Corporate
Monitoring and Review of Programmes (level 7 and above)	Executive Director, Education and Applied Research
Staff Higher Qualifications Funding	Executive Director, Education and Applied Research
Student Evaluation of Programmes	Executive Director, Quality

# STANDARD 8

## OFF-SITE PRACTICAL/WORKPLACE COMPONENTS

### 8.1 The Standards

8.1.1 *Off-Site Practical/Workplace Components are effective and integrated into curricula.*

8.1.2 *Clear criteria are used to select off-site placements, and clearly defined roles and responsibilities for all parties are stated and agreed.*

### 8.2 Introduction

UCOL recognises that off-site placements of students are an essential part of many programmes delivered from its campuses. The nature of these placements may vary from direct supervision by UCOL staff, e.g. field trips, to informal placements which are related to a student's independent learning, through to arrangements where an industry or community partner actively contributes to the supervision and assessment of the student. Clear policies and procedures have been established to ensure the purpose of placements and the rights and responsibilities of all parties involved are documented and understood.

### 8.3 Guiding principles

8.3.1 During off-site and workplace experiences or clinical placements, a quality learning environment, which minimises risk to students while maintaining the integrity of the workplace, provides a context for the development and assessment of relevant skills.

8.3.2 Off-site placement of students will be subject to written agreements where necessary, and, where required, formal contracts will specify the terms and conditions for any placement.

8.3.3 Workplace or off-site areas will be selected and monitored according to stated criteria. Key criteria in this context will be the health and safety of students and the potential for optimising student learning experiences as specified in the curriculum.

8.3.4 Written agreements or formal contracts on the placement of students shall specify UCOL's requirements and responsibilities for student assessment and reporting student progress, and the responsibilities of industry personnel.



## 8.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Policies</b>	<b>Responsibility</b>
Health and Safety	Executive Manager Corporate
Student Work Experience and Off-campus Learning	Executive Director, Education and Applied Research
Contract Development and Management	Executive Manager Corporate

# STANDARD 9

## ASSESSMENT AND MODERATION

### 9.1 The Standards

- 9.1.1 *Systems are in place for ensuring the assessment of learning outcomes is fair, valid and consistently applied.*
- 9.1.2 *Student learning outcomes are accurately, effectively and fairly assessed.*
- 9.1.3 *Students receive accurate and timely advice on their learning progress.*
- 9.1.4 *Effective and appropriate policies and procedures enable students to appeal assessment outcomes.*

### 9.2 Introduction

UCOL is committed to ensuring that assessment is fair, valid and reliable. Assessment is seen as a tool to guide students in their learning and is an essential part of the learning process. UCOL has in place a sound structure of policies, procedures and regulations to ensure good practice is employed. There is an accessible appeals process for students which is well publicised and easily understood. Students are responsible for attending examinations and submitting work for assessment as required in accordance with programme regulations as outlined in curricula and student handbooks.

### 9.3 Guiding principles

- 9.3.1 Faculty Boards of Educational Improvement are responsible for the oversight of assessment standards and for the fair treatment of students in terms of granting credits. Boards of Educational Improvement also establish standards for the marking of assessments and turn-around times for the return of scripts.
- 9.3.2 Assessment and moderation practices are consistent with the UCOL Academic Statute and UCOL policy.
- 9.3.3 Assessment policies and procedures ensure that:
- Assessments made are consistent with the information and timetables given to students at the start of the programme
  - Assessments are appropriate for the level of the course/programme, and fair to students in terms of frequency and balanced workloads
  - Assessment structures and results are loaded into the Student Management System
  - No student is disadvantaged or unfairly advantaged should any assessment requirement have to be changed
  - Requirements to meet deadlines for assessed work are clearly stated including procedures for extensions

- There are clear criteria and procedures for reconsideration of assessment, resits and appeals. These will be consistent with the Academic Statute
  - Students, fluent in Te Reo Māori, have the right to use Te Reo Māori in assessments
- 9.3.4 Course descriptors shall be supported by written information which includes the method or methods of assessment to be employed. Assessment requirements and criteria will be consistent with educational outcomes and clearly state the criteria for passing each component including Compulsory Academic Requirements (CARs).
- 9.3.5 Information on assessments will be available to students at programme commencement. Students will be provided, in writing, with assessment schedules and marking criteria.
- 9.3.6 Student assessment is planned to ensure that students receive feedback on their performance and confirmation that they have achieved the learning outcome or elements of the paper.
- 9.3.7 Internal and external moderation contribute to planned, fair, valid, reliable and consistent assessments.
- 9.3.8 External moderation procedures will meet the requirement established by appropriate external agencies.
- 9.3.9 Students have access to an appeals process detailed in the UCOL Academic Statute, and outlined in the programme handbook.

## 9.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Statutes and Policies</b>	<b>Responsibility</b>
Academic Statute	Chief Executive
Assessment and Moderation	Executive Director, Education and Applied Research
Literacy and Numeracy Requirements for Students	Executive Director, Education and Applied Research

# STANDARD 10

## REPORTING AND CERTIFICATION

### 10.1 The Standards

- 10.1.1 *Students and appropriate external stakeholders receive accurate and timely advice on students' achievement.*
- 10.1.2 *The appropriate awards are accurately documented and issued, in a timely manner to all students who meet the stated requirements.*
- 10.1.3 *Student results are safely stored, with final records accessible for future reference.*
- 10.1.4 *Awards issued by UCOL are consistent with internal and external requirements and definitions.*

### 10.2 Introduction

UCOL recognises the importance of feedback and advice to students on their progress and achievements. Student records are effectively managed, permanently retained and securely stored.

### 10.3 Guiding principles

- 10.3.1 Students will receive regular feedback on their progress, and the issue of awards and academic records will be accurate and timely.
- 10.3.2 Reporting of student progress and attainment is in accordance with the UCOL Academic Statute, and the final grade for a paper is recorded in the Student Management System.
- 10.3.3 The awarding, validating, recording, reporting and archiving of assessment grades within a paper is a Faculty responsibility.
- 10.3.4 The Awards offered by UCOL are defined in its Academic Statute.
- 10.3.5 Accurate and timely reports are issued to authorised external stakeholders, e.g. NZQA.
- 10.3.6 The template for Certificate, Diploma and Degree awards is approved by the Chief Executive and, where necessary, reflects the needs of external bodies.
- 10.3.7 Each faculty keeps accurate, complete student results, and documents are safely archived yet readily accessible to authorised personnel.

## 10.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Statutes and Policies</b>	<b>Responsibility</b>
Academic Statute	Chief Executive
Issue of Awards	Executive Director, Quality
Academic Results Storage	Executive Director, Quality

# STANDARD 11

## RESEARCH & KNOWLEDGE TRANSFER

### 11.1 The Standards

- 11.1.1 *UCOL has defined research objectives, appropriate to the level and type of qualifications delivered.*
- 11.1.2 *UCOL ensures adequate resources and support are available to meet the defined research objectives.*
- 11.1.3 *UCOL systematically evaluates and reports its achievement of research outcomes.*

### 11.2 Introduction

UCOL is committed to providing leadership and advancing research, scholarship and knowledge transfer, in the belief that teaching and research are inter-dependent and benefit each other. Strategic priorities for research are focussed around the support of degree delivery and, within this context, UCOL actively encourages staff and students, especially those involved in degree-level programmes, to undertake research as a recognised part of their work or study.

The Research and Knowledge Transfer Committee is responsible for approving proposals from staff and students, including ethical approval (requiring external approval if necessary); fostering and monitoring research activity undertaken at UCOL; and developing, maintaining and monitoring the Code of Ethical Conduct and Intellectual Property policies.

### 11.3 Guiding principles

- 11.3.1 All research projects conducted by UCOL academic staff and graduate students, in UCOL time or involving UCOL resources, are approved by the Research and Knowledge Transfer Committee.
- 11.3.2 Research projects carried out for administrative purposes may be submitted to the Research and Knowledge Transfer Committee for purposes of peer review.
- 11.3.3 Members of the Research and Knowledge Transfer Committee provide advice and support for existing and prospective researchers.
- 11.3.4 Research proposals approved by the Research and Knowledge Transfer Committee will be eligible to apply for funding from UCOL's research discretionary fund, in addition to exploring external funding opportunities.
- 11.3.5 The majority of staff teaching on degree programmes will be actively engaged in research.
- 11.3.6 Research Plans for degree programmes are monitored annually by the Research Committee.

- 11.3.7 Staff are encouraged to submit their research outputs to appropriate national or international journals, conferences or other avenues.
- 11.3.8 UCOL staff undertaking research approved by the Research and Knowledge Transfer Committee are expected to report six monthly on their research activity and outcomes to the Research and Knowledge Transfer Committee, including providing a final written report.
- 11.3.9 Staff who receive UCOL funding for their research may be asked to give at least one presentation on their research to UCOL staff.
- 11.3.10 Academic staff and students involved in research which requires the co-operation of human participants are subject to the 'Code of Ethical Conduct for Research and Teaching Involving Humans as Research Participants'. Lecturers must ensure that student projects comply with the "Lecturers Guidelines for Student Research Projects". The Research and Knowledge Transfer Committee will advise the researcher when a research project requires formal ethical approval.
- 11.3.11 Where live animals are used in teaching or research, lecturers must ensure the relevant policies are followed.
- 11.3.12 Any work created or developed during the research activity is covered by the Intellectual Property Policy.
- 11.3.13 Research outputs are reported to the Academic Board by the Research and Knowledge Transfer Committee, and published in UCOL's Annual Report.

## 11.4 Policies

<b><i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i></b>	
<b>Policies</b>	<b>Responsibility</b>
Research and Knowledge Transfer	Executive Director, Education & Applied Research
Code of Ethical Conduct for Research and Teaching Involving Humans as Research Participants	Executive Director, Education & Applied Research
Use of Live Animals for Teaching and Research	Executive Director, Education & Applied Research
Intellectual property – students	Executive Director, Education & Applied Research
Intellectual property – employees	Executive Director, Education & Applied Research

# STANDARD 12

## SELF ASSESSMENT, EXTERNAL EVALUATION AND REVIEW

### 12.1 The Standards

12.1.1 *Internal self-assessment and external evaluation and review, and the improvements arising from such activities, are effectively managed.*

12.1.2 *The quality management system is reviewed and updated on a regular basis.*

### 12.2 Introduction

UCOL is committed to self-assessment practices designed to assist with the management of quality improvement activities. The self-assessment model uses Key Evaluation Questions (KEQs) as a framework to facilitate critical reflection, analysis and informed decision making. This evidence based, outcomes focussed quality assurance approach involves capturing feedback from a number of sources, and results and actions lead to valued and measurable outcomes designed to improve educational provision. External evaluation and review will provide an independent judgement about UCOL's performance and capability.

The six Key Evaluation Questions are:

1. How well do learners achieve?
2. What is the value of the outcomes for key stakeholders, including learners?
3. How well do programme design, delivery, learning and assessment activities match the needs of learners and other relevant stakeholders?
4. How effectively are learners supported and involved in their own learning?
5. How effective are governance and management in supporting educational achievement?
6. How effectively does the TEO manage its important compliance accountabilities?

### 12.3 Guiding principles

12.3.1 Programmes and services will be self-assessed, evaluated and reported to the relevant Faculty Board of Educational Improvement and Academic Board. A Faculty Board of Educational Improvement summary of action plans is reported to Academic Board.

12.3.2 Suitably trained facilitators, who are independent of the programme involved, will facilitate conversations, meetings or forums for critical reflection, analysis of evidence and action planning from time to time.

12.3.3 The Academic Board may at any time institute an internal audit of any programme, service or activity to ensure academic quality is consistent with academic standards.

12.3.4 UCOL's quality systems and policies undergo regular review, revision and approval to ensure currency and relevance.



12.3.6 Organisational performance indicators, including quality indicators, are measured annually and reported in UCOL's Annual Report.

## 12.4 Policies

<i>Approved policies can be accessed electronically on the UCOL intranet. Related procedures are included in the policy, and also apply.</i>	
<b>Policy</b>	<b>Responsibility</b>
Quality Assurance	Executive Director, Quality

# APPENDIX

# Appendix One:

## AQMS AMENDMENT RECORD

The AQMS first received full acceptance by the New Zealand Polytechnic Programmes Committee in 1996.

### Document Change

The current version of this manual, being a revision of earlier versions, is subject to continual evaluation, feedback and amendment, as described in the table below. As a document ratified by the Academic Board, such amendments are tabled with, examined by, and approved by the Board prior to their release.

When a number of such changes and revisions have occurred, the Director Academic Development may decide to reissue the manual as a new full version.

Document	UCOL Academic Quality Management System			
Section	Version	Pages	Issue Date	Nature of Change
All	9	All	July 2016	Revised version
All	8.1	All	July 2010	Revised to incorporate SAEER
9.3.7	7.1	37	Aug 2006	Revised as approved by Academic Board on 8/8/06
3.3.12	7.1	25	Aug 2006	Core policy moved from section 4 as suggested by Academic Board
B 1.1	7	20	Aug 2006	Incorporates new ITPNZ standard
All	7	All	Jan 2006	Revised version in line with changes to ITPNZ standards
All	6	All	Jan 2003	New version issued
All	5.1	All	July 2001	New version issued
4.6.1, 4.8.2 7.1.5	5.1	27 28 35	Sept 2001	References to adult teaching qualification requirements aligned to Policy H09-P06A

### Document Review

Notwithstanding the continual evaluation, feedback and amendment described above, this version (9) will be subjected to a full review of its relevance and effectiveness in accordance with policy, unless a new version is issued prior to that time.