

# **Universities New Zealand – Te Pōkai Tara**

## **Committee on University Academic Programmes**

### **Functions and Procedures**

**2011-2012**  
(update April 2012)



## PREFACE

This booklet is designed to outline the approval and accreditation procedures agreed to and operated by the eight New Zealand universities and in conjunction with that to describe other features of the work of University New Zealand's Committee on University Academic Programmes.

In so doing, it sets out the ways in which the New Zealand universities fulfil the criteria for the approval and accreditation of qualifications and programmes within those qualifications, as required by Sections 258, 259 and 260 of the Education Act 1989.

It alludes, too, to the work of the New Zealand Universities Academic Audit Unit (NZUAAU), a body independent of Universities New Zealand, set up by the universities to ensure that they have effective mechanisms to ensure the quality of their academic activities.

The booklet is intended to assist staff of the universities to develop acceptable proposals. But Universities New Zealand believes that people outside the universities, as well as staff, should be fully informed about its procedures for approval and accreditation.

Though largely addressed to those who are developing the qualifications, the booklet is also designed for others to read.

Revised editions are published as required.

January 2011

**Please note:** Universities New Zealand – Te Pōkai Tara is the name used by the New Zealand Vice-Chancellors' Committee (NZVCC), established under the Education Act 1989. All references to Universities New Zealand herein should be taken as references to the NZVCC.

*Functions and Procedures* is a living document, subject to ongoing change and improvement. An up-to-date version may be found under Handbook on the CUAP page of the Universities New Zealand website:

[www.universitiesnz.ac.nz](http://www.universitiesnz.ac.nz).

For information about the committee that is not found herein please email [cuap@universitiesnz.ac.nz](mailto:cuap@universitiesnz.ac.nz).

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## Glossary of terms used in this booklet

<b>qualification</b>	A degree, diploma or certificate as defined in the "Definitions" section of this booklet*, approved by CUAP in terms of ss.258, 259 and 260 of the Education Act 1989; or a degree, diploma or certificate approved by the Curriculum Committee of the University Grants Committee (disestablished 1990) or a degree, diploma or certificate offered by the University of New Zealand (disestablished 1961) and still on the books of the universities.
<b>programme</b>	<p>The requirements set down by a university, in the form of regulations, for the completion of a qualification, generally expressed in terms of eligibility to enrol, duration (years or credits), and the papers to be included, together with regulations covering matters such as practical work, cross-credits and exemptions, preparation and submission of a thesis etc.</p> <p>Also used by some universities (a) as a synonym for major <i>q.v.</i> or (b) in reference to an individual student's selection from the requirements.</p>
<b>paper</b>	The smallest unit of work in which a student can enrol, identified by a unique number, and delivered by means of lectures, tutorials, seminars, practicals etc. or in distance mode by correspondence or electronically. The length of a paper is generally one semester. In appropriate combinations papers fulfil programme requirements and thus contribute to qualifications.
<b>subject</b>	An academic discipline such as economics, anthropology, physics, offered through papers at various levels which are taken sequentially.
<b>major or major subject</b>	A substantial component of a degree (usually at least one-third and often consisting of one subject only) selected by the student, in accordance with the regulations, as the principal area of study for the degree.
<b>minor or minor subject</b>	A component of an undergraduate degree, usually of at least 60 credits, in a subject area selected by the student, in accordance with the regulations, to formally recognise a secondary area of study for the degree. Minors need not be a compulsory component of a degree.
<b>endorsement</b>	A subject that is appended to the name of a qualification, most commonly a graduate or postgraduate diploma or certificate, e.g. DipGrad(Finance) (but not excluding an undergraduate qualification), to indicate normally a

minimum of a 40% concentration of study in that area. An endorsement with at least such a minimum would be named on the graduation certificate.

<b>100 level 200 level 300 level</b>	(Also referred to as Stage 1, Stage 2 and Stage 3). The 3 main levels at which papers are offered by a university, 100 level being first-year, 200 level being second-year, and 300 level being third-year (often the final year of a bachelor's degree). These levels correspond, respectively, with levels 5, 6 and 7 on the New Zealand Qualifications Framework (NZQF) <i>q.v.</i> in Section 6.
<b>credit</b>	One credit is regarded as equivalent to 10 hours of work by a student for one paper, including formal lectures, tutorials, assignments, exams, and private study. For one academic year (120 credits) the number of hours expected is therefore 1200. This definition comes from the NZQF <i>q.v.</i> in Section 6. (See also section 8.2*)
<b>suite of qualifications</b>	A group of qualifications with a common theme, which might be broad, e.g. arts, or narrow, e.g. a subject area such as computer studies. A typical suite might consist of a bachelor's degree, a bachelor's degree with honours, a master's degree, a postgraduate diploma, a postgraduate certificate, a graduate diploma and a graduate certificate, or only some of these.
<b>division</b>	(Also referred to as faculty, college or school). A major administrative section of a university, generally comprising academic departments teaching related subjects.
<b>semester (also trimester)</b>	A period of approximately 15 weeks, of which 12-13 are teaching weeks, and the remainder vacation and examinations.
<b>matriculated</b>	Officially entered on the books of the university as a student, having met the entrance requirements.
<b>EFTS (Equivalent Full-Time Student)</b>	A unit of measurement used in Student Achievement Component (SAC) funding and resource allocation to and within tertiary education providers. One EFTS is equivalent to the number of papers considered appropriate for one full-time student in one year (2 semesters). One EFTS is therefore equivalent to 120 credits on the NZQF <i>q.v.</i> in Section 6.
<b>grand-parenting</b>	Transition between old and new requirements, enabling qualifications that do not meet the new definition to continue in their existing form until the date specified by which they must meet the definition.

\*Section 8.1 offers definitions of degrees, diplomas and certificates; section 8.2 defines terms such as 'cross-credit', 'transfer of credit' and 'exemption'.

When the above terms are used in this booklet they have the meanings given above. This is not to suggest that they are a university-wide convention. Some universities use these terms in different ways. For example, the word 'paper' is not used at all universities and the words 'course', 'module' or 'unit' are used instead, while some universities use 'programme' to denote a coherent group of related papers from different subjects, which become, in effect, a major for a degree even though several subjects may be involved.

# 1. Introduction

## ***1.1 The universities in New Zealand***

The university system in New Zealand is unusual in that while it comprises administratively separate institutions, they cooperate to maintain standards, and have done so for more than four decades.

The eight universities - Auckland, Auckland University of Technology, Waikato, Massey, Victoria, Canterbury, Lincoln and Otago - differ in age and size and, in some respects, have different perspectives and different characters. But they also have much in common. They abide by the concept of academic freedom, which Parliament intended the Education Act 1989 to preserve and enhance (Section 161), and fully meet the definition of a university set out in that Act (Section 162 [4][a]).

The eight universities are autonomous institutions devoted to teaching and research, serving their communities in a range of ways. At the same time they seek to maintain standards that are internationally respected among universities.

To achieve these common objectives the institutions adopt a range of strategies. They seek to ensure access to those who might benefit from the programmes available, to offer research-based teaching, to provide a stimulating intellectual environment, and to offer qualifications that have international acceptance. They also search for highly-qualified staff in an international market, providing them with opportunities for career development and supporting their research and publication in national and international serials.

While they are autonomous institutions, some with over a century of service to New Zealand and the world of scholarship, the universities have also worked together to improve access and to maintain and advance standards, in that they employ measures like peer review and external assessment. A number of inter-university bodies are designed to carry out these objectives, as well as more generally to exchange information on current activities and plans, and their activities have endorsed and enhanced good practice.

Programme development and assessment have been and remain the focus of activity at the institutional and inter-institutional levels. Following the demise of the national University of New Zealand in 1961 individual institutions continued to collaborate on these matters, and their proposals for major new programmes and qualifications were subject not only to local consultation and internal approval processes but also to inter-institutional approval by the Curriculum Committee of the University Grants Committee. So valuable was this process that its role has been sustained, even enhanced, since the abolition of the UGC under the 1989 Act (as amended in 1990). That Act recognised that the New Zealand Vice-Chancellors' Committee would continue its important work—in some senses the Curriculum Committee was seen as a model for the tertiary education sector—and the NZVCC set up the Committee on University Academic Programmes (CUAP) to that end. In addition to the approval and accreditation functions CUAP has a number of other tasks, including advising Universities New Zealand on academic policies affecting the universities in New Zealand, and assisting in the conduct of its relationships in



these matters with the New Zealand Qualifications Authority (NZQA), the Ministry of Education and other agencies. (See section 9.)

*Note:* In August 2010 the NZVCC adopted the branding Universities New Zealand – Te Pōkai Tara.

The role and effectiveness of CUAP's inter-institutional activity cannot, however, be understood outside the context of institutional arrangements within each of the eight universities. CUAP is perhaps the key component in the hierarchy governing the rational development of academic programmes. The universities naturally display their variety in organisation and procedures. In all, however, there are structures for consultation, modification and review of academic offerings, for moderation of student assessment, and for staff development. Research and publication are uniformly stressed, each university seeking to maintain international standards in its teaching and research activities. The effectiveness of CUAP depends upon the existence of this institutional culture.

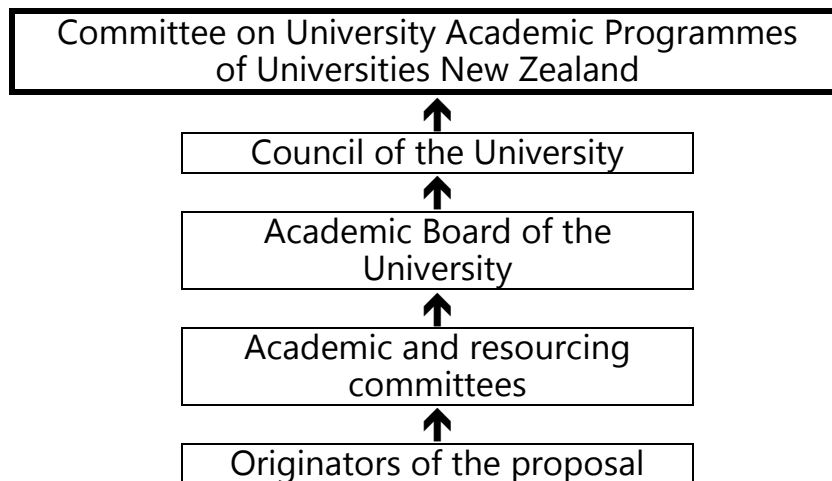
Further to ensure the maintenance of quality in their teaching and learning, the New Zealand universities collaborated to set up the New Zealand Universities Academic Audit Unit (NZUAAU). Relevant extracts from its Constitution are set out in Appendix H of this booklet. The universities individually, along with CUAP, are subject to auditing by the NZUAAU. The combination of institutional and CUAP procedures, together with those of the NZUAAU, provide a comprehensive quality assurance programme and permit fulfilment of the requirements of Section 260 of the Act.

One purpose of this booklet is to outline the procedures for programme approval and accreditation in the eight New Zealand universities. Its main focus is, however, on the activities of CUAP. Fuller information is to be found in the calendars, booklets and websites of the individual institutions.

## ***1.2 The development context***

A proposal for a new qualification or programme, or for major change to an existing offering, has to proceed through various deliberative bodies in a university before it reaches CUAP, where it is subjected to peer review across the university system at large. At various levels in the university, student, non-academic and professional input is also sought. At CUAP itself a representative of the student body is involved, thus ensuring that a university's plans for substantial change in its offerings are available for comment by its customers, and susceptible to change in the light of that comment. Following scrutiny in this way proposals may be approved without alteration, or debated by a meeting of CUAP at which particular concerns are aired and a means of resolution found, or referred back to the university, or rejected. It should be noted that without approval from a Quality Assurance Body such as CUAP no proposal for a new programme or major change will be funded by the Tertiary Education Commission.

A typical process may be illustrated by a diagram.



In general, proposals for new qualifications or programmes, or for other major changes to a university's academic offerings, originate within the universities, often after direct approaches from professional bodies or as a result of a staff member's experience elsewhere. The typical pattern is for an individual or a group of colleagues to draft a proposal for discussion by an appropriate committee. If support is received, the library, laboratory, staffing and other resource implications will be identified and, where appropriate, comments are sought from potential employers and the relevant professional organisations before a decision is made on whether to proceed with the proposal.

Most universities have established formats for presentation of proposals for changes to academic offerings, from the introduction of new qualifications to the amendment of the wording of individual paper prescriptions. Where new qualifications or programmes are involved, typically the originators are required to describe each component of the proposed new offering in considerable detail, to specify contact hours and modes of assessment, to provide drafts of regulations and any other Calendar entries, to identify who will teach any new material, and to estimate needs for additional resources. That documentation is then sent to representatives of the teaching staff of the division for wider debate on the merits of the proposal. If the proposal is not congruent with that body's plan, it may be returned to the originators or held in abeyance until the next planning round. If it appears appropriate to the aims of the body, the originators may be invited to respond to questions and to clarify points raised at the meeting. Although the academic merits of a proposal tend to be the focus of attention, the employment of the graduates, linkages with other study programmes on the campus, and the potential for overlap with courses in other universities are also considered. If the proposal is supported, it goes, after any required amendments have been made, to the appropriate academic committee. There, attention will tend to focus on the regulations, paper prescriptions and related calendar entries. As at the previous level, the originators may be invited to respond to the committee's queries and to make changes to the proposal before approval is granted. The committee may reject the proposal or require major revision.

Few proposals for new programmes are without resource implications. Once the academic merits of a proposal have been recognised, it goes to a committee or committees concerned with the provision of resources throughout the university: student access to language laboratories and computing facilities, specialist lecture theatres and rooms for tutorials, use of distance teaching facilities, and holdings of

books and serials for the library being some of the matters dealt with. Approval for the proposal to proceed to the next stage may be withheld by the committee(s) on the grounds of resource constraints.

Proposals which have received approval to this point then go to the highest of the university's academic committees, the Academic Board or Senate, then to the Council, the governing body. Further modifications may be required, in which case the proposal is referred to the relevant university committee or manager for action, or rejected on academic or resource grounds. When approved by the Council the proposals which fall into the categories to be submitted to CUAP are sent to Universities New Zealand, while minor proposals are dealt with on the campus.

As with the development of programmes, responsibility for assessment, review of the curriculum and maintenance of standards is characteristically placed at more than one level in this system.

### ***1.3 Relationships with professional registration bodies***

Some degrees, e.g. architecture, education (teaching), engineering, law, medicine, prepare students for a career as practitioners of a particular skill. Registration is generally a prerequisite to practice. The professional registration bodies are therefore keenly interested in the content and quality of the education being offered by the universities. To assure themselves on these matters many of them stipulate monitoring and periodic review visits as requirements to effectively 'license' the universities to offer the qualifications.

Requests for academic approval from CUAP should normally be accompanied by evidence of consultation with appropriate professional registration or licensing bodies. An application process for approval from such a body may overlap in some aspects with CUAP processes (e.g. evaluation of content related to clinical practice), but the two are separate review and approval processes. (See section 4.4)

Where a university seeks to make changes to its offerings in a professional area it is its responsibility to seek agreement from the professional registration or licensing body concerned and to advise CUAP, by means of a letter from that body, that the proposed changes are acceptable.

## 2. The Committee on University Academic Programmes (CUAP)

### 2.1 Members

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## **2.2 Terms of Reference**

### **Functions**

1. To act for Universities New Zealand and on behalf of the New Zealand community of universities by:
  - (a) setting up and applying inter-university course approval, accreditation, and moderation procedures, which ensure that the quality of course developments is consonant with high academic standards and mindful of the national's interests;
  - (b) granting or refusing approval under the agreed procedures to new qualifications and courses of study, or changes in qualifications and courses of study for which approval is required, and for which due application has been made by a university;
  - (c) promoting the coherent and balanced development of courses of study within the New Zealand university system and ensuring that the quality of course developments is consonant with high academic standards;
  - (d) encouraging the development of courses of study within the New Zealand university system that will facilitate the transfer of students between programmes and institutions.
  
2. To act for Universities New Zealand:
  - (a) as the body which the New Zealand Qualifications Authority (NZQA) will consult about policies and criteria for the approval of courses of study and their accreditation in the universities;
  - (b) through its sub-committee on university entrance, as the body which is consulted by NZQA on the standards to be established for entrance to university, and which makes recommendations to NZQA on such standards;  
*Note:* Before setting such standards, NZQA is required to consult the Council of each university as well as Universities New Zealand.
  - (c) in establishing, through its sub-committee on university entrance and after consulting with NZQA, criteria for provisional entrance and *ad eundem* admission at entrance level.

- (d) in obtaining university representatives for NZQA approval panels, committees and other similar bodies, as required.
- 3. To provide advice and comment on academic developments across the university system to institutions, professional bodies and agencies.
- 4. To undertake specific tasks as may be requested of it from time to time by Universities New Zealand.

### **Composition**

- 5. The committee shall be a committee of Universities New Zealand.
- 6. The membership of the committee shall be as follows:
  - (a) A chairperson appointed by Universities New Zealand, currently a member of that committee or a member of the staff of a university.
  - (b) A deputy chairperson appointed by Universities New Zealand, currently a member of CUAP or a member of the staff of a university.
  - (c) One representative of each university, currently a member of the staff of that university.
  - (d) One nominee of the New Zealand Union of Students' Associations.
- 7. Persons appointed under 6 (a), (b) and (c) above who cease to be members of Universities New Zealand, or who cease to be employed by the relevant universities will be deemed to have resigned as members of the committee from the dates on which that membership or employment ceased.
- 8. The term of appointment of each member shall be 3 years in the first instance.
- 9. Those appointed to replace members who have resigned their appointments will be eligible to serve a full 3 years.
- 10. Those completing a term of appointment may be reappointed for a 3-year term subject to their eligibility.
- 11. A member who is unable to attend a particular meeting may nominate another representative of the university or body concerned, subject to appropriate notification to the chairperson before the meeting.

*Note:* The effectiveness of the committee depends on continuity between meetings and it is important that members attend all meetings wherever possible. Approval of substitutes will not be made for any one university or body on a continuing basis.

### **Standing Procedures**

- 12. The committee will establish and make known such detailed rules of procedure as it judges necessary to the regular conduct of its business, particularly in the discharge of its functions as set out in paragraphs 1 and 2 above.
- 13. The committee will carry out its work within the terms of reference as approved by Universities New Zealand, and through consultation with each of the participating universities. Changes to the terms of reference may be initiated

by Universities New Zealand or by the committee by way of recommendation to Universities New Zealand.

14. Each university represented on the committee is deemed to have agreed to recognise the standing of the committee in decisions taken within its terms of reference and undertakes to submit all relevant course proposals to the committee.
15. Where necessary decisions will be made by simple majority vote of the members, the chairperson having a casting vote, but no deliberative vote.
16. Any dispute as to whether a particular decision of the committee has been properly taken within the term of reference shall be referred to Universities New Zealand, whose decision shall determine the dispute.
17. The committee shall have the power to establish sub-committees (whose members need not be members of the committee) on a continuing or *ad hoc* basis to deal with specific matters arising from its functions. All such sub-committees will be responsible to the committee and through it to Universities New Zealand.
18. The committee will meet twice yearly for the purposes of course approval and accreditation and at other times as it may determine.
19. Expenses incurred by members attending meetings of the committee or approved meetings of any of its sub-committees shall be met as follows:
  - (a) The expenses of members appointed under 6(c) above shall be met by the universities under the current policy of Universities New Zealand for equalising such expenses between universities.
  - (b) Approved expenses of members appointed under 6(a), (b) or (d) above shall be met by Universities New Zealand.

### **Secretariat**

20. The committee shall be serviced through the secretariat of Universities New Zealand under the overall direction of the Executive Director.

### 3. Criteria for approval and accreditation

The Education Act 1989 set up the New Zealand Qualifications Authority (NZQA). Some of the tasks NZQA carries out in respect of other sectors are in the instance of the universities carried out by CUAP on behalf of Universities New Zealand, and either CUAP or its sub-committee on university entrance is the focus for consultation on a range of issues, generally through the Joint Consultative Group. (See section 9.)

Under Section 253(1)(d) and 253(2) of the Education Act NZQA has carried out the required consultation and published in the *New Zealand Gazette* (4 December 2008) criteria<sup>1</sup> for the approval and accreditation of courses\*. Under Section 260 (3) of the Act Universities New Zealand must apply these criteria, which are as follows:

Category (a)—All applications in respect of approval of courses and accreditation of organisations to deliver them

1. *Title, aims, learning outcomes and coherence:*  
The adequacy and appropriateness of the title, aims, stated learning outcomes and coherence of the whole course.  
(Note: Qualification developers are also required to meet the criteria for registration on the New Zealand Register of Quality Assured Qualifications.)
2. *Delivery and learning methods:*  
The adequacy and appropriateness of delivery and learning methods, for all modes of delivery, given the stated learning outcomes.
3. *Assessment:*  
The adequacy of the means of ensuring that assessment procedures are fair, valid, consistent and appropriate, given the stated learning outcomes.
4. *Acceptability of the course:*  
The acceptability of the proposed course to the relevant academic, industrial, professional and other communities in terms of its stated aims and learning outcomes, nomenclature, content and structure.
5. *Regulations:*  
The adequacy and appropriateness of the regulations that specify requirements for admission, credit for previous study, recognition of prior learning, course length and structure, integration of practical/work-based components, assessment procedures, and normal progression within a programme.
6. *Resources:*  
The capacity of the organisation to support sustained delivery of the course, in all delivery modes, with regard to appropriate academic staffing, teaching facilities, physical resources and support services.

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<sup>1</sup> These criteria are in effect from 1 January 2009 and supersede those published in December 2002.



7. *Evaluation and review:*  
The adequacy and effectiveness of the provision for evaluation and review of courses; for monitoring the on-going relevance of learning outcomes, course delivery and course standards; for reviewing course regulations and content; for monitoring improvement following evaluation and review; and for determining whether the course shall continue to be offered.

#### Special requirements

8. *Degrees and related qualifications:*  
The adequacy of provision of research facilities and support of staff involved in research, the levels of research activity of staff involved in the course and of ways by which the research-teaching links are made in the curriculum.

Category (b)—All applications in respect of course approval only, where the course developer will not deliver the course.

1. *Title, aims, learning outcomes and coherence:*  
The adequacy and appropriateness of the title, aims, stated learning outcomes and coherence of the whole course.  
(Note: Qualification developers are also required to meet the criteria for registration on the New Zealand Register of Quality Assured Qualifications.)
2. *Acceptability of the course:*  
The acceptability of the proposed course to the relevant academic, industrial, professional and other communities in terms of its stated aims and learning outcomes, nomenclature, content and structure.
3. *Regulations:*  
The adequacy and appropriateness of the regulations that specify requirements for admission, credit for previous study, recognition of prior learning, course length and structure, integration of practical/work-based components, assessment procedures, and normal progression within a programme.
4. *Assessment:*  
The adequacy of the means of ensuring that assessment procedures are fair, valid, consistent and appropriate, given the stated learning outcomes.
5. *Evaluation and review:*  
The adequacy and effectiveness of the provision for evaluation and review of courses; for monitoring the on-going relevance of learning outcomes, course delivery and course standards; for reviewing course regulations and content; for monitoring improvement following evaluation and review; and for determining whether the course shall continue to be offered.

Category (c)—All applications in respect of accreditation only, where the course has already received approval under (a) or (b) above.

1. *Acceptability of the course:*  
The acceptability of the proposed course to the relevant academic, industrial, professional and other communities in terms of its stated aims and learning outcomes, nomenclature, content and structure.
2. *Delivery and learning methods:*  
The adequacy and appropriateness of delivery and learning methods, for all modes of delivery, given the stated learning outcomes.
3. *Assessment:*  
The adequacy of the means of ensuring that assessment procedures are fair, valid, consistent and appropriate, given the stated learning outcomes.
4. *Resources:*  
The capacity of the organisation to support sustained delivery of the course, in all delivery modes, with regard to appropriate academic staffing, teaching facilities, physical resources and support services.
5. *Evaluation and review:*  
The adequacy and effectiveness of the provision for evaluation and review of courses; for monitoring the on-going relevance of learning outcomes, course delivery and course standards; for reviewing course regulations and content; for monitoring improvement following evaluation and review; and for determining whether the course shall continue to be offered.

#### Special requirements

6. *Degrees and related qualifications:*  
The adequacy of provision of research facilities and support of staff involved in research, the levels of research activity of staff involved in the course and of ways by which the research-teaching links are made in the curriculum.

The determination of these matters in respect of the universities, already the focus of much attention within them, is dealt with in the next sections of this booklet.

Each of the eight criteria, which are applicable to CUAP processes under category (a), is the subject of attention both at the institutional and at the inter-institutional level. But the balance differs. CUAP is substantially involved in the application of criteria 1, 4 and 5. The institutions themselves are mainly responsible in respect of criteria 2, 3, 6, 7 and 8, subject to scrutiny by CUAP and audit by the New Zealand Universities Academic Audit Unit (NZUAAU).

\* "Course" is the term used in the Act and *Gazette* notice.

## 4. Application of the criteria

### **4.1 Title, aims, learning outcomes and coherence:**

**The adequacy and appropriateness of the title, aims, stated learning outcomes and coherence of the whole course.**

**(Note: Qualification developers are also required to meet the criteria for registration on the New Zealand Register of Quality Assured Qualifications.)**

CUAP and the universities share the application of this criterion. For their part the universities undertake consultation with the relevant communities and develop proposals that may be meaningfully described through their aims and graduate profiles. The committee, having issued guidelines regarding nomenclature (see section 5.4.5) is concerned to ensure that the title of each qualification is concise and appropriate. It takes care to satisfy itself that the programme follows a logical progression and that the stated aims are reflected in the graduate profile. If elements of the graduate profile appear to be unattainable it seeks appropriate amendment.

### **4.2 Delivery and learning methods:**

**The adequacy and appropriateness of delivery and learning methods, for all modes of delivery, given the stated learning outcomes.**

Modes of delivery are determined and implemented by the universities. CUAP's role is confined to ensuring that appropriate methods are proposed for the subject matter to be treated.

### **4.3 Assessment:**

**The adequacy of the means of ensuring that assessment procedures are fair, valid, consistent and appropriate, given the stated learning outcomes.**

The assessment of students is primarily an institutional responsibility, but there is also an inter-institutional element.

All students undergo some form of assessment. Work done during an undergraduate paper, i.e. internal assessment by way of essays, projects, tests etc., is taken into account together with formal assessment, i.e. an examination, often of three hours' duration, at the end of the paper. Where a formal examination is required there is usually a limit on the proportion of internal assessment permitted in a paper. This limit is commonly 40-60% at the undergraduate level. All universities, however, permit 100% internal assessment in particular papers. Some institutions permit the "double-chance" practice, where the students are awarded the better of the two results, being either internally assessed work plus formal examination, or examination alone.

At the honours and graduate level it is common to appoint external examiners, selected on the basis of their experience, qualifications and expertise in the particular subject areas. They are involved in the examining process from setting the questions to marking the scripts, in reading the theses and in the *viva voce* examinations, depending on the degree being examined. In the case

of higher degrees it is usual for one overseas examiner to be included in the panel.

Examiners' meetings at departmental and/or divisional level open marks to internal peer review, and final marks are often not determined until such meetings have been held.

All universities provide for aegrotat or compassionate passes to be awarded where students are suffering from the effects of illness or other misfortune on the day of the examination, provided that work undertaken during the paper reached an adequate standard. Aegrotats may not be available in those papers or content areas where demonstration of mastery is necessary (for example, clinical practice).

Some universities provide for further examinations to be taken in failed papers and most universities have a system of awarding compensation, conceded or restricted passes in cases of narrow failure and according to detailed criteria laid down by the individual institutions. In some cases such passes are granted only to students in their final year of study.

Each university provides CUAP with an account of its assessment procedures. If a programme that is presented to CUAP for approval involves exceptional provisions, these are included in the proposal.

#### **4.4 Acceptability of the course:**

**The acceptability of the proposed course to the relevant academic, industrial, professional and other communities in terms of its stated aims and learning outcomes, nomenclature, content and structure.**

Application of this criterion is shared between CUAP and the universities. In both areas the agreed definitions of degrees, diplomas and certificates are kept in view. (See section 8.)

The development of proposals for new qualifications or programmes at the institutional level, already described, involves staff, students, representatives of the professions, where appropriate, and of the community. The proposals approved are, if of a substantial nature, forwarded to CUAP.

To ensure such proposals receive rigorous scrutiny, CUAP distributes them to all members of CUAP, being the eight universities and the student member. The proposals are then submitted to peer review, the comments flowing among the universities providing opportunities for objections to be met, improvements to be made, and errors to be rectified. By the time CUAP meets a number of proposals may have been found satisfactory by all parties and may therefore require no further discussion. If CUAP is satisfied that the proposals are viable then it will formally approve them. Proposals on which agreement has not been reached are discussed by the committee. Agreement may be reached around the table, or proposals may be referred back to the originating universities for amendment, in which case final determination is generally by postal vote of CUAP. Where CUAP is faced with a proposal which it cannot determine by this process, or which crosses educational sectoral boundaries, such as university/ITP, it employs further measures to inform itself

of the issues in order to reach a conclusion, typically involving a working party representing the groups concerned.

Programme content is subject to annual change at the departmental level, significant modifications being approved at the division and academic board level. In general only those proposals that introduce a new major, affect entrance and crediting provisions, or make substantial structural changes, have to be forwarded to CUAP.

The universities provide CUAP with an outline of their procedures for the development, introduction and amendment of courses as described in section 1.2. In submitting each proposal, a university advises CUAP of the consultation it has undertaken in developing the course in order to ensure its acceptability to relevant professional or employer groups.

As explained in section 1.3 proposals for qualifications linked to professional registration of some kind should show evidence of consultation with the appropriate professional registration or licensing body. Where that body customarily comments on, or indicates acceptance or approval of, proposed qualifications this commentary or notice of approval should be provided to CUAP as part of the proposal.

#### **4.5 Regulations:**

**The adequacy and appropriateness of the regulations that specify requirements for admission, credit for previous study, recognition of prior learning, course length and structure, integration of practical/work-based components, assessment procedures, and normal progression within a programme.**

The CUAP procedures provide for careful scrutiny of the regulations of new programmes, and for amendments of them, in so far as they affect admission, entry requirements and crediting arrangements. Progression through the programme is considered on its introduction and whenever substantial amendment is proposed. The detailed provisions for assessment of particular papers – whether by formal examination or coursework or by a mixture of the two – are the responsibility of an institution.

CUAP and the universities aim to facilitate appropriate *ad eundem* or transfer credit and cross-crediting. New Zealand universities have been amongst the most innovative and helpful to students who change their programme or the institution at which they are studying. Cross-crediting is a common feature within universities. In part because they earlier formed part of the University of New Zealand, and because their Acts so committed them, the institutions are familiar with *ad eundem* or transfer crediting. Such crediting arrangements have been extended to include a range of non-university qualifications such as relevant NZQA-approved degrees and qualifications registered on the New Zealand Qualifications Framework (see section 6).

The practice of CUAP and the universities follows two principles. First, in order to avoid devaluing qualifications, it seeks to avoid undue double-crediting, providing, for example, for a limit on the amount of cross-crediting or credit transfer. Second, it tends to take account of standard of achievement. Thus very good performance in a previous course of study may make up for some

irrelevance or inadequacy of content as a basis for study at a university. Wherever possible a clear statement is offered of credit generally available, but fairness demands that consideration be given on an individual basis. A merely mechanical system which precludes the exercise of judgment is seen as disadvantageous to students and might affect course completion rates.

#### **4.6 Resources:**

**The capacity of the organisation to support sustained delivery of the course, in all delivery modes, with regard to appropriate academic staffing, teaching facilities, physical resources and support services.**

Although each university has responsibility for ensuring the availability of appropriate academic staffing, teaching and research facilities, as well as support services, CUAP, when it receives a proposal to offer a new programme, must be satisfied that the institution has the resources required to offer it to current national and international standards. The committee appreciates that the requirements of a programme vary depending upon whether it is at the undergraduate or postgraduate level, a general degree or a specialised qualification, involving laboratory, studio and field work or effectively based in the classroom.

In most cases departments and divisions are responsible for each programme offered. Where interdisciplinary or cross-division programmes are offered, it is common university practice to set up advisory committees or boards of studies. In the case of higher degrees, in particular doctoral programmes, universities characteristically have an infrastructure with the special task of monitoring the enrolment, supervisory and examining processes.

In respect of the appointment of staff, advertisements are placed nationally and internationally for posts of lecturer status or above. Universities in New Zealand seek to appoint staff of the highest possible international standard, and normally a doctorate is one of the prime qualifications sought. Once appointments are made, opportunities for staff development are offered, including periods of study leave. Staff are expected to publish in refereed international journals and to take part in international conferences. At the more junior levels, staff are more likely to be recruited locally, often including men and women seeking to complete full-scale theses or doctoral qualifications in their subject.

Universities inform CUAP of their staff appointment procedures, including those in respect of probationary appointments.

The provision of adequate resources is a major consideration in the provision of programmes. That includes, as appropriate, library and computing needs, as well as teaching and laboratory accommodation and equipment.

Facilities for students are provided at departmental and divisional levels, and university-wide. Increasingly universities have been providing special academic support services, designed to enhance the learning opportunities of the disadvantaged.

#### **4.7 Evaluation and review:**

**The adequacy and effectiveness of the provision for evaluation and review of courses; for monitoring the on-going relevance of learning outcomes, course delivery and course standards; for reviewing course regulations and content; for monitoring improvement following evaluation and review; and for determining whether the course shall continue to be offered.**

In the case of new programmes CUAP requires universities to carry out Graduating Year Reviews (see section 7). These submit the programmes to internal scrutiny under prescribed headings, the results of which are considered by CUAP. Every new programme undergoes one Graduating Year Review.

The universities carry out formal academic reviews of individual departments and divisions, designed to assess the direction a department or division has been taking and should take, in terms of the programmes it offers, the tasks it should perform and its standing in relation to allied departments in New Zealand and elsewhere. The review committees include representatives from other universities and from outside the universities. The universities advise CUAP annually of reviews they have undertaken.

Professional subjects like engineering, accountancy and law are also subject to accreditation review by professional bodies, which are concerned with the relevance, strength, and resourcing of the respective courses of instruction. Universities advise CUAP of these reviews.

Staff development procedures within the universities include provision for appraisal of individuals and for monitoring the courses taught. This is also done by peers in the same university or in other universities who may be engaged in inter-university examination and assessment processes.

The NZUAAU's audits of the universities are an additional aspect of evaluation and review.

CUAP is advised of the qualifications or programmes that, after due consultation, universities have decided to withdraw.

### **Special requirements**

#### **4.8 Degrees and related qualifications:**

**The adequacy of provision of research facilities and support of staff involved in research, the levels of research activity of staff involved in the course and of ways by which the research-teaching links are made in the curriculum.**

See 4.6 regarding provision of staffing and resources. This is primarily a university responsibility. CUAP seeks to be assured that the provision meets current national and international norms.

## 5. CUAP procedures in detail

Details of the procedures which apply in each university are as set out in the handbooks of the universities, copies of which are held by CUAP. The following section details the CUAP procedures, and is more particularly directed to the staff involved.

The Education Act 1989 authorises Universities New Zealand, through CUAP, to determine approval and accreditation for new qualifications and to withdraw approval where there are reasonable grounds for doing so. Approval by a Quality Assurance Body such as CUAP is required before a programme can receive funding from the Tertiary Education Commission.

Acting for Universities New Zealand, the committee has adopted the following procedures and timetable, which are designed to facilitate approval and accreditation and to clarify the committee's role in the continuing scrutiny of academic programmes in the universities.

### **5.1 Proposals which must be submitted to the committee**

*(for instructions re format see 5.4.1 and 5.4.2)*

Proposals fall into the following 9 categories:

1. The introduction of a new academic qualification (see definitions), including any that are the property of an overseas institution.
2. The introduction of a new subject.

A new subject may be defined as

- (i) at the undergraduate level: a collection of papers with a common theme offered at 100, 200 and 300 levels, constituting a 'major' (whether or not that term is used by the university concerned) for a degree or diploma. The introduction of a limited number of papers with an intention to increase the offering in future years into a 'major' also comes into this category.
- (ii) at the graduate level: any new subject, option or programme for honours and master's degrees or graduate and postgraduate diplomas/certificates.

A 'programme' that in effect amounts to a 'major' is also treated as such, even if component parts have been previously approved by the institution or CUAP. Such 'programmes' or 'majors' may be the result of repackaging of existing courses. (See Glossary)

3. The introduction of a minor subject (see Glossary) when there is no established major in the subject.
4. The introduction of an endorsement (see Glossary) when the concentration of study is 40% or greater and the endorsement is stated on the graduation certificate.
5. The introduction of a new conjoint programme.
6. Changes in the structure of a qualification.



This category applies only to substantial structural changes in a qualification. Examples include (but are not confined to):

- changes relating to the duration or credit/EFTS value of a programme;
- changes relating to the configuration of the programme affecting the programme structure, e.g. the balance between the levels of the papers, or the quantum of papers required for the major; and
- changes to the rules for progression within the programme.

Universities in doubt about any proposed change should ask the Manager, Academic Policy, Universities New Zealand, for advice.

Alterations to the content of the qualification schedules, changes to the content or sequencing of existing majors, regulation changes not affecting the qualification's structure in a substantial way do *not* need to be submitted (see 5.3).

7. Changes to the entry requirements for a programme or to regulations relating to admission to the university (e.g. for school leavers, holders of non-university qualifications or for work experience).

*Note:* All changes relating to admission to a university will be referred by CUAP to the sub-committee on university entrance for a recommendation.

8. A change in the name of a qualification or subject.
9. Transfer of credit, cross-crediting or exemption arrangements falling outside arrangements that are currently in place.

**The closing dates for submission of proposals to the committee are**

**and**

<b>1 May</b>
<b>1 September</b>

To distinguish the exercises they are known, respectively, as Round One and Round Two.

Where either of these dates falls on a Saturday or Sunday the closing date is the following Monday.

**5.2 Proposals which must be reported to the committee**  
(for instructions re format see 5.4.3)

1. The introduction of a postgraduate diploma, postgraduate certificate, graduate diploma or graduate certificate, only when the university already has an established bachelor's honours or master's programme in the subject and the new qualification draws on existing papers. (*See Note after 2.*)
2. The introduction of a diploma or a certificate, only when the university already has an established bachelor's degree in the subject and the new qualification draws on existing papers.

*Note:* All other introductions of diplomas and certificates, at any level, must be submitted as in 5.1 above.

3. The introduction of a minor subject in an undergraduate degree only when the university has an established major in that subject. The university must show that the structure of the minor subject complies with definition (see Glossary).
4. The introduction of an endorsement in an undergraduate, graduate or postgraduate qualification when the concentration of study in the area of the endorsement comprises less than 40% of the qualification and when the endorsement is not stated on the graduation certificate.
5. The deletion of entire programmes or subjects.

*Note:* Notification of deletions is for the committee's information only. No approvals of deletions are required.

Reports should be submitted by the closing dates in 5.1 above. New qualifications reported under this section require a resolution of CUAP for funding purposes.

### **5.3 *Proposals which need not be submitted to the committee***

Minor proposals may be dealt with internally. These are proposals which add or delete papers within current offerings, add or delete prerequisites/corequisites to individual papers, amend the wording of prescriptions, and make other minor adjustments to regulations or statutes.

### **5.4 *Preparation of proposals for the committee***

Each proposal should make economical use of paper (e.g. no cover sheet, single spacing). It is very desirable that its pages be numbered consecutively and that a running head (repeating the proposal's identifier from the first page) appear on every page. Sequential numbering of proposals facilitates identification and ordering. Material which is of relevance to the institutional decision-making processes but not directly to CUAP may be removed or attenuated before proposals are forwarded. Material in this category may be that which addresses criteria 6, 7 and 8 in detail. CUAP is interested in staffing and resource provisions in order to assure itself that these are adequate for new programmes. Coverage of these matters should be included where appropriate. Any exceptional provision proposed under criteria 3, 7 and 8 should be briefly explained.

The 3 sections below set out the detailed requirements.

#### **5.4.1 *Template for proposals in categories 1-5 (as listed in section 5.1)***

The following template of requirements is available electronically from the Manager, Academic Policy, Universities New Zealand.

In the first instance only Section A should be submitted. If CUAP or another university requires the information in Section B during the peer review process it should be provided.

(overall serial no.) univ./yr – qual./serial no.  
(e.g. (03) UO/11 - BDS/1)

### **Name of university**

### **Name of new qualification or Name of qualification being amended**

#### **Page references in *Calendar* of year of submission**

(in the case of amendments to current qualifications)

*Note:* Where there are multiple page references, e.g. admission requirements separate from regulations, all must be included. It is also useful to provide URLs since not all staff have access to printed *Calendars*.

<b>SECTION A</b>
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#### **Purpose of proposal**

A succinct description of the purpose.

#### **Justification**

A statement as to why the proposal is being put forward at this time, in the context of the institution's strategic and planning goals.

#### **Acceptability**

Evidence of consultation in the preparation of the proposal and acceptability to relevant academic, industrial, professional and other communities. If there is a professional registration or licensing body relevant to this area of study, it must be named and written evidence from that body of the university's consultation with it provided.

#### **Goals of the programme**

A statement as to what the programme aims to achieve, the academic rationale on which it is based and how overall programme coherence is achieved.

#### **Graduate profile**

A statement of the generic and specific attributes and skills of graduates of the programme including the body of knowledge attained. (See accompanying notes.)

#### **Outcome statement**

As proposed for the New Zealand Qualifications Framework, being a succinct statement of the attributes of graduates of the programme, including likely employment prospects.

## **Programme overview**

A brief narrative setting out the progression from the entry requirements to the end of the final year, identifying landmarks such as initial or intermediate selection processes, work placements, research projects.

## **Proposed regulations**

Include the complete new degree statute (with schedules) or amendments to existing statute(s) as they are intended to appear in the *Calendar*.

## **Proposed teaching/delivery methods**

An overview statement which describes any distinctive features of delivery and also comments on inclusion of practical applications, e.g. a clinical component. If there is a contribution by another provider that contribution must be clearly identified and quantified as a percentage of the programme.

## **Prescriptions for papers**

Include the proposed prescriptions for all new papers.

## **Assessment procedures**

A description of the proposed assessment regime for the programme, including the use of external assessors and examiners.

## **Predicted student numbers/EFTS**

An estimate of the likely enrolment and EFTS numbers for 3 years from introduction of the programme, including any intention to limit enrolments.

## **Resources**

A clear statement of the institution's ability to offer the new programme at a high level of quality (including reference to such factors as the availability of appropriate expertise, physical facilities, equipment and library resources; access to practical and clinical experience [where appropriate]; strengths in related disciplines).

## **Plans for monitoring programme quality**

A clear statement of provisions for monitoring quality, including teaching quality; reviewing regulations, content and delivery; reviewing whether papers should be added or deleted. Such provisions should include the establishment of a small monitoring group to collect information in respect of student numbers, pass rates, retention, and student satisfaction, to prepare any peer or self-review reports and to compile the Graduating Year Review.

## **Statement re Section B**

A confirmation that Section B has been prepared and will be made available to CUAP on request.

## **If the programme is a NEW one the following are also required**

### *(a) EFTS value*

Required for funding purposes.

### *(b) A statement regarding funding*

For new *postgraduate* qualifications. The statement should indicate whether the qualification meets the criteria to be fully funded at the postgraduate level or whether the courses will be disaggregated and funded appropriately at postgraduate or undergraduate level. If disaggregated the papers to be funded in each mode must be clearly specified. The guidelines regarding funding may be found in Appendix B of this booklet.

### *(c) Information about the Memorandum of Understanding*

Where the programme will be jointly taught or jointly awarded with another New Zealand university or an overseas provider, confirmation of the existence of a Memorandum of Understanding, as set out in sections 15 and 16.5.3.

## **SECTION B**

Relationship to strategic planning goals

Learning aims/objectives for each new paper

Student workload, terms requirements and assessment procedures for each paper

Availability of teaching and support staff

Availability of teaching space and other required facilities (e.g. laboratory, theatre, etc.)

Availability of library resources

Timetabling arrangements

The required extracts from any Memorandum of Understanding agreed with another New Zealand university or overseas provider in respect of a jointly-taught or jointly-awarded qualification (see sections 15 and 16.5.3).

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### *Notes re Graduate Profile*

The following extracts are from the CUAP definition of a Bachelor's degree.

*The programme provides students with a systematic and coherent introduction to a body of knowledge, to the underlying principles and concepts, to problem-solving and associated basic techniques of self-directed work and learning ...*

*Some degrees (e.g. engineering, law, medicine) additionally equip students with the practical skills and techniques needed to apply their knowledge ...*

These statements define the degree in terms of programme input requirements. What is requested in the Graduate Profile section is that proposed graduate outcomes are described. The framework for graduate outcomes may well need to vary from degree to degree. However, whatever the framework adopted, attention should be given to the development in graduates of lifelong learning skills so that graduates are prepared to go on learning after graduation.

A framework could include the following:

**Bachelor of ... [example only]**  
**Life-long Learning Skills and Attributes of Graduates**

**Personal Attributes**

- intellect, including higher level skills of analysis, critiques, synthesis, and problem-solving
- knowledge, especially understanding of the basic principles of the [subject] discipline, and the ability to acquire new knowledge
- willingness and the ability to learn and continue learning, to appreciate that learning is continuous throughout life
- information literacy, including the ability to locate, evaluate and use information in a range of contexts
- computer technology skills
- organisation, time management skills
- independent judgment
- a multi-disciplinary perspective
- an international perspective to knowledge
- an awareness of ethical issues

**Interactive Attributes**

- oral and written communication skills, involving an ability to communicate formally and informally with a wide range of people
- team-working skills, including the ability to work effectively in teams
- interpersonal skills, including an ability to relate to people from a wide range of backgrounds
- negotiation skills

**Specific Programme Attributes (e.g. Bachelor of Dental Surgery)**

- the ability to obtain and analyse patient information
- a capacity to plan an oral health care programme
- the ability to provide or make provision for oral health care
- the ability to assess oral health in a patient

*5.4.2 Proposals in categories 6-9 (as listed in section 5.1)*

Section A of these proposals needs a one-sentence purpose of proposal, a justification statement, details of the proposed amendment and an indication of any implications the proposal will have on students, staffing, library resources, laboratory space etc. Page references (current *Calendar*) should always be given. In the case of qualifications jointly taught or jointly awarded by two or more universities Section B should also be prepared. (See section 15.)

*5.4.3 Format of reports under section 5.2*

The report should be headed with the first 3 lines of the template, i.e. unique identifier of the document, name of university and name(s) of new qualification(s). It should include a statement that the university already has the established degrees that enable it to introduce related diplomas or certificates, with appropriate page references in the current *Calendar*. Since the qualifications are already listed in the heading it is not necessary to list them again, but it should be possible to identify which new qualifications relate to which established degrees. One report may serve

to cover several subject areas. A qualification established in this way should draw on established papers. If new papers are proposed a full submission as under section 5.1 must be prepared.

#### *5.4.4 Deletions*

No special format is required for advising CUAP of deletions. But the advice should specify the qualification or subject it is proposed to delete and indicate briefly what effect this might be expected to have on the tertiary sector. Where appropriate, the university should indicate where in New Zealand a similar qualification/subject continues to be available.

#### *5.4.5 Qualification Nomenclature Guidelines*

1. Every attempt should be made to ensure that the titles of qualifications are honest and represent the objectives and content of the qualifications. Account should be taken, however, of convention, particularly where it is widely accepted internationally.
2. Nomenclature should not aim to be a sufficient guide to content, but it should give a realistic indication. The generic stem of a title and any bracketed endorsement should reflect the particular emphasis and content of the qualification. There is no requirement that a degree or diploma of a general nature should have such an endorsement.
3. Given that future developments in areas of study are not predictable, no rigid limitations on nomenclature are envisaged. But unreasonable proliferation of descriptors is not encouraged.

#### *5.4.6 External review in cases of limited disciplinary expertise*

In instances where a university is proposing a new qualification and where there are fewer than two other universities providing equivalent qualifications in New Zealand, or where the disciplinary expertise is limited, an external review may be invoked. This applies to submissions to approve new qualifications and to substantial changes to existing qualifications. An external review is additional to the normal CUAP processes.

At the time of such submissions, the proposing university should suggest external peers who may be approached for a report on the content and professional standards associated with the proposed programme. The Chair of CUAP, in consultation with the originating university, will then appoint an appropriate external reviewer who has not been involved in the development of the proposal and who will be asked to comment.

For undergraduate and postgraduate qualifications, the external peer report should be provided by an international reviewer, although the process may be modified if there are existing qualifications in the discipline area that are at a higher level. For sub-degree qualifications, the external reviewer may be sought from either another tertiary provider in New Zealand, if appropriate, or from overseas.

At the time of submission the proposing university should include Section B statements in a form that allows appropriate evaluation of the accreditation requirements for delivery of the proposed programme.

In making its decisions CUAP will take into account the views expressed by the external peer reviewer. In cases where the external peer reviewer is not supporting a proposal, the proposing university and CUAP may decide to interact with the reviewer or to seek further external advice. Any costs incurred in connection with an external review will be met by the university concerned.

## **5.5 Submission of proposals and reports to the committee**

Proposals must be in electronic format and should be compressed (e.g. by using WinZip or similar) and sent to the Manager, Academic Policy, Universities New Zealand, by e-mail, and 3 hard copies in complete sets (double-sided, collated and stapled, with each proposal starting on a right-hand page) should also be posted, to arrive by the specified dates.

The electronic package should contain one document clearly identifiable as the cover sheet and the required number of additional documents, one or more per proposal. The cover sheet should set out the order in which the proposals are presented, including a brief summary of the main features of each proposal. Note that "amendment to the regulations" is inadequate for this purpose. If proposals are numbered sequentially re-creation of a set of papers in the order of the cover sheet will be easily achieved.

The Manager, Academic Policy, will send electronically to each university all other universities' proposals together with one summary document of all proposals. The hard copies will be sent to the Deputy Chair and student member of CUAP, while one set is retained on file.

### *5.5.1 Postal resolution process*

Associated with the proposals is a set of postal resolution sheets, one for each university's proposals, for signature in due course by the CUAP members and return to Universities New Zealand by a specified date. A resolution sheet provides for a proposal to be approved, or in the light of comments received from the CUAP member's constituency, set aside for discussion at a meeting of the committee.

Proposals will be initially assessed by postal resolution. If any committee member is unable to recommend approval the proposal will be considered at a meeting of the committee.

During the period allowed for scrutiny of the proposals in accordance with the criteria (section 3), it is expected that each university will make them available to interested staff and invite comment. Comments made should be collated by the CUAP correspondent designated by the Director of Academic Services/Academic Registrar at each university, and forwarded to the CUAP correspondent of the originating university, who should respond in writing after consultation with academic colleagues. NZUSA, represented on CUAP, may also seek information or



make concerns known by writing directly to the CUAP correspondents (or, if they prefer, to the CUAP members) of the originating universities. (See *Note*.)

E-mail is the usual mode for exchange of correspondence.

The time allowed for correspondence to be exchanged is two months. In order to ensure proper consideration of proposals universities are not expected to act with undue haste. Nevertheless concerns should be made known to the originating universities by the end of the first month to allow them to reflect upon them and prepare their response, which may generate further comment. At the end of an exchange about a proposal it is appropriate for the enquiring university to inform the originating university whether its concerns have been allayed or whether the proposal will be set down for discussion by CUAP.

*Note:* All correspondence should be copied to the Manager, Academic Policy, Universities New Zealand. For ease of collation and subsequent photocopying for the committee each message should address one proposal only.

## **5.6 How the committee comes to decisions**

### *5.6.1 Meetings*

The committee meets 4 times a year. It schedules 2-day meetings in July and November to deal with approval and accreditation matters.

### *5.6.2 Postal resolutions*

1. Where all members of the committee indicate their approval on a postal resolution sheet the proposal concerned will be deemed to have been approved by the committee and will not be further considered unless in discussion of another proposal it is found necessary to reconsider any proposal approved earlier that year by postal resolution. In any such case the approval given by postal resolution may be rescinded.
2. A proposal will be scheduled for discussion at a meeting of the committee if at least one member requests it.
3. An abstention from voting by any member will not preclude approval of a proposal, except that abstention by a significant minority of the committee may lead to consideration of the proposal at a meeting of the committee.

### *5.6.3 Resolutions at meetings of the committee*

1. Resolutions will be carried by a majority vote in favour. The chair will have a casting vote only. The deputy chair will have no procedural vote but will have a casting vote when acting as chair.
2. Where a significant minority of the committee abstain from voting the wording of a resolution may be reconsidered.
3. Dissenting votes will be recorded at the request of those concerned.

#### *5.6.4 Outcome of the committee's consideration*

The Manager, Academic Policy, will advise universities, by email, fax or letter after each meeting, of the status of the proposals considered at that meeting.

Approval granted to any proposal may be provisional for a period of not less than two years, during which time it may undergo either a detailed review by a panel convened for the purpose, or review assessment by the committee. The committee will advise a university if any of its proposals are subject to either of these methods of further assessment.

### **5.7 Types of decision made by the committee**

#### *5.7.1 Unconditional approval*

A proposal that meets all the committee's requirements will be approved unconditionally.

#### *5.7.2 Second chance postal resolution*

Where a proposal needs amendment to meet the committee's requirements it will be returned to the originating university, which will make the amendment within a specified timeframe (normally two weeks after the CUAP meeting). The amended proposal will be circulated for a second chance postal resolution. If all CUAP members are in favour of the amendment the proposal will be unconditionally approved at the next meeting of the committee. If not, the committee will determine whether the proposal should be declined or re-submitted, or the university may withdraw it.

#### *5.7.3 Review assessment*

Where new qualifications are being introduced the committee may require universities to report on implementation and progress at the end of the first and second years. The first report should be submitted to the July meeting of the committee following the first complete year of operation of the programme (i.e. reports on proposals approved in 2011 will be required for the July 2013 meeting and should be submitted by 1 July 2013) and the second the following July, unless the committee requests otherwise. The committee will compare the reports with the original proposals to satisfy itself that their development has been consonant with the stated aims. The committee may waive the requirement for a second report if it is fully satisfied with the development of the qualification in its first year.

The committee has the power to withdraw approval from courses of study where there are reasonable grounds for doing so. [Education Act 1989, s260(1), 258 (8), (9)]

### *Format of review assessment reports*

These should be headed (name of university), Review Assessment Report (year), (name of qualification), originally approved (year). Unless the committee requests otherwise all review assessment reports should include brief information on the following matters:

- Names and qualifications of teaching and support staff, together with brief details about the contribution of each to the programme
- Number of students enrolled and expected growth in numbers, together with comment on perceived demand and likely limits on enrolments
- Performance of students to date
- Accommodation (e.g. classroom space, staff studies, graduate students' areas), resources (e.g. library, computer laboratories) and support services (e.g. administrative, library and technical staff)
- Mode of teaching
- Methods of assessment, including the use of external assessors where appropriate (e.g. where there is a research component)
- Summary of paper evaluations by students
- Contributions by other institutions
- Industry/professional support and any contributions, financial or otherwise
- Procedures for periodic peer review of the programme
- Comparison with and relationship to similar courses offered by other providers
- Other relevant information

In addition the committee may identify particular features of the programme upon which comment is required.

A copy of the original proposal should be attached to each copy of a review assessment report for reference. This may be in reduced photocopy format.

#### *5.7.4 Review panels*

Where proposals involve the introduction of a new qualification which includes a substantial contribution by another institution, e.g. an ITP, the committee may decide to appoint a review panel with the task of investigating formal arrangements for the qualification and the extent to which they conform to current university norms.

To that end, the university offering the qualification should coordinate and submit any required documentation not less than one month before the review panel is scheduled to make its first site visit. Aspects to be considered are set out in the panel's terms of reference and include such matters as administrative structures, academic and general staff provision, and supporting financial arrangements; accommodation, facilities and physical resources; study leave arrangements; procedures for periodic review of the programme; subject progression and the views of the relevant professional body or employer organisation.

A panel will normally consist of four people: a member of CUAP as convener; one staff member from a university other than that offering the qualification; one other person (but not from an institution formally associated with the qualification

under review) who may be from any tertiary provider, including universities; and the Manager, Academic Policy, Universities New Zealand.

The panel will visit the campus of the university offering the qualification as well as that of the associated institution, ordinarily spending one day at each. While there, they will interview student representatives, teaching and support staff, as well as senior administrators, visit the library, laboratories and classrooms, take note of student services, and meet members of the relevant professional group.

A preliminary report is expected after 6 months of the qualification's operation and should be submitted to CUAP for consideration at its September meeting. Any shortcomings should be identified and recommendations for remedial action made. The final report, on which unconditional approval by the committee might be based, should normally be submitted to CUAP by August of the following year. If the university offering the qualification decides to withdraw from the arrangement before students in the first intake have completed their studies, the committee should be advised about transitional arrangements. Standard terms of reference for review panels appear in Appendix A.

### **5.8 Implementation of approvals**

Recognising the pre-eminence of the *Calendar* as a statement of a university's regulations and statutes, the committee expects that all proposals which have been approved will be carried forward into the *Calendars* of the originating universities as soon as practicable and in exactly the same format as approved by the committee. Supplementary publications carrying regulations should acknowledge that the *Calendar* is the only official statement of all regulations.

### **5.9 Approved programmes which are not offered**

Under section 250B(2) of the Education Act 1989 Universities New Zealand has determined the circumstances in which universities require an extension of the period specified in subsections 250B(1)(a) and (b) after which approval and accreditation will lapse for a programme that has not been offered wholly or in part. Approved proposals remain approved for a period of five years following their introduction, or following the most recent enrolments. If a programme has not been offered, or has attracted no enrolments in any five-year period following its introduction, and a university wishes to continue to offer it, the programme should be submitted to CUAP for re-evaluation.

### **5.10 Timetable**

The committee publishes a timetable annually in September. The main features are expected to remain as follows:

- |                      |  |
|----------------------|--|
| 1 May                | Closing date for receipt of Round One proposals by Universities New Zealand                |
| about 2 months later | Closing date for receipt of Round One postal resolution sheets by Universities New Zealand |

1 July	Closing date for receipt of review assessment reports by Universities New Zealand
late July	Meeting of CUAP to consider Round One proposals
early August	Subject to any necessary postal ballot after the meeting, decisions on all Round One proposals should be available to the universities
1 September	Closing date for receipt of Round Two proposals by Universities New Zealand
about 2 months later	Closing date for receipt of Round Two postal resolution sheets by Universities New Zealand
1 November	Closing date for receipt of Graduating Year Reviews by Universities New Zealand
late November	Meeting of CUAP to consider Round Two proposals and Graduating Year Reviews (see section 7)
early December	Subject to any necessary postal ballot after the meeting, decisions on all Round Two proposals should be available to the universities

In exceptional circumstances the committee may permit a proposal to be considered outside the prescribed timetable. In any such case the proposal will be treated with the full rigour of the committee's processes.

## 6. New Zealand Qualifications Framework

The New Zealand Qualifications Framework (NZQF) is hosted by the New Zealand Qualifications Authority (NZQA) and is accessible on-line at [www.nzqf.govt.nz](http://www.nzqf.govt.nz). Its purposes are:

- to clearly identify all quality-assured qualifications in New Zealand;
- to ensure that all qualifications have a purpose and relation to each other that students and the public can understand;
- to maintain and enhance learners' ability to transfer credit by the establishment of a common system of credit; and
- to enhance and build on the international recognition of New Zealand qualifications.

It is a comprehensive list of all quality-assured qualifications in New Zealand, being those approved by either of the two statutory quality assurance bodies (Universities New Zealand and NZQA) and their delegations.

Every qualification appearing on the Register is listed with the following information:

- ◆ title
- ◆ level at which registered
- ◆ outcome statement
- ◆ credit requirements
- ◆ subject classification
- ◆ name of provider

Information about registration criteria and definitions will be found on the NZQF website (see above).

The levels used for qualifications are as follows:

<b>10</b>	<b>Doctorates</b>
<b>9</b>	<b>Master's degrees</b>
<b>8</b>	<b>Postgraduate Diplomas and Certificates Bachelor's Degrees with Honours</b>
<b>7</b>	<b>Bachelor's Degrees Graduate Diplomas and Certificates</b>
<b>6</b>	<b>Diplomas</b>
<b>5</b>	
<b>4</b>	
<b>3</b>	<b>Certificates</b>
<b>2</b>	
<b>1</b>	
<b>1</b>	

## **7. Graduating Year Review**

CUAP has given the name Graduating Year Review to its moderation process.

The committee requires a follow-up review of all successful proposals involving the introduction of new qualifications and major subjects and endorsements comprising 40% or more of a qualification. (Higher doctorates are exempted from this process, and reviews are not required for minor subjects or for endorsements when they comprise less than 40% of the qualification.) Reviews should be conducted formally, involving an appointed convener and also at least one panel member from another disciplinary area. Reviews might be part of regular institutional reviews but the report to CUAP should stand alone and cover the topics outlined in the "Format for reports" following. The review is intended to assure the committee that programmes are meeting their original course objectives and an acceptable standard of delivery.

The reports should be summary statements only and no more than four pages long. Members of CUAP will be entitled to call for copies of all documentation referred to in the reports. Following the response to such a request, where any member retains reservations about a programme, the university offering the programme may be asked to respond to these reservations at a subsequent meeting of CUAP.

The review reports will normally be required to be submitted within three years of the graduation of the first cohort of students, and in time for the November meeting of CUAP, i.e. by 1 November. For a three-year bachelor's degree this will mean Year 6, while for a one-year diploma it will mean Year 4. Universities will be provided with approximately one year's notice of their requirement to submit a review report.

If a university fails to provide a Graduating Year Review report when requested, the committee may suspend approval pending receipt of the report. The effect of such a decision would be that no new students could be enrolled in the programme until the committee lifted the approval suspension on receipt of the report.

### **Criteria for assessing Graduating Year Review reports**

In assessing Graduating Year Review reports, the committee will use the gazetted criteria set out in section 3. Particular attention will be paid in this peer review process to criteria 1, 2, 4 and 5 of category (a) of the gazetted criteria (see section 3).

Therefore the committee will be concerned mainly to verify that

- (a) It has on its files a full and up-to-date statement of the institution's own review, monitoring and evaluation procedures
- (b) Appropriate institutional review processes have been followed to an acceptable standard
- (c) Criteria 1, 2, 4, and 5 have been met satisfactorily, namely:

- i. The adequacy and appropriateness of the title, aims, stated learning outcomes and coherence of the whole course
  - ii. The adequacy and appropriateness of delivery and learning methods, for all modes of delivery, given the stated learning outcomes
  - iii. The acceptability of the course to the relevant academic, industrial, professional and other committees in terms of its stated aims and learning outcomes, nomenclature, content and structure
  - iv. The adequacy and appropriateness of the regulations that specify requirements for admissions, credit for previous study, recognition of prior learning. Course length and structure, integration of practical/work-based components, assessment procedures, and normal progression within a programme
- (d) The targets stated in the original CUAP proposal have been met and, if not, the university states the actions to be taken
- (e) Any concerns raised by CUAP at the point of approval, and any required changes, have been adequately addressed.

### **Format for reports**

#### **GRADUATING YEAR REVIEW**

(Name of university)

(Current year)

(Name of qualification)

(CUAP identifier for the original proposal)

(Name of self-review coordinator)

#### *1. Programme statement*

A brief description of the programme as approved by CUAP and its introduction and consolidation. A brief statement of the extent to which the stated goals have been achieved including a commentary on proposed methods to check that the stated graduate profile\* is being achieved. Mention should be made of any significant changes that have been made to the programme since approval, including specification of any changes to regulations.

\* The graduate profile must be included in the report.

#### *2. Review processes*

A brief account of the review processes that have been applied to the qualification by the offering university, including references to available documentation together with comment on the membership of the evaluation team and the ongoing processes for feedback to the teaching staff.

#### *3. Review outcomes*

A statement summarising the outcomes of the review processes under the following headings:

- *Acceptability* – A statement of the ongoing acceptability of the qualification to the relevant academic, industrial and professional communities including evidence of ongoing consultation with relevant reference groups.



- *Assessment procedures and student performance* – A statement of the ongoing appropriateness of methods of assessment including procedures for external assessment.
- *Data* – Information on the original student number targets and summary information on numbers actually enrolling and completing, and students' results showing trends over the review period.

Where numbers enrolled fall below those anticipated in the original proposal the university should explain what it proposes to do about the situation.

- *Programme evaluation* – Any other information from all formal efforts to evaluate the programme. A statement of intention for revisions to address any identified shortfall. External reviews and reviews by professional registration bodies should be included.
- *Continuation or discontinuation* – A statement indicating whether it is the university's intention to continue or discontinue the qualification/subject. Where numbers of students enrolling and completing the qualification do not meet the original targets and where the university is continuing the qualification/subject, a summary of other actions to be taken to support that continuation must be included.

### **Deferral or programme not offered**

Universities may request deferral of a Graduating Year Review on the following grounds:

- i. The programme either has not yet been offered or was first offered at a later date than first envisaged
- ii. All or most enrolments are part-time and there have been no completions by the time the report is due
- iii. The due date for the Graduating Year Review precedes or coincides with a scheduled departmental or programme review

Deferrals will be granted for a maximum of two years from the first due date of a Graduating Year Review.

If a programme has not been offered, or has attracted no enrolments, in the five years following its introduction, it should be re-submitted to CUAP (as in Section 5.1) for re-evaluation.

### **Process for consideration of the reports**

- (a) Each set of reports submitted by a university will be initially considered by two CUAP members acting as scrutineers who will provide a summary report to the CUAP meeting on:
  - i. The acceptability and rigour of the review processes utilised by the university
  - ii. The general quality of the reports from the university, and the extent to which they meet the requirements of the GYR process
  - iii. Any specific issues relating to individual programmes that are of interest to the Committee
  - iv. Any general issues emerging from the university's submissions

In considering the Graduating Year Reviews the scrutineers may seek clarification of any matter from the originating university.

- (b) The scrutineers' reports will be considered by the full committee in order to:
  - i. Make specific recommendations on individual programmes
  - ii. Make recommendations on improvements to the processes undertaken by individual universities, or proposals for improvement to the CUAP process
  - iii. Identify any general issues of interest to all universities

## **Outcomes**

CUAP may,

1. (a) Accept the review report.
  - (b) Accept the report, with specified changes (which would normally be actioned through a Round One or Round Two proposal) or other comment.

The programme would subsequently be subject to normal external academic audit and institutional self-review processes, but not to further CUAP Graduating Year Review.

2. Require one further report after a specified time in response to concerns about the programme specified by the committee.
3. Establish a review panel to report to the committee on specified issues. The processes on review panels set out in section 5.7.4 of this booklet would be followed.
4. Withdraw approval where there are reasonable grounds for doing so after considering reports generated during *either* outcome 2 *or* outcome 3 above. The offering university would be given an opportunity to comment further prior to withdrawal of approval, and Universities New Zealand would be consulted in advance.

The effect of such a decision would be that no new students could be enrolled for the qualification. The university concerned and the committee would negotiate agreed transition arrangements to protect the interests of students already enrolled. The qualification could be reinstated only through successful completion of a fresh Round One or Round Two proposal.

For a template of a Graduating Year Review report please visit the following URL:  
[www.universitiesnz.ac.nz/aboutus/sc/cuap/templates](http://www.universitiesnz.ac.nz/aboutus/sc/cuap/templates)

## 8. Definitions

*Note:* 120 credits = 1 EFTS, i.e. one year of full-time study. NZQF levels are described in section 6.

### 8.1 Qualifications

#### BACHELOR'S DEGREE

A qualification conferred by a university on persons who have completed a structured course of study, that builds on prior qualifications or study, has a total value of not less than 360 credits (3 EFTS) and contains a minimum of 72 credits (0.6 EFTS) at NZQF level 7 (300 level). The programme requires completion of a specified number of components of work (typically described in terms of units, papers, or credits) chosen in accordance with the programme regulations so as to include:

- 1) one or more sequential programmes (a sequential programme is one in which enrolment in advanced – typically second- or third-year – components is permitted only after completion of relevant prerequisite components)
- 2) sufficient components from a variety of subject areas to provide the broad academic foundation needed to pursue a career, or graduate or postgraduate qualifications, with confidence and understanding.

The completion of a bachelor's degree denotes a mark of proficiency in scholarship and is the foundation for higher studies, particularly honours or master's degrees.

Teaching is carried out mainly by people engaged in research, whose primary concern is with advanced learning, with the principal aim of developing intellectual independence combined with analytical rigour. The university is a repository of knowledge and expertise and provides an environment which is international in orientation. The degree is thus expected to enjoy international recognition.

The programme provides students with a systematic and coherent introduction to a body of knowledge, to the underlying principles and concepts, to problem-solving and associated basic techniques of self-directed work and learning. Students are expected to develop the academic skills and attitudes needed to comprehend and evaluate new information, concepts and evidence from a range of sources, so that after completion of the degree they can continue to review, consolidate, extend and apply what they have learned in their undergraduate studies. The programme includes areas of study in which a significant literature is progressively studied to a level which provides a basis for postgraduate work. The prescribed minimum length of the course of study allows for proper assimilation of the subject matter and study techniques so that at the end of the time a consolidation will have taken place to the point that the successful student is deemed proficient and worthy to have the degree conferred.

Some degrees (e.g. engineering, law, medicine) additionally equip students with the practical skills and techniques needed to apply their knowledge effectively in a professional context. Such degrees may take more than three years to complete.

## **BACHELOR'S HONOURS DEGREE**

### *Preamble*

This definition represents the minimum requirements for a bachelor's honours degree. Universities may set greater EFTS or credit values at their discretion.

### *Definition*

An honours degree recognises distinguished study at an advanced level and may be either a 480-credit (4 EFTS) bachelor's degree which requires a particular level of achievement, or a discrete 120-credit (1 EFTS) degree following a bachelor's degree.

1. It will normally have a minimum of 120 credits (1 EFTS) at level 8, with a research component of at least 30 credits (0.25 EFTS) at that level. In special cases fewer than 120 credits, but in no case fewer than 60 credits (0.5 EFTS), may be allowed at level 8. Special cases are most likely to be degrees whose professional or accreditation requirements make it difficult to meet the 120-credit level 8 requirement, e.g. degrees in law or engineering.
2. The award of honours recognises outstanding achievement, meritorious achievement or a pass in papers which include the highest 120 credits (1 EFTS) of the degree. These may be termed first class honours, second class honours: first and second divisions, and third class honours.

### *Notes:*

- (a) Where the honours degree is a 480-credit (4 EFTS) (or more) programme, it must provide an exit point at the end of the study that meets the requirements for a bachelor's degree.
- (b) Entry to honours study is normally based on achievement of at least a B average grade in the credits that are relevant to the proposed honours study.
- (c) Achieved to an appropriate standard, an honours degree will prepare graduates for consideration for entry to doctoral studies.

### *Definition of research*

Research in the context of a bachelor's honours degree develops a student's ability to design and undertake a project under supervision, and to report on this in an appropriate form. It sharpens the student's analytical and communication skills and provides a supported introduction to planning, conducting and reporting on the type of independent research that may be undertaken at higher levels.

## **MASTER'S DEGREE**

### *Credit requirements*

The master's degree is at least 240 credits, except where it builds on a bachelor's degree with honours or an equivalent qualification, or significant relevant professional experience, in which cases it can be fewer than 240 but no fewer than 120 credits.

The master's degree must comprise a minimum of 40 credits at level 9 with the remainder at level 8.

### *Constitution*

Master's degrees are constituted in one discipline or coherent programme of study. They may be undertaken by taught courses or research or by a combination of both.

Master's degrees usually build on undergraduate degrees, bachelor with honours degrees or postgraduate diplomas. They may also build on extensive professional experience of an appropriate kind. Their outcomes are demonstrably in advance of undergraduate study, and require students to engage in scholarship and/or research.

Master's degrees are structured in three principal ways:

*(i) By thesis or primarily by thesis*

Entry to a master's degree by thesis is normally based on a bachelor's honours degree or a postgraduate diploma in the same field of study. The degree consists of a research project that is presented in the form of a thesis, dissertation, substantial research paper or creative work, worth at least 90 credits (0.75 EFTS).

*(ii) By coursework and thesis*

Entry to a master's degree by coursework and thesis is normally based on an undergraduate degree in the same field of study. The degree includes a thesis, dissertation, substantial research paper or creative work worth at least 90 credits (0.75 EFTS) and may include up to 150 credits (1.25 EFTS) of coursework.

*(iii) By coursework only*

Entry to a master's degree by coursework worth 120 to 240 credits is normally based on an undergraduate degree. The degree is achieved through coursework consisting of courses, project work and research in varying combinations. It may build on undergraduate study in the same academic field, or it may build on the more generic graduate attributes of an undergraduate degree in other fields, or in some cases on relevant professional experience. Master's degrees that build on generic attributes and/or experience (often called "conversion master's") are usually in professional fields and are recognised as appropriate professional preparation by the industry concerned.

### *Entry*

Providers of courses leading to master's qualifications are responsible for establishing entry requirements. The minimum entry qualification for a 240-credit (2 EFTS) master's degree is a bachelor's degree or equivalent. For a master's degree of fewer than 240 credits, normally the minimum entry qualification is a bachelor's

degree with honours or a postgraduate diploma or an undergraduate degree followed by relevant professional experience.

Admission as a candidate for a master's degree is based on the evaluation of documentary evidence (including the academic record) of the applicant's ability to undertake postgraduate study in a specialist field of enquiry or professional practice.

### *Outcomes*

A person with a master's degree is able to:

- show evidence of advanced knowledge about a specialist field of enquiry or professional practice
- demonstrate mastery of sophisticated theoretical subject matter
- evaluate critically the findings and discussions in the literature
- research, analyse and argue from evidence
- work independently and apply knowledge to new situations
- engage in rigorous intellectual analysis, criticism and problem-solving.

If a master's degree includes a component of supervised research of not fewer than 30 credits (0.25 EFTS), the graduate is also able to:

- demonstrate a high order of skill in the planning, execution and completion of a piece of original research, and
- apply research skills learned during the study programme to new situations.

Achieved to an appropriate standard, such a degree will prepare graduates for consideration for entry to doctoral studies.

The research should be completed to internationally recognised standards and demonstrate that the graduate has a capacity for independent thinking.

### **DEGREES THAT MAY BE AWARDED WITH HONOURS**

In addition to degrees with 'honours' in their titles, other degrees may also be awarded with honours. They must be either master's degrees or 480-credit (4 EFTS) bachelor's degrees, with a research component that normally represents at least 30 credits (0.25 EFTS). The award of honours is a mark of outstanding achievement and may be in one of three classes: first class, second class (first division) and second class (second division). The suffix (Honours) is not appended to the titles and the degrees may also be awarded without honours. Graduates of these programmes who are awarded honours are eligible to be considered for admission to doctoral studies.

### **DOCTORAL QUALIFICATIONS**

CUAP has adopted the following guidelines.

The New Zealand universities have developed doctoral qualifications that are recognised internationally. These include degrees for which the research component is expected to lead to publication in refereed journals or other

equivalent scholarly work (PhD/DPhil), or degrees awarded for a corpus of published scholarly work (higher doctorates). In addition, they may be awarded for outstanding achievements in the public arena or unusually meritorious service to a university (honorary doctorates). More recently, discipline-specific doctoral qualifications have been developed that include a significant component of coursework (named doctorates).

The principles governing the award of the two categories of supervised doctorate, the PhD/DPhil and the named doctorate, are:

- A doctoral qualification<sup>1</sup> is a research degree that is distinct from and of significantly higher status than a masterate.
- A university proposing to offer a doctoral programme must be able to demonstrate that it has staff with the necessary qualifications and training; staff who are active in advancing knowledge; a library equipped to support research; and equipment and other essential resources to ensure that the stated outcomes of the qualification can be met by candidates.
- For a PhD/DPhil the thesis constitutes the entire body of work on which the award of the qualification is based. This does not preclude coursework, but any coursework only contributes to the preparation for and acceptance of a candidate to undertake the research that leads to the thesis.
- The major component of a programme leading to a doctoral qualification by research and coursework is the original research<sup>2</sup> presented either as a thesis or as a work of artistic and creative merit.
- For a named doctorate, coursework may contribute to the assessed programme of study but the work contributing to the thesis must engage the candidate for a minimum of two full-time academic years and contribute not less than two-thirds of the overall credit for the degree.
- The coursework component may include papers, practicums or any other appropriate piece of work, providing that the coursework is at a level in advance of masters level and that taken together with the research work it provides a coherent programme.

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1 The doctorate involves a sustained, rigorous and systematic approach to the relevant body of knowledge, undertaken through experimentation, archival work, or other appropriate means; it includes an original research project that makes a significant contribution to knowledge and understanding or application of knowledge; it requires the preparation of a substantial thesis that presents the outcome of the research and places it in the broader framework of the discipline or field of study; and, undertaken under qualified supervision, it promotes intellectual independence and the capacity to undertake further research at an advanced level.

2 Research is intellectually controlled investigation. It advances knowledge through the discovery and codification of new information or the development of further understanding about existing information. It is a creative and independent activity conducted by people with expert knowledge of the theories, methods and information of the principal field of enquiry and its cognate discipline(s). Research typically involves enquiry of an experimental or critical nature driven by an hypothesis or intellectual position capable of rigorous assessment. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. A long term and cumulative activity, research is often characterised by fruitful new topics for investigation and unexpected uses for its findings.

- The coursework should normally engage the candidate for no more than one full-time academic year.
- For a named doctorate, a candidate must obtain a passing grade in each component of coursework and for the thesis or its equivalent.
- The proposed nomenclature for a named doctorate involving research and coursework must be simple, accurate, informative, and succinct and have wide international currency and provide a link to a recognised professional field.
- Any doctorate must fulfil the following criteria.

## **Criteria**

1. A higher degrees committee, or its equivalent, will have general oversight of the admission, progress and assessment of candidates for a doctorate and, in particular, will ensure that:

- the programme is coherent;
- the candidate's progress is monitored by regular reports;
- the assessment is appropriate and fair, and includes provision for two external examiners for the thesis, one of whom should be from outside New Zealand; and
- where taught components contribute to the overall result, they should be subject to external assessment. One of the external assessors should normally be from an overseas institution.

2. The minimum time for the thesis component of a doctorate, or its equivalent, is two full-time academic years. Typically a doctorate has a value of 360 credits (3 EFTS) and is at NZQF level 10.

## **DIPLOMA**

A qualification at the undergraduate or pre-degree level (NZQF level 5 or 6) with a total value of not fewer than 120 credits (1 EFTS), which may build on defined prior qualifications or experience, of which at least 72 must be at the level assigned to the diploma.

## **GRADUATE DIPLOMA**

A qualification open to graduates or to those who have been able to demonstrate equivalent practical, professional, or scholarly experience of an appropriate kind, comprising a coherent programme with a total value of not fewer than 120 credits (1 EFTS), which includes the requirement that 72 of the prescribed credits (0.6 EFTS) shall be at NZQF level 7 (300 level) or higher.



## **POSTGRADUATE DIPLOMA**

A qualification which builds on attainment in the prior degree, open to graduates or to those who have been able to demonstrate extensive practical, professional, or scholarly experience of an appropriate kind, comprising a coherent programme with a total value of not fewer than 120 credits (1 EFTS), which includes the requirement that the papers or other work prescribed shall be in advance of NZQF level 7 (300 level).

## **FOUNDATION CERTIFICATE**

A qualification at the pre-degree level (NZQF level 3 or 4), with a total value of not fewer than 60 credits (0.5 EFTS) and not more than 120 credits (1 EFTS)\*, which is designed to provide an introductory and coherent programme that encourages the student to undertake tertiary studies and/or equips the student with the skills needed to successfully attempt a tertiary level course of study.

\*Students who have completed Year 13 at a secondary school may take a 60-credit (0.5 EFTS) certificate. Students who have completed only Year 12 must take a 120-credit (1 EFTS) certificate.

## **CERTIFICATE**

A coherent qualification at the pre-degree level with a total value of not fewer than 60 credits (0.5 EFTS) and typically not more than 120 credits (1 EFTS), which is designed to provide a student with a basic tertiary level qualification in a particular area of study. Certificates offered by universities are normally at NZQF level 5 or above (100 level or higher).

## **GRADUATE CERTIFICATE**

A qualification open to graduates or to those who have been able to demonstrate equivalent practical, professional or scholarly experience of an appropriate kind, comprising a coherent programme with a total value of not fewer than 60 credits (0.5 EFTS), which includes the requirement that 40 of the prescribed credits (0.33 EFTS) shall be at NZQF level 7 (300 level) or higher.

## **POSTGRADUATE CERTIFICATE**

A qualification which builds on attainment in the prior degree, open to graduates or to those who have been able to demonstrate equivalent practical, professional or scholarly experience of an appropriate kind, comprising a coherent programme with a total value of not fewer than 60 credits (0.5 EFTS), which includes the requirement that the papers or other work prescribed shall be in advance of NZQF level 7 (300 level).

## **CERTIFICATE OF PROFICIENCY (ALSO KNOWN AS INDIVIDUAL PAPER CREDIT)**

Universities do not offer Certificates of Proficiency (COPs) in the way that they offer other qualifications defined in this booklet. A Certificate of Proficiency is not indeed a qualification like a degree, diploma or another certificate.

The term Certificate of Proficiency is reserved for the occasion when a student wishes to take a paper at a university without crediting it to a qualification. The reasons for doing so may be simply to pursue a personal interest, improve the chances of employment or make progress towards registration for a particular profession. In some instances the student might not have the formal prerequisites for the paper but may nevertheless enrol if the university is satisfied there are reasonable prospects of success. A student enrolled for COP in a paper is expected to comply with all the paper's requirements regarding attendance and assessment, including sitting the final examination (if any). In theory, if not always in fact, the successful student is eligible to receive a certificate stating the name of the paper in which proficiency has been demonstrated. It is often possible, at a later date, to credit a COP pass in a paper to a qualification that the student is then enrolled in. Regulatory structures may preclude this, however.

Some universities prefer to use the term Individual Paper Credit (IPC), which means the same thing as COP.

### **Guidelines for the use of Certificates of Proficiency / Individual Paper Credits**

1. Students must normally be matriculated.
2. Students may apply to enrol in any paper. Enrolment is generally subject to departmental permission and often requires fulfilment of prerequisites, corequisites and other regulatory requirements. All enrolment and assessment requirements for the paper must also be met.
3. A paper passed for COP may subsequently be credited to a university qualification, provided it is appropriate for that qualification and pre- and corequisites and any structural requirements of the qualification were met at the time the paper was taken. Opportunities are rare at the graduate level.
4. A final-year paper, generally NZQF level 7 (300 level), but may be level 8 (400 level) in a 4-year degree, from another provider may be credited to a qualification but cannot normally be counted as contributing to any required minimum of final-year work for the qualification. Such required minimum must normally be fulfilled from papers offered by the university awarding the qualification.
5. A student wishing to enrol in a paper already passed may only do so for COP and may not subsequently credit it to any qualification without forfeiting the earlier pass.
6. Secondary school students may be enrolled in papers for COP if the regulations of the university permit.

*Note:* References to COP apply equally to IPC.

### **8.2 Cross-crediting and transfer of credit**

CUAP has adopted the following definitions of terms used in the awarding of credit, principles for credit transfer and guidelines for credit transfer involving non-university qualifications.

## Definitions of terms

<b>complete</b>	In respect of an individual paper: to attend the required classes, submit the required assignments, sit the required examinations and emerge with a 'pass' result or better.
<b>credit</b>	The value assigned to a completed block of learning, such as a paper, for the purpose of contributing to the requirements of a qualification. (See Glossary also.)
<b>cross-credit</b>	The application towards one undergraduate university qualification of credit gained in another qualification of the same university, at the same or a lower level, taken concurrently or previously, e.g. the crediting of a psychology paper to both BA and BSc. If both qualifications are completed the maximum cross-credit has normally been accepted as no more than one-third.
<b>transfer (or ad eundem) credit</b>	The application towards a university qualification of credit gained for another qualification at a university or other institution. If the latter qualification is complete the credit would normally be limited to one-third.
<b>special credit</b>	Credit offered towards a qualification granted by a university in respect of work done for a qualification at another institution, according to understandings reached by the institutions.
<b>specified or unspecified credit</b>	In any of the above cases, part or all of the credit may be granted specifically in terms of papers offered by the university, or in terms of unspecified papers, e.g. 2 100-level papers.
<b>exemption</b>	Exemption from completing certain requirements for the qualification without the granting of credit.
<b>graduate status</b>	The university accepts the qualification of a student previously at another institution as the equivalent of its own first degree. Such a status will not necessarily permit advancement to a higher degree. Additional work may be required.

## Principles for Transfer of Credit

1. Credit transfer arrangements must recognise the distinctive differences among providers and the integrity of their programmes. The aim is to facilitate access, and promote new study opportunities, without compromising the quality or standards of qualifications. A consistent approach to the recognition of papers and qualifications does not mean rigid uniformity: codified minimum credit arrangements for all students who have passed a paper or completed a qualification may be supplemented by grants of additional credit/exemptions to high achievers.
2. Credit should be granted at the highest level consistent with the student's chances of success, and consistent with stated policies on the applying of credits to more than one qualification either within the one

institution/establishment, or when a student transfers between institutions/establishments.

3. In respect of previous studies, credit should be granted for recorded success, whether or not it forms part of a complete qualification. Credit should be based on the minimum recognition negotiated at a national level, or between providers according to Universities New Zealand or NZQA guidelines, for qualifications and their component papers, with providers having discretion to recognise high levels of individual achievement. Wherever possible, specified credit that satisfies prerequisites should be granted, rather than unspecified credit that is of limited use.
4. In respect of uncertificated and non-formal prior learning, credit should be based on an appraisal of the student's achievements in relation to the objectives of the relevant papers, according to clearly-documented procedures.
5. Eligibility for credit does not guarantee a place in the paper in which that credit would be available.
6. Information on credit transfer arrangements should be comprehensive, and readily accessible in up-to-date publications.
7. Transferring students should be assisted to make progress, e.g. through the provision of bridging programmes, or the prescribing of ad hoc additional studies, where the student's ability is not in doubt but elements of core curriculum have not been mastered.
8. There should be procedures in each institution/establishment for students to seek a review of initial decisions on credit transfer matters.

[agreed by the JCG, 1993]

*Guidelines for credit transfer involving non-university qualifications:*

1. The prime responsibility for determining the level and quantum of credit resides with the university awarding the degree, or other qualification.
2. Evaluation of credit involves a full analysis to establish an appropriate congruence between previous learning at the non-university provider and that which would have been provided at a university.
3. The core requirements at the final level of a qualification, typically NZQF level 7 (300 level) for a bachelor's degree, should be substantially completed at the university awarding the qualification.
4. There should be no upper limit on the amount of credit awarded, although cognisance should be taken of point 3 above.
5. Appropriate audit procedures should be in place to ensure that the academic requirements of all students being awarded the same qualification are equivalent, irrespective of the extent of any transfer of credit involving non-university institutions.

6. The processes used in the granting of transfer of credit should be documented, explicit, and challengeable.

CUAP supports the policy statement, *Credit Recognition and Transfer Policy* (NZQA, December 2002).

### **8.3 Relationships between universities and other institutions involved in tertiary study**

This statement is designed to offer definitions of the various relationships, to outline some of the issues that arise from them and to indicate the role CUAP has in connection with them. It does not deal with the relationships effected by the movement of individuals from institution to institution.

1. *Jointly-taught university qualifications.* These are qualifications made up of papers taught by the university and papers taught by another institution and credited towards the university qualification. Staffing and resource matters are the responsibility of the participating institutions, regulated by agreement between them. The qualification comes under Universities New Zealand's approval system.
2. *Jointly-awarded qualifications.* Institutions may share not only the teaching of a qualification, but, where the contribution of each is substantial, the awarding of it. In the case that one of the institutions is a university and the other is not, jointly-awarded qualifications would fall within both Universities New Zealand and NZQA spheres for purposes of approval and accreditation. The qualifications would not, however, be subject to the full procedures of both, but to an agreed process that satisfied both.
3. *Articulation agreements.* Arrangements between collaborating providers that permit students to gain credits for programmes offered/delivered by those providers.

*Note:* If both providers are in New Zealand and one is not a university and will be enrolling the students (and claiming any available SAC funding) then the non-university provider must be accredited by NZQA to offer the qualification.

4. *Twinning arrangements* might be described as articulation arrangements made with tertiary institutions overseas.
5. *Franchising*, in so far as it may develop, is defined as the offering by one institution of a programme developed by another, generally for a fee, but not for the qualification offered by the institution that developed it. In such a case the institution that developed the programme must ensure it is properly taught. The transfer of such programmes as credit would in any case be subject to the procedures already agreed upon for transfer or *ad eundem* credit.
6. *Exchange agreements.* Those words are used of agreements between universities in New Zealand and tertiary institutions overseas. Where they provide for the teaching of undergraduate students, they will generally provide

for the crediting of courses done at the host institution to qualifications being pursued in the home institution. If fees are reduced or waived, agreements need the approval of Immigration New Zealand.

*Notes*

- (1) For the most part the above arrangements already come in some sense or another under the aegis of CUAP. Any agreements in the 'articulation' style should be reported to CUAP. In so doing, the university concerned should indicate how it plans to ensure that the teaching in the non-university institution is of the nature and standard required for the teaching of the papers when they are taught within the university.
- (2) Should secondary schools seek to offer first-year university papers, any resulting arrangement should take the form of articulation.

## **8.4 Terms used for enrolment in more than one qualification**

### **concurrent enrolment**

Simultaneous enrolment in 2 distinct qualifications (e.g. BA and BCom, LLB and BMS), offered by the same university. Exceptionally, one of the qualifications may be offered by another provider.

### **conjoint programme**

An intra-institutional arrangement whereby a university provides for 2 qualifications to be completed in a shorter timeframe than would normally be the case, even allowing for the full realisation of cross-crediting potential, and with a smaller number of papers to be completed. The regulations set out the required quantum of work that must be credited to each qualification. What sets a conjoint programme apart from concurrent or serial enrolment is that students are required to be good performers, they must reach a minimum standard in each year of study in the conjoint programme and must take papers for each of the 2 qualifications in each year of study. Fresh approval to re-enrol is generally required annually. Admission to such a programme is not available to a student who has already completed one of the qualifications involved.

The qualifications that may be combined in a conjoint programme are bachelor's degrees. As the lengths may vary CUAP has determined the lower limits on total credits that it expects to be achieved in a conjoint programme, as set out below. These lower limits are not less than 70% of the total number of credits in the 2 qualifications.

<i>Degrees combined</i>	<i>Total number of credits</i>	<i>Lower limit</i>
4.5 + 4 years	1020	715
4 + 4 years	960	675
4.5 + 3 years	900	630
4 + 3 years	840	590
3 + 3 years	720	510

A common practice is for a university to issue one degree certificate covering both qualifications in a conjoint programme. A university may, if it chooses, issue 2 degree certificates.

### **double degree programme**

A programme within which the requirements of 2 complete degrees, normally at undergraduate level, are satisfied. The 2 constituent degree programmes may have overlapping elements (either compulsory or elective), in which case certain papers may count towards both. This cross-crediting, in accordance with individual university policy, normally enables the 2 programmes to be completed in a shorter time than if no sharing of papers were permitted. A double degree programme may proceed by concurrent enrolment in all or some years, or the second degree may be started after the first has been completed.

*Note:* Cross-crediting is generally limited to one-third of any programme to which it can be applied.

## **9. Additional responsibilities of the Committee on University Academic Programmes**

### *Joint Consultative Group (Universities New Zealand/NZQA)*

In addition to its course approval and accreditation role CUAP is actively involved at the interface between Universities New Zealand and NZQA. Three of its members represent the Universities New Zealand on the Joint Consultative Group (Universities New Zealand/NZQA), which was established in late 1991 with the purpose of providing a forum for regular consultation on matters of mutual interest and shared responsibilities. These matters include the relationship of university qualifications to the New Zealand Qualifications Framework, university entrance requirements, and the transfer of credit to and from university qualifications. A statement of the agreed procedures for the approval and accreditation of jointly-awarded qualifications appears in Appendix D. The Director of the New Zealand Universities Academic Audit Unit became a member of the Joint Consultative Group in 2012.

### *Other bodies*

CUAP supplies Universities New Zealand representatives on bodies such as ministerial advisory groups, NZQA working parties, and senior secondary education advisory groups. Members of the sub-committee on university entrance may represent Universities New Zealand on working groups related to university entrance.

### *Inter-university subject conferences*

CUAP has been given responsibility by Universities New Zealand for inter-university subject conferences. This means it not only has the power to approve proposals which come forward from the universities, but may initiate conferences where it feels that a common approach to academic programme design and/or discipline development needs to be established, or where specific issues need to be addressed.

CUAP's responsibility does not extend to the organisational arrangements of a subject conference. These matters are in the hands of the conference organiser appointed by the disciplinary group concerned.



## **10. CUAP's Sub-Committee on University Entrance**

### **10.1 Functions**

The sub-committee is chaired by a nominee of Universities New Zealand. Membership is drawn from the eight universities (one representative of each) and may include co-opted members from the secondary teaching profession (one from the state sector and one from the private sector), and one representative of the university liaison officers/student recruitment managers. Three members comprise the Executive, which has decision-making powers.

The sub-committee reports to CUAP on:

1. The criteria for entrance to universities to be recommended to the New Zealand Qualifications Authority.
2. Any consultation carried out by the Qualifications Authority regarding the criteria to be established for discretionary (provisional) entrance and entrance *ad eundem statum* to universities.
3. The status and acceptability of qualifications provided by international bodies for entrance *ad eundem statum* to universities.
4. Advice and information to the universities on the administration of discretionary entrance and *ad eundem* admission policies and reviews that advice annually.
5. Applications for Universities New Zealand recognition of university foundation programmes offered in New Zealand by non-university providers.
6. The involvement of university staff in the process of curriculum development and examination in the senior secondary school through liaison with the Ministry of Education and the Qualifications Authority.
7. Policy advice on matters related to the secondary-tertiary interface, senior school/university curriculum, and the university entrance standard.
8. Any other matters related to entrance which may from time to time be referred to it by the Committee on University Academic Programmes.

The sub-committee meets three times annually.

### **10.2 Members**

Professor Dugald Scott\*  
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Ms Lisl Prendergast <i>phone 04 566 1089</i> <i>e-mail eastwoods@sacredheartcollege.school.nz</i>	Principal, Sacred Heart College, Lower Hutt ( <i>representing State schools</i> )
Mrs Lynda Reid <i>phone 09 520 8292</i> <i>e-mail principal@stcuthberts.school.nz</i>	Principal, St Cuthbert's College, Auckland ( <i>representing independent schools</i> )
Mrs Susan Harper <i>phone 04 463 5536</i> <i>e-mail susan.harper@vuw.ac.nz</i>	Manager, Student Recruitment, Admission and Orientation Victoria University of Wellington

\* Executive Members

Enquiries concerning the sub-committee's activities may be directed to any of the above, or to the Manager, Academic Policy, Universities New Zealand (contact details on page 6).

## **11. Information for intending students**

### *Preamble*

While a major role of CUAP is to approve qualifications, it has an interest in ensuring that the information promulgated about qualifications is accurate and helpful to students. It has therefore adopted the following guidelines, which it commends to the universities.

### **1. Basic criteria**

All publications containing programme listings should satisfy the following basic requirements:

- 1.1 Every entry should be clearly comprehensible to its target audience.
- 1.2 There must be clear and easy to find contact information that relates to both specific and generic connections.
- 1.3 Date and currency of each publication should be stated.
- 1.4 The publisher of the document should be clearly identified.
- 1.5 There must be no misleading statements or implications.

### **2. General publications**

In all general publications which provide information about programmes (e.g. *Calendar*, prospectus), the following institutional requirements should be satisfied:

- 2.1 There should be explanations of naming conventions (credits, units, papers etc.), technical terms and jargon.
- 2.2 The target audience and general purpose of the document or listings should be indicated.
- 2.3 Entrance requirements to the institution, and how they are achieved, should be stated.

### **3. Specific paper information**

In any publications that relate to a particular programme or paper (e.g. brochure, flier) as well as in those generic publications that list information on specific programmes or papers, the following requirements should be met:

- 3.1 The name of the programme and each paper, both in full and in common abbreviation or rubric, should be given.
- 3.2 Selection procedures and criteria for the programme or paper, and number of available places, should be stated.
- 3.3 The structure and context of each paper should be stated (i.e. What qualification is it part of? Who is the approving authority of the qualification?) along with any transfer, cross-credit or institutional inter-relationship arrangements that exist.

- 3.4 An outline of each paper, including content, duration, value within a broader qualification (credits or units for a degree etc.), hours per week, should be available.
- 3.5 There should be a statement of who is responsible for the paper (department, division, staff member and position held).
- 3.6 Wherever applicable, there should be a statement of particular prerequisites and corequisites, overall structural context (what is needed to major with that particular paper etc.), and follow-on papers available.
- 3.7 Any caveats or known problem areas (e.g. a department retrenching or closing, staff on sabbatical leave, a paper not being offered in a particular year, a qualification still awaiting approval) must be clearly stated.

#### **4. Postgraduate information**

In publications that relate to postgraduate qualifications, the following additional requirements should be met:

- 4.1 There should be information available on research and thesis supervision arrangements, regulations, requirements and obligations on the part of both students and staff.
- 4.2 Specific information on the research specialisations and skills of staff should be available.
- 4.3 Information on available physical resources (office space, study facilities, computers, networking, library etc.) should be stated.

#### **5. Advertising**

In advertising, all information relating to qualifications is subject to the strictures of the various Acts that govern all advertisements. In addition, it is suggested that a brief set of ethical considerations, relating to truthfulness, balance and the absence of unreal expectations, should be adopted by each university. For example, claims about employability, relative position etc. ("New Zealand's best diploma", "preferred by employers" etc.) have to be able to be substantiated by objective data. This needs to be informed by legislation and current codes of advertising practice.

## **12. Appendix A**

### **Standard terms of reference for review panels**

#### **1. Introduction**

1.1 A review panel may be set up to advise CUAP whenever the committee decides to grant conditional approval to a qualification. Each panel will be chaired by a university member of CUAP and include 2 subject experts, normally one of whom will be a senior university staff member with considerable administrative experience. Secretarial services will be provided by staff of Universities New Zealand, which organisation will also make arrangements for travel and accommodation. Panel members will not receive a fee, but reasonable travel, accommodation and out-of-pocket expenses will be reimbursed. The financial cost of conducting the review will be carried by the university that proposed the qualification.

1.2 Unless CUAP determines otherwise, the panel will submit a preliminary report on the qualification during the first year it is offered and a final report not more than 12 months later. The first report should state whether, in the panel's view, the qualification is likely to achieve final approval and what, if anything, should be done to ensure that. The second report will be used by CUAP to determine final approval. At each stage in the process the Vice-Chancellor of the university which proposed the qualification will be informed in writing of the panel's recommendations. The university that proposed the qualification may at any time either offer a commitment to implement those of the panel's recommendations that CUAP agrees are essential for final approval or withdraw from offering the qualification. In the latter instance, CUAP should be advised of transitional arrangements for students who have still to complete the qualification.

#### **2. Criteria for academic approval and institutional accreditation**

The panel is required to inform CUAP whether the university that proposed the qualification as well as any associated educational institution satisfies or jointly satisfy a number of specified criteria, which will normally include the following:

- there should be adequate administrative structures and academic resources for the qualification, as well as the financial commitment to support it for the foreseeable future;
- there should be appropriate, up-to-date and adequate accommodation, facilities and resources for the qualification;
- the qualification regulations should be fully prescribed and readily available;
- the university should have procedures for periodic academic reviews of the qualification;
- academic staff involved with the qualification should hold recognised academic and or professional qualifications, the former normally at the postgraduate level;

- the university and any associated educational institution should have policies to ensure that academic staff involved with the qualification are able to attend subject conferences and take study leave under conditions that satisfy current university norms;
- where appropriate, there should be procedures for the external assessment of student work; and
- any other matters that CUAP shall determine when it grants conditional approval to the qualification.

### **13. Appendix B**

## **Guidelines for postgraduate funding agreed by Universities New Zealand and the Tertiary Education Commission**

1. The essential principle is that the learning involved must be at postgraduate level, or beyond that of the final year of a bachelor's degree, in terms of content and challenge to the learner.
2. It is agreed that entry into the programme by non-graduates does not automatically mean that a programme is not postgraduate, provided that the main entry is by graduates, and that the non-graduates enter as a result of substituting for the first degree other qualifications, prior learning and experience deemed equivalent to it.
3. At the same time, it is also agreed that entry into a programme by graduates or those deemed equivalent does not necessarily make a programme a postgraduate one. What is important is the level of the programme, rather than the qualifications of those admitted to it.
4. The second principle to be followed is that of 'disaggregation'. A programme open to graduates or the equivalent may be made up of a mix of papers, some postgraduate, some not. 'Disaggregation' permits their being differentially and correctly funded.
5. These two concepts help to resolve some of the issues that arise. Where a programme is at master's level, postgraduate funding is appropriate. Where part of a prescribed non-master's programme is at the master's level, that part of the programme deserves postgraduate funding, but if a stage 3 paper is included in an individual's master's programme it would be funded at stage 3 level.
6. In some cases the level of a programme may not be immediately apparent. Some clearly, in whole or in part, build upon work done in the final year of a first degree. But in other cases their position may be less easy to define, for example where a programme broadens into a multidisciplinary field, or into a field not explicitly catered for in undergraduate studies.
7. In some cases again the numbering of a programme, or its component parts, may make it difficult to determine at what level it is taught. The numbering indeed is not a safe guide. Not all papers with numbers above the 300s justify postgraduate funding. Some universities use numeric codes that may differentiate the type of qualification more clearly than its level.
8. In cases where the guidelines cannot be clearly applied, it would be necessary for the institution to state the grounds on which it could be argued that a programme is wholly or in part postgraduate. The present guidelines indicate ways in which that might be argued. A brief questionnaire or list of headings could be used.

9. Bachelor's honours degrees offer other problems. In general postgraduate funding is currently offered by the Tertiary Education Commission in respect of honours programmes that require admission from a completed bachelor's degree; or that are constituted of a 'fourth year' honours stream into which students are specifically admitted; or in respect of such part of the 'fourth year' programmes that are specific to the honours stream. It is not given to a degree in which honours is open to all who have studied it.
10. The offering of two sequent bachelor's degrees does not render the second one automatically eligible for postgraduate funding. The second degree would have to be considered in the light of the guidelines for postgraduate funding.
11. It is not considered that an undergraduate course can become postgraduate as a result, say, of adopting more intensive methods or small-class teaching.
12. Research informs all university and degree teaching. In the case of postgraduate qualifications, it is likely to be a particular requirement of the course itself. It may not always be a necessary requirement, nor, if required, may it be made apparent by being separated out by some such description as project or dissertation. But its presence could be a criterion for determining that all or part of a programme is postgraduate, and thus form an item in the proposed questionnaire.
13. A programme may also be considered in terms of the preparation it provides for further research. A qualification that on successful completion permits enrolment for PhD might qualify in whole or part for postgraduate funding.



## **14. Appendix C**

### **Agreed procedures (Universities New Zealand/NZQA) for the approval and accreditation of jointly-awarded qualifications**

#### **14.1 Principles**

The guiding principles for the evaluation of applications to award a qualification jointly are:

- increased collaboration within the tertiary sector
- a streamlined process for both the applicant institutions and for the quality assurance bodies involved, including consultation with any relevant professional body
- an acceptable timeframe for the processing of these applications
- capability-building for the institutes of technology and polytechnics (ITPs), the private training establishments (PTEs) and wānanga.

#### **14.2 Outcomes**

The outcomes are:

- one set of documentation submitted
- one approval process
- a site accreditation for the ITPs, PTEs and the wānanga

#### **14.3 Process**

The process consists of the following:

##### *14.3.1 One set of documentation*

Where the application involves a university and an institute of technology or polytechnic, or a private training establishment, or a wānanga, the applicant institutions should submit only one set of documentation, which in the first instance will go to NZQA. After an initial analysis and only if it addresses all requirements, the application will be sent to the Committee on University Academic Programmes (CUAP) by one of the due dates.

##### *14.3.2 One approval process*

On receipt of the documentation by NZQA, a designated specialist should do an initial analysis of the documentation to ensure that the documentation has the capability of meeting the gazetted criteria. If that does not appear to be the case, NZQA should consult the applicant institutions and return the documents for the required improvements or amendments.

When the documentation is acceptable to NZQA, it should then be forwarded to CUAP in time to fit in with CUAP cycles, i.e. by 1 May or 1 September. Any comments from NZQA should accompany the documentation so that they may be considered by CUAP, in the same way that comments from any university will be considered.

Should CUAP have any concerns, it should discuss these with the designated person from NZQA.

When the application meets CUAP criteria (which are the gazetted criteria), CUAP should recommend approval and notify NZQA. If CUAP does not approve the application, it must advise NZQA and both applicants immediately.

The rationale for leaving the approval process with CUAP is to streamline it. It is considered that two approval processes are not necessary, especially given that the same criteria are used, and that CUAP has the expertise to approve degree programmes.

#### *14.3.3 Site accreditation for non-university participants*

For any applicant other than a university there should be a site accreditation. It is considered that non-university applicants still need capability-building and that a site accreditation visit will assist with this growth and development.

It is not intended that this should be a full panel visit as described in the NZQA document *Approval and Accreditation of Courses Leading to Degree and Related Qualifications*, as it will focus on accreditation only.

The panel for the visit will consist of one representative from the universities and one from the industry/profession with other representatives as appropriate.

In order to reduce the overall timeframe, the accreditation visit may take place while the CUAP process is under way. The outcome of the accreditation visit may be reported to CUAP if necessary.

## **15. Appendix D**

### **Jointly-awarded qualifications with other New Zealand universities**

Two or more New Zealand universities proposing a jointly-awarded qualification should provide CUAP with the following information:

1. If the qualification is a new one, a single proposal, submitted by the universities concerned, in the format described in section 5.4.1 of this booklet, including confirmation of the existence of a Memorandum of Understanding (MoU), of which the matters outlined below must be available to CUAP as part of Section B of the proposal:

- information on the relevant contribution of each university to the qualification proposed
- procedures for monitoring and periodic review
- assessment and examination arrangements
- academic grievance and appeal procedures
- means of, and responsibility for, communicating to students any particular requirements of the programme arising out of its collaborative nature
- availability of resources (e.g. relevant library holdings) for both students and staff at each site
- procedures to be adopted should any provision of the MoU relating to academic matters not be met, for whatever reason.

2. If the qualification already exists at one of the universities concerned (i.e. has already been approved by CUAP) the proposal should be in the format described in section 5.4.2 of this booklet, and should include confirmation of the existence of an MoU, of which the matters outlined in 1. above must be available to CUAP as part of Section B of the proposal. A single proposal, submitted by the universities concerned, will suffice.

## **16. Appendix E**

### **Qualifications with significant contributions from overseas institutions**

#### ***16.1 Definition of significant contribution***

A significant contribution is one in which the overseas institution contributes one or more of the following:

- the core of a programme
- an entire major subject
- more than 60 credits (0.5 EFTS)

*Note:* Any papers that are delivered electronically, e.g. via World Wide Web, are considered to be contributions to the programme.

#### ***16.2 Circumstances in which applications might arise***

The following circumstances pertain:

1. A university develops a new qualification and wishes to award it jointly with an overseas institution or institutions.
2. A university wishes to award an existing qualification jointly with an overseas institution or institutions.
3. A university develops a new qualification which will be taught wholly or in part by an overseas institution or institutions.
4. A university makes arrangements for an existing qualification to be taught wholly or in part by an overseas institution or institutions.

In all cases a Memorandum of Understanding (MoU) must be drawn up and signed by all institutions making a significant contribution to the delivery. Only in the case of new qualifications (1 and 3 above) must the MoU be submitted to CUAP, as set out below, as part of the proposals for those qualifications.

#### ***16.3 Requirements where the qualification is new (1 and 3 above)***

A New Zealand university proposing a jointly-awarded qualification with an overseas institution or institutions should provide:

- (a) A statement on the standing of the overseas institution(s) and sufficient information to ensure that CUAP recognises the overseas institution(s) as meeting appropriate quality and programme management requirements, that are essentially equivalent to those expected by a New Zealand university.
- (b) A statement of formal agreement between the New Zealand university and the overseas institution(s), that must include a detailed outline of processes for the

management of the qualification and students, including the provisions for the management of students should the proposed arrangement cease to operate.

- (c) Details of the qualification approval and accreditation processes applying to the overseas institution(s) with respect to the particular qualification under consideration.
- (d) A proposal (Sections A and B) outlining the relevant contributions of the institution(s) to the qualification proposed.
- (e) A detailed statement of operational performance and effectiveness, in respect of the qualification, as part of the Graduating Year Review.

CUAP may seek to invoke the Review Panel process, costs to be apportioned equally among the institutions making the application.

CUAP may require further and ongoing monitoring of the arrangement with an overseas institution, depending upon issues raised at the time of programme approval or as a result of a Graduating Year Review.

#### ***16.4 Requirements where the qualification currently exists (2 and 4 above)***

There is no requirement to report to CUAP, but universities must ensure that an appropriate MoU is in place.

#### ***16.5 The Memorandum of Understanding***

An MoU should be between institutions, not between individual departments or staff members.

##### ***16.5.1 Preamble***

Approval of any New Zealand programme or qualification involving contributions from an international provider is based on the following principles:

1. that the relationship with the partner will not cause damage to the reputation of the individual New Zealand university, or to New Zealand universities as a whole.
2. that the partner has experience in tertiary education, has sufficient resources and has the necessary local legal standing to offer the programme or courses
3. that consideration is given by both parties to the national and local contexts within which the partners are working, including in particular:
  - ◆ the local higher education system and the partner institutions' positions in it
  - ◆ the statutory requirements governing national and international recognition of awards
  - ◆ any relevant professional requirements governing recognition of awards and qualifications (eg registration)

- ◆ transfer of credit arrangements
- ◆ portability of the award or qualification
- ◆ local educational tradition and conventions, including practices relating to delivery and assessment
- ◆ local cultural relevance and acceptability of curriculum and modes of delivery
- ◆ copyright and intellectual property protection
- ◆ maintenance of professional and ethical standards which are consistent with those expected in New Zealand.

### 16.5.2 CUAP requirements

All proposals for programmes or awards to be offered by a New Zealand university and involving participation by an international partner, must satisfy normal CUAP assessment requirements. *In addition*, in the case of a new qualification the universities must confirm the existence of an MoU with the overseas institution which includes the issues outlined in section 16.5.3 below. This part of the MoU must be available to CUAP as part of Section B of the proposal submitted under section 5.1.

Where a New Zealand university has academic collaboration with more than one international institution, whether as partners or through sub-contracting, then an MoU must be agreed to for all partners individually.

### 16.5.3 The agreement

Agreement to incorporate courses or programmes from an international provider will be based on a written Memorandum of Understanding which defines the means whereby the quality of the student experience will be assured and the academic standards of the programme maintained, and which ensures that the collaborative arrangements operate smoothly in terms of clear channels of communication, accountability and authority.

There are nine issues to be addressed. The MoU must:

1. Affirm that staff teaching the course or programme are appropriately qualified and have employment conditions which enable them to contribute to the course to a satisfactory New Zealand standard (time availability; professional support etc).
2. Include agreements about availability of required staffing, libraries, equipment and other resources, for both students and staff.
3. Confirm that the international programme and institution comply with local law.
4. Specify any approval already received (and provide documentation on request) from:
  - ◆ any local accrediting agency
  - ◆ any relevant professional body

- ◆ any other statutory body which has programme approval authority in that country
5. Outline procedures which will be adopted to ensure academic standards appropriate to a New Zealand qualification are met, including in particular:
    - ◆ procedures for initial validation and approval
    - ◆ procedures for monitoring and periodic review
    - ◆ assessment and examination arrangements
    - ◆ responsibility for oversight of the above, and procedures for resolving any difference which might arise between the collaborating institutions
  6. Outline procedures which will be adopted to ensure student interests are considered, in particular with respect to:
    - ◆ academic grievance and appeal procedures
    - ◆ means of, and responsibility for, communicating to students any particular requirements of the programme arising out of its collaborative nature
    - ◆ culturally-specific needs in terms of academic practice and access to resources
  7. Confirm the financial stability of all partners with respect to their capacity to contribute to the programme.
  8. Outline the procedures to be adopted should any of the provisions of the MoU with respect to academic programmes not be met, for whatever reason.
  9. Specify the individuals from each institution responsible for oversight of the MoU, with respect to the above academic requirements.

## **17. Appendix F**

### **Recognition of Long Programmes for student allowances purposes**

Students who meet the eligibility criteria (e.g. age, parents' income) may be able to receive a student allowance beyond the 200-week limit, provided the programme they are studying has been recognised as a Long Programme by the Tertiary Education Commission. Such recognition can be granted only when the TEC has received and processed an application from CUAP.

The combination of courses to be recognised must represent the most direct route to completion of the target qualification. The TEC will not fund the costs incurred by changing direction during study or starting a new programme after completion of an unrelated qualification or combination.

The 200-week limit notionally represents 5 years of study. Therefore programmes with a normal completion time of 5 years are not eligible for Long Programme recognition, unless there are specific study requirements such as significant practicum that extend the study period beyond 200 weeks. A programme leading to completion of a master's degree is normally expected to take 5 years and marginal over-stepping of the 200-week limit due to an allocation of 52 weeks to the final year does not meet the policy for extended student allowance access. Master's programmes which take 6 years to complete may be approved as long programmes.

The information CUAP needs from the universities is

- The year that CUAP approved the qualification
- The year that the TEC approved the qualification for funding
- Confirmation that the programme has not previously been recognised as a Long Programme

plus the following, as set out on the TEC website, *viz.*

- Information verifying that the extended period of Student Allowance access is the minimum period required to complete the study, and that there is no paid period of study included
- If recognition is sought to cover concurrent study of any of the component programmes, verification that the total study period is the same as for consecutive study
- Approximate number of students (per annum) who would be collecting Student Allowances beyond the 200-week limit.

It is helpful if the university provides, where appropriate to an application relating to a single programme (rather than a programme combination), information on the following in its proposal:

- Completion rates
- Student destinations



- Information about any comparable or similar programmes that are, or are not, recognised as Long Programmes.

A template covering the above requirements may be downloaded at [www.universitiesnz.ac.nz/aboutus/sc/cuap/templates](http://www.universitiesnz.ac.nz/aboutus/sc/cuap/templates)

## **18. Appendix G**

### **Quality assurance of adult and community education programmes**

Below are outlined:

1. the guiding principles related to the approval and quality assurance of community education courses provided by universities, and
2. an approval process

that will ensure university Adult and Community Education courses are appropriately quality assured and meet the Tertiary Education Commission's requirements for Adult and Community Education (see next page).

#### ***1.1 Guiding Principles***

Adult and Community Education courses provided by a university should

- Reflect the university's commitments under its Charter, in particular access to education
- Satisfy the university's quality assurance requirements
- Reflect the standing of the university as a provider of advanced learning
- Be appropriate to the university's educational context.

#### ***1.2 Process***

A university offering Adult and Community Education courses should

- Engage in community consultation about learning needs
- Have proposals approved by the university's Academic Board
- Ensure that courses meet the Academic Board's requirements for sub-contracting arrangements, where there are such arrangements.
- Ensure that courses are taught by appropriately qualified staff in a suitably resourced learning environment
- Ensure that the university's processes for handling grievances and disciplinary matters extend to Adult and Community Education students
- Give students an opportunity to complete course evaluations at the end of a course, where appropriate.

### ***1.3 The Government's Priorities for Adult and Community Education in the universities***

Publicly-funded adult and community education provision at universities contributes to and encourages lifelong learning by:

1. providing specialised and research-informed higher-level learning that contributes directly to the creation of an advanced and rapidly evolving knowledge economy;
2. contributing to the knowledge society through the preservation, dissemination and application of university research;
3. promoting the development of critical and reflective thinking, and active and informed citizenship locally, nationally and globally;
4. facilitating pathways into and through university education; and
5. building capability in the wider adult and community education sector (while having regard to the ACE Professional Development Strategy).

February 2007 (to be updated for 2013-2014)

## **19. Appendix H**

### **New Zealand Universities Academic Audit Unit (NZUAAU)**

Selected clauses from the Constitution of the NZUAAU:

#### **1. *Independence, intention and integrity of NZUAAU***

##### **1.1 *Establishment of the NZUAAU***

In order to maintain and enhance the quality of the academic activities of universities, the New Zealand Vice-Chancellors' Committee [NZVCC] established the New Zealand Universities Academic Audit Unit [NZUAAU] and it funds and sustains its operation.

##### **1.2 *Purpose of the NZUAAU***

The purpose of the NZUAAU is to contribute to the advancement of New Zealand university education by:

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

##### **1.3 *Participation by all New Zealand Universities***

All New Zealand universities have undertaken to participate in supporting the existence of the NZUAAU and to participate in its academic quality assurance activities. The scope of NZUAAU's operation may not be extended, nor the number or nature of institutions participating be varied, without the unanimous consent of the New Zealand universities.

[...]

#### **2. *Terms of Reference***

##### **2.1 *Terms of Reference***

The NZUAAU's terms of reference are:

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

##### **2.2 *Areas of importance to universities***

In fulfilling these terms of reference, the NZUAAU focuses its attention on areas of particular importance to universities, including mechanisms for:

- quality assurance and enhancement in the design, monitoring and evaluation of courses and programmes of study for degrees and other qualifications;

- quality assurance and enhancement in teaching, learning and assessment;
- quality assurance and enhancement in relation to the appointment and performance of academic and other staff who contribute directly to the teaching and research functions;
- quality assurance and enhancement in research in the context of its relationship with university teaching;
- taking account of the views of students, of external examiners, of professional bodies, and of employers in respect of the ongoing quality assurance and enhancement of courses and programmes.

### *2.3 Relationship with the Committee on University Academic Programmes*

The NZUAAU recognises that one quality assurance mechanism which is used by all the universities is the Committee on University Academic Programmes of the New Zealand Vice-Chancellors' Committee (CUAP). On behalf of the New Zealand Vice-Chancellors' Committee, that body exercises a number of functions of course approval and monitoring as a result of the Education Act 1989 and by agreement among all universities. The NZUAAU and CUAP recognise the importance of effective communication on the one hand, and the maintenance of clear and separate responsibilities and jurisdictions on the other.

## **3. Academic Audit**

### *3.1 International quality management principles*

In its procedures, the Audit Unit bases its operations on the concepts of quality management systems and quality auditing as defined by the International Organisation for Standardisation (ISO), paying attention to both process and outcomes. Institutional audits, including audits of the Audit Unit, are carried out in accordance with the International Quality Assurance Agencies in Higher Education (INQAAHE) *Guidelines of Good Practice in Quality Assurance*.

### *3.2 Features of auditing New Zealand universities*

In its audit activities, the NZUAAU takes into account the following features:

- the characteristics of a university, as generally accepted, and as set out in the Education Act 1989;
- the obligation that the Council of each university has under the Act, and in particular its obligations to acknowledge the principles of the Treaty of Waitangi [Te Tiriti o Waitangi];
- the obligations of universities to develop and state aims and objectives in investment plans;
- the provision the universities have made for inter-institutional co-operation and peer review;
- the existence of other agencies monitoring the performance of the universities;
- the long-standing relationship which universities have with university systems in other parts of the world.

### *3.3 Appeals*

An appeal against the content of an audit report may be lodged on grounds of a failure of audit process or where a conclusion is not adequately supported by evidence.

[...]

## **4. Structure**

### *4.1 Structure of the Audit Unit*

The NZUAAU comprises:

- a Board,
- a Register of Auditors,
- a Secretariat, headed by a Director

## **5. The Board**

[...]

### *5.4 Functions of the Board*

The functions of the Board are:

- to exercise the power of governance over the NZUAAU;  
[...]
- to appoint the Director of the NZUAAU;  
[...]
- to ensure that the process of audit is such as to produce reliable reports that reflect an independent judgement and that are perceived as authoritative, rigorous, fair and perceptive;
- to receive and approve the release of audit reports;  
[...]

## **6. Auditors**

### *6.1 Register of auditors*

[...] Auditors who are deemed competent to undertake academic audit are appointed to the Register by the Board on the advice of the Director.

### *6.2 Appointment of audit panels*

[...] An audit panel typically includes a senior person (usually an academic or academic administrator) from a New Zealand university as Chair, a New Zealand academic, an academic from outside of New Zealand, and a non-academic with an understanding of universities and university education.

## **7. Secretariat**

[...]

### *7.2 Role of the Director*

The Director's role is:

- to advise the Board on matters relating to the review, maintenance and enhancement of quality in universities;  
[...]
- to build constructive relationships with universities, national and international quality and education agencies;  
[...]
- to assist in and ensure the smooth running of the audits and the preparation of the audit reports;

[...]

The full Constitution may be obtained from the Director of the NZUAAU, Dr Jan Cameron, or from the NZUAAU website.

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