



Ringa Atawhai Mātauranga

Self-Assessment Handbook



Self-Assessment Programme Handbook

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SECTION I Background

(i) Purpose:

The purpose of this Self-Assessment Handbook is to provide a structure, framework, system, policy and procedures and templates to guide the successful implementation of Self-Assessment and internal review within the organisation.

The Aims of the Self-Assessment Programme are to:

- enable the directors, management and staff to reflect on and evaluate progress and to provide constructive critique and feedback
- inform and guide decision-making, planning and the allocation of resources
- improve the outcomes for learners, improve the educational performance of the PTE and better meet stakeholder needs
- achieve sustainable, continuous improvement within the organization
- complement and support External Evaluation and Review

(ii) Relevant Guiding Documents

The key Guiding Documents relevant to this Self-Assessment Programme and Handbook are:

- NZQA – Guidelines for Private Training Establishment Rules (2022)
- NZQA – Using Evaluation to Strengthen Organisational Self-Assessment
- NZQA – Tertiary Evaluation Indicators / Key Evaluation Questions
- NZQA – Policy and Guidelines External Reviews
- NZQA – Evaluative Quality Assurance Framework (EQAF) Policy
- MOE – Ministry of Education – TKI Consider the Evidence
- ERO – Education Review Office – Implementing Self Review
- AS/NZS ISO 9001:2008 Quality Management System Requirements
- US Baldrige Framework and Criteria for Performance Excellence
- AKO Aotearoa - A Tertiary Practitioner's Guide to Collecting Evidence

(iii) Scope of Coverage

The PTE will use a process of on-going evaluative self-assessment across the whole organisation. This Self-Assessment Handbook and self-assessment programme covers all aspects of self-assessment within the organisation. Self-assessment takes place at all levels – taura, tutor, learning areas, management and Board. It involves a range of different types of self-review including taura self-reflection / evaluation, individual kaiako self-reflection / Review, Learning Programme /Cyclic and Targeted Review and organisational self-assessment by management and the Board.

The Self-Assessment Programme links to and complements the PTE's other important operational processes such as stakeholder consultation, Internal monitoring, reporting and strategic and annual planning.

SECTION II Self-Assessment Programme Policy

SELF-ASSESSMENT PROGRAMME POLICY

RATIONALE:

In order to successfully manage the PTE, enable the organisation to achieve its goals and purposes and ensure that it meets its on-going obligations as a Registered NZQA Provider, the Directors are committed to implementing an effective evaluative self-assessment programme.

POLICY STATEMENT:

The purpose of this Policy is to ensure that:

- quality assurance within the PTE is based on an on-going evaluative self-assessment
- the model evaluates and assesses quality, value and the importance of educational outcomes and the key contributing processes;
- the PTE implements an authentic, structured, planned, collaborative, results (outcomes) based, strategically focused and evidence-based self-assessment programme, that has an emphasis on improving outcomes for learners and better meeting stakeholder needs;
- the information and results of self-assessment (evaluation & review) are used to guide decision-making, inform the planning process and the allocation of resources, and achieve sustainable improvement within the PTE; and
- Self-assessment complements and is closely linked to the consultation and engagement of stakeholders, strategic and annual operational planning and NZQA's External Evaluation and Review.

GUIDELINES:

- (1) The PTE will implement planned, structured and robust self-assessment. The self-assessment programme will reflect the PTE's Charter, the specific needs, nature, context and circumstances of the organisation and its stakeholders.
- (2) The self-assessment model used by the PTE will be based on the practice-based principles of self-assessment, accepted Good Practice in Educational Self Review, integrative self-assessment methodology, NZQA's Evaluative Quality Assurance Framework & Tools and the Results-focused management approach.

- (3) Self-Assessment must be of genuine real value and use to the PTE and its stakeholders. It will be honest, focused, purposeful and embedded into the culture of the organisation.
- (4) Self-assessment will use formalised, evaluative, evidence-based, results (outcomes) & strategically focused approach, with an emphasis on improving the outcomes for learners and better meeting the needs of stakeholders.
- (5) The PTE will encourage an inclusive, collaborative team approach to self-assessment by the Board and all staff and taura. The CEO will have overall responsibility for the implementation of self-assessment within the PTE.
- (6) Self-assessment will have a structured framework, be organisation-wide and be encouraged and implemented at all levels within the PTE including a comprehensive organisational self-assessment by management and the Board of Directors.
- (7) A participatory approach will be adopted to stakeholder consultation /engagement. The use of stakeholder needs assessment / analysis, meeting stakeholder needs and providing regular feedback to stakeholders on improvement initiatives, will be key aspects of the self-assessment programme implemented by the PTE.
- (8) A well-documented and transparent review process will be used, with valid and robust collection, analysis and evaluation of data, information and other evidence.
- (9) Data and information collection will be systematic and purposeful. A range of types of reliable, 'fit for purpose' qualitative and quantitative data, information and other evidence will be collected from a variety of sources; including from on-going internal monitoring, regular stakeholder consultation and feedback from learners / stakeholders.
- (10) Valid baseline data, performance measures, appropriate evaluation indicators and externally referenced benchmarks and reference points will be used to measure, evaluate and review the PTE's performance and progress. Relevant evidence of educational outcomes, learner achievement and learner personal development outcomes will be collated, critiqued, processed and analysed, and trends, patterns and changes evaluated and reviewed by the Academic Manager.
- (11) Nationally developed evaluation tools (i.e. Key Evaluation Questions and Tertiary Evaluation Indicators) will be used to provide a focus, scope and common framework to evaluate and review the PTE's performance, educational outcomes and progress. self-

assessment will complement and help prepare the PTE for NZQA's next External Evaluation and Re view

- (12) Organisational self-assessment by management and the PTE Board will include on-going / regular internal reviews, cyclic and targeted review of key areas and programmes, and strategic self-review of the PTE's performance and progress towards achieving its Annual Operational Plan, Desired Outcomes and Annual Targets.
- (13) Evidence based judgements will be used to review performance, improve practice and inform the design and delivery of learning programmes. Self-assessment will also be used identify priorities, inform & guide planning, policy development, decision-making, and resource allocation, and contribute to the on-going sustainable improvement of the PTE.
- (14) The Self-assessment programme and the improvement initiatives that result from the process will be appropriately integrated and aligned with existing internal structures, operational processes (in particular internal monitoring and annual planning) and the on-going management and operation of the PTE.
- (15) Management / PTE Board will report the results, findings and conclusions of the PTE's annual self-assessment to key stakeholder representatives and obtain advice and guidance before proceeding with any improvement initiatives / strategies.
- (16) Changes and improvement initiatives that result from the self-assessment process will be appropriately reported to stakeholders, monitored and evaluated and reviewed as part of the on-going self-assessment cycle.

RATIFICATION:

Policy ratified by Board:

C. Pea
(Signed for Board)

20/02/2024
(Date confirmed)

REVIEW:

This policy is to be reviewed as part of the PTE's Self-review Programme (Cyclic Review)

Review Date: 20/02/2025

CONSULTATION:

Students, employees, management and Governance Board members are to be consulted as part of the review of this policy.

SECTION III Self-Assessment Programme

(i) Self - Assessment Programme Design

The following factors have been considered when designing and developing this Self-Assessment Programme.

- The organisation's vision, culture goals and purposes, strategic direction and special character
- The context, size, complexity and structure of the PTE
- The type and scope of the organisation's learning programmes
- The need to integrate and align self-assessment with the organisation's management structure and operational processes
- The identified needs of learners, staff and other key stakeholders
- The information from staff and stakeholder consultation and feedback
- The practice-based principles of self-assessment
- Accepted good practice in Educational Self Review
- NZQA's Evaluative Quality Assurance Requirements and Framework
- The Self-Assessment Model that has been adopted. See (iii) Self-Assessment Model

(ii) Education Practice-based Principles of Self-Assessment

This Self-Assessment Programme is based on the following Education Practice-based Principles of Self-Assessment.

Self-Assessment should:

- Adopt a strategically focused, evidence-based approach with an emphasis on improving outcomes for learners and meeting stakeholder needs
- Use an inclusive, collaborative team approach with wide stakeholder involvement and consultation including regular Stakeholder Needs Assessment / Analysis to identify / clarify stakeholder needs and expectations
- Adopt a structured Review Framework with robust self-reflection and review at all levels (i.e. Tauira / Staff / Programme / Organisational) that includes both formal and informal review and effective reporting of review findings, decisions and the impact of improvement outcomes
- Use a systematic, transparent review process with valid, robust collection, analysis and interpretation of data / information and evidence of measurable educational outcomes, learner personal development outcomes and organisational outcomes
- Use a range of types of valid, reliable 'fit for purpose' data / information and other evidence (quantitative and qualitative) collected from a variety of sources
- Establish a robust 'baseline data' for key performance measures and where possible adopt a 'value added' approach
- Analyse information and other evidence which is cross referenced to baseline data and / or internal and external reference points / standards (and where available national benchmark data) and consider trends, patterns and changes in performance outcomes
- Use relevant nationally developed Evaluation tools (i.e. Key Evaluation Questions and Tertiary Evaluation Indicators), that complement and link to External Review (EER), to provide focus and scope for the Self-Assessment
- Clearly identify and define the quality and value of the PTEs desired educational and non-educational outcomes
- Evaluate the Organisation's Desired Educational and Non-educational Outcomes (not just Goals / Objectives) which are aligned and linked to the PTE's Strategic and Annual Planning and Annual Targets
- Use the review findings to identify priorities, inform the design and delivery of learning programmes, inform and guide decision making & planning and the allocation of resources, and achieve sustainable improvement
- Embed Self-Assessment, Self-Reflection and continuous improvement into the culture, teaching practice, management and day-to-day operation of the organisation

(iii) Education Self-Assessment Model

The Self-Assessment Model used for this self-assessment programme is based on:

- An evaluative approach to quality assurance
- Accepted Good Practice in Educational Self Review
- Integrative Self-Assessment methodology
- The Practice-based Principles of Self-Assessment
- NZQA's Evaluative Quality Assurance Framework and Requirements
- The specific needs and context of the organisation and its stakeholders
- The Results-focused Management Approach

Quality Assurance within the PTE is based on an evaluative, evidence-based approach to self-assessment. Self-review is implemented at all levels within the organisation and is integrated and closely linked to the other key processes, including implementation, monitoring, reporting and planning for continuous improvement. See (vii) Self-Assessment Process for details. Self-assessment is internally driven, evidence based and used to inform planning and contribute to on-going sustainable improvement.

A key focus of this self-assessment model is how well the organisation's learning programmes match the needs of taura and other stakeholders. Evidence based judgements are used to review performance, inform and improve practice and guide planning and decision making by the PTE. The self-assessment process is clearly and consistently aligned and linked to the organisations strategic and annual planning.

This self-assessment model is systematic, enables providers to build their capacity for change, to remain responsive to changes in their operating environment and to better meet the needs of learners.

When implementing improvements and initiatives that result from the self-assessment process, the PTE will ensure that any new programme is appropriately integrated and aligned with existing internal structures, systems and procedures. Self-assessment must be of genuine real value to the organisation and its stakeholders and be focused, purposeful and evidence driven.

The model encourages providers to develop their own customised approach to self-assessment that is appropriate and meets the needs of their organisation. Self-assessment will be used by the PTE to highlight its own special character and to ensure that its distinctive contribution and associated strengths are recognised and valued – both within the PTE and by all stakeholders.

This model aims to integrate and embed self-assessment into the PTE's planning, business operations and work practice. It is designed to help the PTE capitalise on its unique strength and identify its opportunities for improvement. The model uses a structured framework to bring together the many elements needed to successfully manage and operate the PTE and achieve on going and sustainable quality improvement.

A key aim of the self-assessment model is to link to and prepare the PTE for the next External Evaluation and Review by NZQA. This is done by using NZQA's Key Evaluation Questions and Tertiary Evaluation Indicators as the basis for the self-review process.

(iv) Self-Assessment Implementation Plan

The key steps involved in the planning and implementation of an evaluative Self-Assessment Programme within the PTE, are set out below:

1. Form a self-assessment development team with broad representation from within the organisation. Start to document the self-assessment planning and implementation process.
2. Establish clear and well understood expectations, roles and responsibilities, and purpose for the team. Provide professional development / training in Self-Assessment for individual team members as required.
3. Complete a "stock-take" of the organisation – "where are we at", "where are we headed", "are we headed in the right direction".
4. Establish "base line (starting point) data" such as tauira and programme details, recent organisational outcomes and tauira outcome / achievement data.
5. Revisit and review the organisation's philosophical statements – vision, shared values, mission, strategic intent and charter.
6. Complete appropriate stakeholder consultation including a 'Stakeholder Needs Assessment / Analysis'.
7. Develop a common understanding and appreciation within the team of the purpose, value and 'real' practical advantages to the organisation and stakeholders of effective self-assessment. Use a collaborative approach.
8. Discuss and develop a common understanding within the team of the 'practice-based principles of self-assessment'.
9. Examine and evaluate the usefulness and effectiveness, including strengths and weaknesses, of the organisation's existing self-assessment processes (if applicable), and build on existing strengths.
10. Establish a timeline and schedule for the introduction and implementation of the proposed self-assessment programme.

11. Adopt a results-focused, strategic approach that reflects the goals and purposes of the PTE.
12. Develop a self-assessment framework that matches the specific nature, context and requirements of the organisation and needs of stakeholders (particularly learners). The self-assessment framework should adopt an integrated, organisation-wide approach that includes self-review at all levels within the organisation, both formal and informal review, and use clear communication and reporting links.
13. Clearly identify and define the quality and value of the PTEs desired educational and non-educational outcomes.
14. Use NZQA's Key Evaluation Questions and Tertiary Evaluation Indicators to provide a framework, purpose, focus and scope for the self-assessment
15. Develop a documented self-assessment process that includes systematic collection, collation, processing, analysis and interpretation of relevant data / information evidence of outcomes and taura performance and taura perceptions of the PTE. Benchmark data against internal and external standards and criteria.
16. Develop and document the necessary self-assessment procedures and guidelines and align and integrate with existing internal structures systems procedures and practice. Fine tune and develop existing policies / procedures. Develop procedures to monitor and report impact of improvement initiatives.
17. Align, integrate and link the self-assessment programme with the organisation's strategic and annual planning. Establish clear links between the evaluation questions and the PTEs desired educational & non-educational outcomes and the organisation's annual targets.
18. Plan the implementation of the self-assessment programme, including specific Improvement Action Plans, staff responsibilities, staff professional development and the allocation of resources- including staff time, and the monitoring of the implementation of the programme.
19. Integrate and embed self-assessment into the on-going planning, management, monitoring, and operation of the organisation – including teaching practice, teaching and learning programmes, organisational / management level, and Governance.
20. Build and embed a culture of self review, self reflection and inquiry, and continuous improvement within the organisation.

(v) Self -Assessment Framework

This Self-Assessment Framework provides a structure for the implementation of Self-Assessment within the PTE.

The Aims of the Self-Assessment Framework are to:

- provide a structured systematic approach to self-assessment
- have clear lines of communications in both Consultation, feedback and reporting of outcomes
- encourage a collaborative and participatory approach to self-assessment by stakeholders
- ensure that self-assessment focuses on high quality measurable educational outcomes for tauira and stakeholders
- encourage continuous on-going self-review with clear links to strategic and annual planning and Improvement Action Plans
- encourage kaiako reflection / inquiry and inform review that is linked to the structured formal review process
- use information from the monitoring / tracking of tauira progress for on-going reflection and review of achievement and teaching and learning programmes
- create a culture of positive and constructive self-assessment within the organisation with self-review all levels, i.e. tauira, kaiako, programme / team, management and Board
- ensure that the PTE develops a self-review programme that matches the specific context, requirements and culture of the organisation, and meets the needs of stakeholders and, tauira in particular.

The PTE will implement a process of evaluative self-assessment at all levels across the whole organisation:

Level 1: Tauira Self-reflection / Evaluation is included as part of tauira goal setting and planning, regular self-reflection / review of their learning and evaluation of programmes and teaching. Tauira are encouraged to be reflective learners.

Tauira will also evaluate the pastoral care and well-being and the learning and education support provided by the PTE.

Level 2: Tutor / Staff Self-reflection & Review involves on-going reflection and inquiry into teaching practice, learning / teaching programmes, the learning outcomes & added value for learners, and programme regulations and content. This comprises both personal and professional reflection and is included as part of the Staff Performance Management Programme and is linked to the Staff Professional Learning and Development Programme within the PTE.

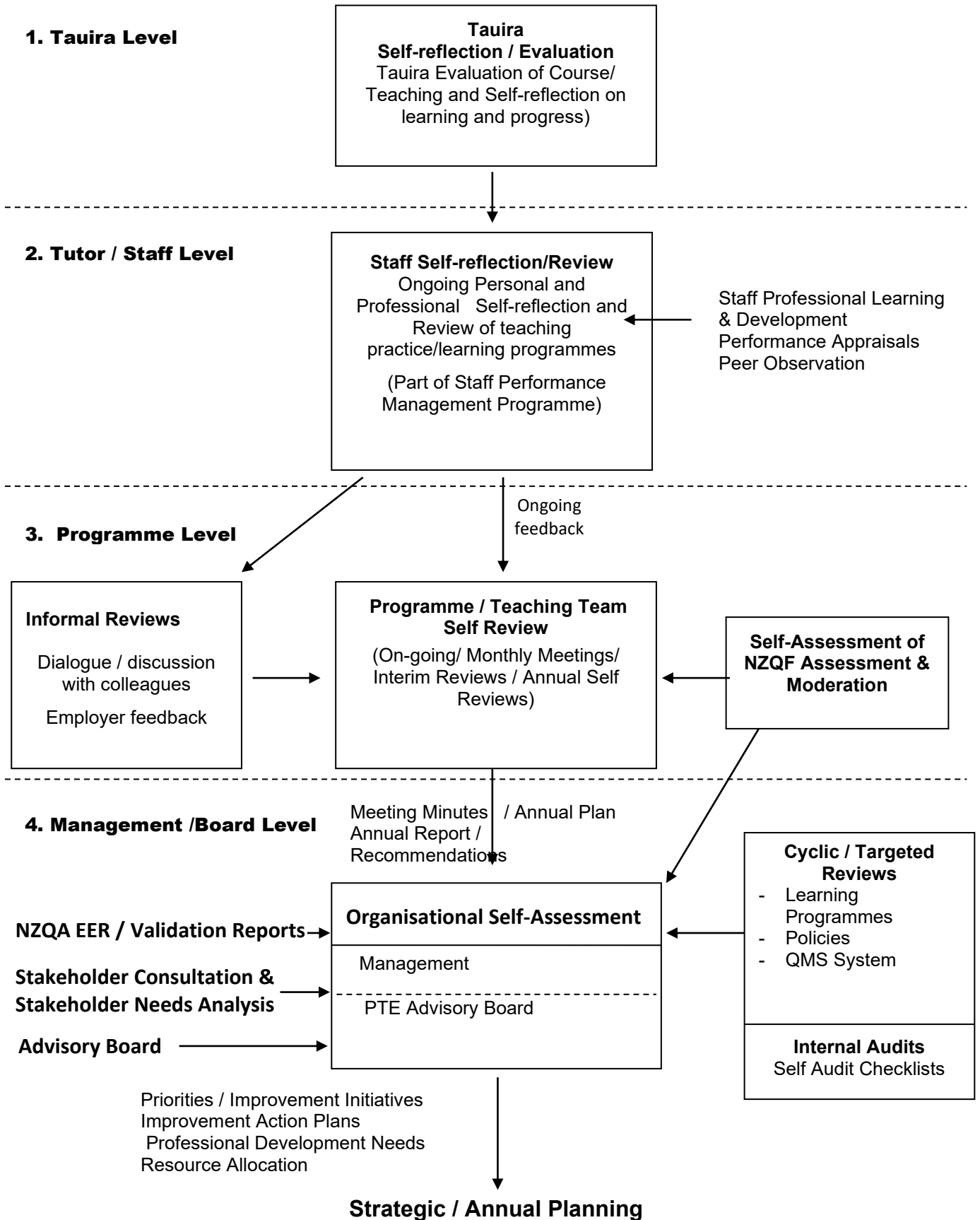
Level 3: Programme / Teaching Team Self Review includes on-going formal review involving monthly meetings, interim reviews and annual self-reviews, plus informal reviews involving dialogue and evaluative conversations with colleagues. The review will focus on how programmes can better support learner achievement / success and on processes and practices that can improve outcomes for learners.

It also includes on-going and annual self-assessment of NZQA's Assessment and Moderation processes. See Section VI for details.

Level 4: Organisational Self-Assessment See (VII) for details.

Self-Assessment Framework

(Self-Assessment will use an organisation-wide approach and will be implemented at all levels within the PTE.)



SELF-ASSESSMENT PROGRAMME FRAMEWORK

Exemplar Only

PTE Self-Assessment Level	Types / Method of Self-Assessment
1. Tauira Level <i>Tauira Self-reflection / Evaluation</i>	<i>Tauira Self-reflection on learning / progress</i> <i>Tauira Review of Career Pathway Plan</i> <i>Tauira Review of Learning Plan / Goals</i> <i>Evaluation of Course</i>
2. Tutor / Staff Level <i>Self-reflection / Review</i> <i>(Part of Staff Performance Management Programme)</i>	<i>On-going Reflection / Inquiry into teaching practice</i> <i>Personal / Professional Self Reflection and Review</i> <i>Tauira Evaluation of Teaching</i> <i>Observation by Peers</i>
3. Programme Level <i>Programme / Teaching Team Self Review</i> <i>Self-Assessment of NZQF Assessment and Moderation</i>	<i>On-going Informal Review</i> <i>Formal Meetings / Review</i> <i>Course Evaluation</i> <i>Satisfaction Surveys from learners</i> <i>Feedback from employers</i> <i>Evaluative conversations</i> <i>On-going and Annual Self-Assessment of Assessment & Moderation</i>
4. Management / Board Level <i>Organisational Self-Assessment</i>	<i>On-going / Regular Internal Reviews</i> <i>Stakeholder Feedback</i> <i>Formal Meetings</i> <i>Self Audit Checklists</i> <i>Cyclic / Targeted Reviews</i> <i>Learning Programmes</i> <i>QMS System</i> <i>Policies</i> <i>Strategic Self Review</i> <i>Annual Review of Operational Plan / Targets</i>

(vi) Organisational Self-Assessment

Organisational self-assessment (Level 4 on Self-Assessment Framework diagram) is carried out by the PTE's CEO. Organisational Self-Assessment is used by the Directors to reflect on its progress and to provide constructive feedback. It also enables the Directors to ensure that the PTE is on track with its targets and if necessary to put in place corrective action. Organisational Self-Assessment should reflect the Goals and Purposes of the PTE which are based on the needs and aspirations of key stakeholders.

Organisational Self-Assessment comprises:

- (1) On-going / Regular Internal Reviews**
- (2) Cyclic / Targeted Reviews**
- (3) Strategic Self Review**

(1) On-going / Regular Internal Reviews

This involves continual formal and informal monitoring, evaluation and review of the PTE's activities, progress and the processes & practice that support improved outcomes for learners. This includes progress towards achieving Annual Operational Plan targets and Improvement Action Plans by Management and the Board. The PTE's Health and Safety Management system will also be reviewed on a regular basis.

Regular Internal Reviews are about "business as usual"; they are smaller, focused and on-going, feeding regular data into the Organisational Self Review.

The CEO will meet regularly with staff and monitor and review the PTE's activities and operations, on an on-going basis. The Board will meet quarterly and will receive and consider a Monthly Report from the CEO. The Report will include an update of the past month's activities and a review of progress towards achieving the PTE's Annual Operational Plan Targets.

Where appropriate Self Audit Checklists are to be used by the CEO to monitor, evaluate and review the implementation of good practice and / or compliance.

(2) Cyclic and Targeted Reviews

Cyclic Reviews are formal timetabled reviews every 2-3 years into key areas such as Personnel Management, QMS System, PTE Policies, Charter and Strategic direction. The PTE will adopt a systematic approach that works through the key aspects of the PTE over

a period of four years. The areas of focus chosen for Cyclic Review will be of relevance and importance to Governance and Management of the PTE and taura needs / outcomes.

Targeted Reviews will focus on specific areas within the PTE and will be carried out as the need arises, such as Reviews of specific Learning Programmes or Courses. Targeted Reviews could include review of:

- Programmes areas or Courses that are experiencing problems
- Programme areas or Courses of strategic importance to the organisation
- high priority or high stakes Courses,
- NZQA Validation Visit Reports
- Courses with large enrolments and new initiatives
- The Key Evaluation Questions and Tertiary Evaluation Indicators will be used as a guide to inform both Cyclic and Targeted Reviews

(3) Strategic Self Review

Strategic Self Review by the Board is a formal annual review of the PTE's and Board's performance and progress towards achieving its goals and purposes, strategic goals, desired outcomes & targets (as contained in the PTE's Strategic and Annual Plan) and Improvement Action Plans.

The key focus of strategic self-review will be the achievement of learners, improving learner outcomes and meeting the needs of stakeholders. Strategic self-review will link directly to stakeholder consultation and engagement including stakeholder needs assessment / analysis. Refer to "Stakeholder Consultation and Engagement" in Section III (vi) of the Governance and Management Handbook.

Strategic self-review will be a systematic, robust and rigorous process. It will be well planned and the findings, conclusions and recommendations used to improve educational outcomes for taura.

Nationally developed Key Evaluation Questions and Tertiary Evaluation Indicators are to be used to guide and inform strategic self-review. The implications and impact of self-review on strategic and annual planning, programmes, teaching practice, professional development and resources allocation will be discussed and documented as part of the review.

Where appropriate, Improvement Action Plans will be used to plan, implement and monitor the improvement initiatives that result from strategic self-review by the Board of Directors.

Specific use of the review findings and new initiatives that may result from the review must be well planned and clearly linked to a relevant management plan and or Improvement Action Plan.

The CEO will ensure that the recommendations from self-assessment are implemented, by monitoring and tracking the relevant Improvement Action Plan at board meetings.

Organisational Self-Assessment Templates

The Cyclic / Targeted and Strategic Self Review Templates used for Organisational Self-Assessment adopt the following “Three Step Method”:

- Step I Planning & Implementing the Review
- Step II Summary of the results of the review
- Step III Using the Review Findings to make Improvements

The following Templates, in Section V of this Handbook, are used to carry-out Organisational Self-Assessment within the PTE.

- **Template 7/T2 Regular Internal Review - Report**
- **Template 7/T3 Cyclic / Targeted Review - Planning & Implementing**
- **Template 7/T4 Cyclic / Targeted Review - Summary of Results**
- **Template 7/T5 Cyclic / Targeted Review - Using Review Findings**
- **Template 7/T6 Strategic Self Review - Planning & Implementing**
- **Template 7/T7 Strategic Self Review – Summary of Results**
- **Template 7/T8 Strategic Self Review – Using Review Findings**

(vii) Self-Assessment Process

The Self-Assessment Process comprises the following parts:

(1) Annual Planning of Self-Assessment

- Use the Key Evaluation Questions and Tertiary Evaluation Indicators to establish a purpose and scope for the review
 - Establish a key focus for the review e.g. “How well is the Organisation achieving its Desired Outcomes and meeting the needs of Stakeholders?”
 - Identify and define the PTE’s Desired Outcomes. Establish Outcome / Performance Measures to monitor, measure and evaluate outcomes
 - Establish Baseline data for Outcome / Performance Measures
 - Determine evidence (data / information) required, data collection strategy, and analysis methods
 - Use previous Self Review information and stakeholder needs information
 - Link to Annual Operational Plan and Targets
- (Cyclic / Targeted Review Planning & Implementing – Template 7/T3)*
(Strategic Self Review Planning & Implementing - Template 7/T6)

(2) Monitoring (Tauira and Organisational)

- Use results-focused Monitoring. On-going internal observation and checking / tracking of tauira progress, outcomes, processes & practice, improvement, implementation progress and quality assurance
- (On-going / Regular Internal Review Report- Template 7/T2)*

(3) Reflection and Informal Reviews

- Tauira self-reflection on progress and evaluation of programme
- On-going reflection and informal review of teaching practice, learning, teaching programmes and tauira performance / achievement outcomes and discussion with colleagues
- Reflection by individual kaiako - personal and professional reflection

(4) Evaluation (Formative Evaluation)

- Collection of Data / Information / Evidence – Gather a wide range of relevant quantitative and qualitative evidence of outcomes, processes and practice over a period of time

(Self-Assessment Evidence - Toolkit 7/T10)

- Analyse and Interpret Data / Information - Process data and use performance measures, indicators, reference points and benchmarks to analyse evidence, identify trends and patterns and make comparisons
(See Section IV **Guide to the Collection and Evaluation of Evidence**)
- Evaluate Desired Outcomes / Targets and Variance

(5) Review

- Review Outcomes / Targets / Impacts / Results and Variance
- Assess and reflect on performance / progress / outcomes
- Develop understanding of information
- Make results-focused, evidence-based judgements & decisions and draw conclusions
- Identify improvement opportunities, initiatives and strategies

(Cyclic / Targeted Review Summary of Results - Template 7/T4)

(Strategic Self Review Summary of Results - Template 7/T7)

(6) Reporting

- Report analysed performance-based information and Analysis of variance to the Advisory Board and key stakeholders
- Report review findings, conclusions and recommendations to the PTE Board, the Advisory Board and relevant stakeholders
- Reporting provides an opportunity for stakeholder engagement, reflection and feedback

(7) Planning for Improvement

- Use of review findings / conclusions:
 - professional reflection
 - identify and target priorities
 - improve and refine teaching practice and taura learning
 - refine goals and align processes
 - inform planning / design and delivery of learning programme
 - plan for improvements e.g. Improvement Action Plans
 - policy development
 - plan professional development and capability building

- Improvement initiatives / interventions
(Improvement Action Plan Template 7/T11)
- Strategic Annual Planning
(PTE Strategic Plan Template 1/T1, PTE Annual Operational Plan – Template 1/T2 and PTE Management Plan Template 1/T3)
 - set strategic goals, desired outcomes / targets
 - allocate resources and time
- Professional Development
- Process Development- processes that impact /support improved outcomes
(Cyclic / Targeted Review – Using Review Findings –Template 7/T5)
(Strategic Self Review – Using Review Findings –Template 7/T8)
- External Evaluation and Review Preparation
(Self-Assessment – What we currently do – Template 7/T9)

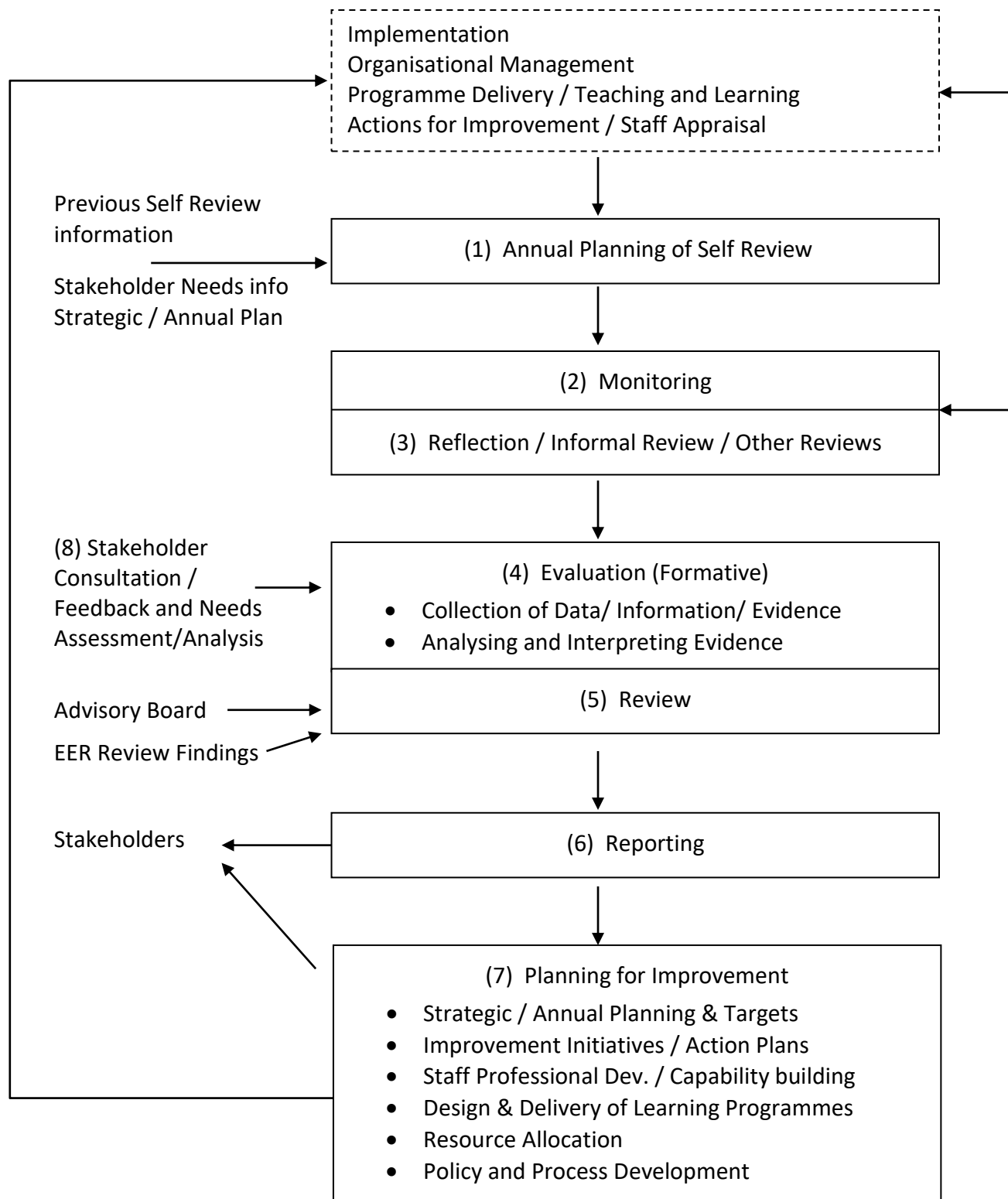
(8) Stakeholder Consultation, Feedback and Needs Assessment / Analysis

- Consultation with stakeholders during the self review process
- Stakeholder feedback and engagement as a result of Reporting process
- Stakeholder Needs Assessment / Analysis
(Identifying Stakeholders and their Specific Needs – Toolkit 1/T8)
(Example Stakeholder Consultation / Engagement – Example 1/T9)
(Stakeholder Need Assessment / Analysis – Template 1/T16)
(Use of Stakeholder Needs Assessment / Analysis to Plan Improvements - Template 1/T11)

- Use the information contained in Section IV Guide to the Collection & Evaluation of Evidence to complete **Toolkit Self-Assessment Evidence – Toolkit 7/T10.**

Self-Assessment Process

The following Self-Assessment Process will be used by the PTE as part of the Self-Assessment Programme.



(viii) Stakeholder Consultation and Engagement

Stakeholder Consultation, Feedback and Needs Assessment / Analysis are key aspects of the Self-Assessment Process and this Self-Assessment Programme. *Refer to Management System Manual Part I Governance and Management Section III (vii) Stakeholder Consultation and Engagement for further details (Ref.1/S III).*

Also see Section VII Appendix of this Handbook for copies of the following Stakeholder Consultation Templates, Toolkits and Examples.

- **Identifying Stakeholders and their Specific Needs – Toolkit 1/T8**
- **Example Stakeholder Consultation / Engagement – Example 1/T9**
- **Stakeholder Consultation / Engagement Strategies – Toolkit 1/T11**
- **Planning Stakeholder Needs Assessment /Analysis-Template 1/T10**
- **Use of Stakeholder Needs Assessment / Analysis to Plan Improvements - Template1/T11**

(ix) Self-Assessment Tools

The Self-Assessment Tools used in this self-assessment programme include:

- (1) Self-Assessment Templates
- (2) Key Evaluation Questions
- (3) NZQA's Tertiary Evaluation Indicators
- (4) Toolkits A – E to support the Pastoral Care of Tertiary and International Learners Code of Practice.

(1) Self-Assessment Templates includes Stakeholders Consultation / Engagement templates, Strategic and Annual Planning templates and the Organisational Self-Assessment templates.

(2) Key Evaluation Questions

The evaluative questions to be used by the PTE for Planning and Self-Assessment are based on NZQA's Key Evaluation Questions (KEQ's) and NZQA's Tertiary Evaluation Indicators. The KEQ's and Indicators will be used to inform Self-Assessment and provide a purpose, focus, scope and common framework for the Self-Assessment. The Key Evaluation Questions are linked / integrated to the PTE's Strategic and Annual Planning and used as part of Organisational Self Review.

There are to be clear and strong links between the PTE's Self-Assessment and NZQA's External Evaluation and Review. Self-Assessment is to complement and help prepare the PTE for NZQA's next External Evaluation and Review. Also see **Self-Assessment - What we currently do (Template 7/T9)**

The following **Evaluation Questions** are to be used by the PTE for Strategic and Annual Planning and Organisational Self-Assessment.

(a) Aspect: Learner Achievement

Evaluation Question: How well do learners achieve?

(b) Aspect: Value of Outcomes for Stakeholders

Evaluation Question: What is the value of the outcomes for key stakeholders including learners?

(c) Aspect: Programmes match the needs of learners / stakeholders

Evaluation Question: How well do programmes and activities match the needs of learners and other stakeholders?

(d) Aspect: Effective teaching

Evaluation Question: How effective is teaching?

(e) Aspect: Assessment and Moderation

Evaluation Question: How effective are the assessment of learner achievement and the moderation of assessment?

(f) Aspect: Learner Guidance and Support

Evaluation Question: How well are learners guided and supported?

(g) Aspect: Governance and Management

Evaluation Question: How effective are Governance and Management?

(3) Tertiary Evaluation Indicators

NZQA's Tertiary Evaluation Indicators are to be used in conjunction with the Key Evaluation Questions to plan, implement and inform the self-assessment and evaluate and make judgements about the PTE's educational performance and progress. Outcome and process indicators will be used to provide a focus and common understanding of the valued and desired outcomes and the key contributing processes. The quality and value of the desired outcomes will be clearly identified and defined using an evaluative rubric approach.

The Nationally developed Evaluation Questions and Tertiary Evaluation Indicators are to be used to provide a purpose, inform and guide all three types of

Organisational Self-Assessment, i.e. Regular Internal Reviews, Cyclic / Targeted Reviews and Organisational Self Review.

An emphasis will be placed on the use of relevant quantitative outcome / performance measures (and associated indicators) that accurately measure tauira achievement of the desired outcomes and tauira progress and enable valid comparisons with internal / external benchmarks and reference points.

Refer to the following Section IV of this Handbook – Guide to the Collection and Evaluation of Evidence (Self-Assessment Evidence Exemplar) which sets out the specific Outcome / Performance Measures that will be used.

For further information refer to the following NZQA documentation filed in the Ringa Atawhai Mātauranga administration office, Whangarei.

NZQA - Using Evaluation to Strengthen Organisational Self-Assessment

NZQA - Tertiary Evaluation Indicators

NZQA - Tertiary Evaluation Indicators an Overview

NZQA - Key Evaluation Questions

SECTION IV Guide to the Collection & Evaluation of Evidence

This Guide comprises:

- (i) Sources and types of Self-Assessment Evidence**
- (ii) Collection of Data / Information / Evidence**
- (iii) Analysing & Interpreting Data / Information / Evidence**
- (iv) Self-Assessment Evidence Exemplar**

(i) Sources and Types of Self-Assessment Evidence

Possible sources and types of Self-Assessment Evidence include:

(1) Surveys / Interviews / discussion with stakeholders

- Entry Surveys / Interviews
- Tauria Satisfaction Surveys / Questionnaires / Feedback forms
- Course Evaluations
- Tauria Exit Interviews / Stakeholder interviews
- Attendance / Retention Records
- Informal feedback / discussion
- Tutor comments / feedback
- Employer Surveys / Interviews
- Professional conversations
- Staff self-reflection / Review
- Other Stakeholder Consultation
- Graduate feedback

(2) Observations

- Direct observation within the PTE
- Classroom situation observations
- Observation of tauria activities

(3) Documentation

- Tauria Enrolment Demographic data
- Tauria Individual Enrolment Records
- PTE Internal Reports, Teaching Team Reports, Programme Area Meeting Minutes
- Programme / Teaching Team Review
- Policies, procedures and documentation
- Central database records – historical data / baseline data
- Tauria Assessment Results / Academic Records
- Other existing evidence
- Other Cyclic / Targeted Reviews
- Stakeholder Needs Analysis
- Tauria Personal Development Records
- Tauria Goal Setting and Reflection Activities / Records
- Tauria Self Evaluations
- Pre-course Testing
- Sample tauria work / Portfolios
- Internal Self Audit Checklists
- Graduate Profiles

(4) Internal Monitoring

- Monitoring data / information
- Internal Records

(5) External Reviews / Reports

- NZQA EER
- NZQA Validation Report

(ii) Collection of Data / Information / Evidence

The PTE will put in place a documented, systematic process to collect and collate data, information and evidence of the desired outcomes and taura performance and success, taura perceptions of the PTE and the key processes that impact on the desired outcomes.

The NZQA Key Evaluation Questions and Tertiary Evaluation Indicators will be used as a prompt and focus to guide and inform the collection of data / information and will provide a framework that underpins the whole Self-Assessment process.

The evidence collected will focus on (1) the quality and value of the education provided (2) the value of the desired learner educational and non-educational outcomes (that are important to learners, other stakeholders and the organisation as a whole) (3) the added value to learners (4) other relevant taura success and (5) the key processes and practice that impact / support improved outcomes.

The desired learner outcomes and priority areas will be identified as part of the PTE's Stakeholder Consultation / Engagement process and Stakeholder Needs Assessment/ Analysis.

The quality and value of the desired outcomes will be clearly defined (using the evaluative rubric approach) and this will be used to guide and inform evidence collection, analysis and interpretation.

Self-Assessment will be based on robust, reliable evidence. Raw and aggregated data and other information of taura performance / achievement of outcomes, taura progress and taura / stakeholder perceptions (what they think about the PTE and the quality of the services provided) and employment outcomes will be collected on an on-going basis. The evidence will include hard (quantitative / numerical) and soft (qualitative / narrative) data that shows 'what is' and / or 'what is happening'.

Information is produced when data is collated and structured to provide an overview or meaning. Evidence is produced when data or information is able to be used to support a statement or judgement. It is important that the data and information gathered is valid (i.e. it measures what you are seeking to measure) and is reliable. The validity and reliability of data can be enhanced by collecting data regularly, by using consistent data collection techniques and tools and by using well designed questionnaires / surveys.

Measurable outcomes data will be gathered from a variety of sources and collected using appropriate methods and 'collection tools. See the Self-Assessment Evidence Exemplar for Sources / Types of Self-Assessment Evidence and Collection Tools.

The data, information and evidence collected will be valid, fit for purpose and measure what it is supposed to measure and the collection process will be realistic and manageable. Evidence collection strategies will be specific to the particular stakeholder or learner group.

A balanced mix of quantitative and qualitative data will be collected and collated. Key data will be gathered in two or more different ways and / or from two or more different sources. Quantitative evidence such as numerical hard data will be complemented supported by appropriate and relevant qualitative evidence, such as quoted comments / opinions and written material, oral narratives, the observation of discussions / activities of learners and stakeholders, and real examples and applications of the quantitative evidence. Both formal and informal evidence will be collected.

The tracking of learner and graduate employment, career and personal outcomes will be an important source of self-assessment data and evidence.

Internal monitoring (i.e. regular on-going inspection, checks and tracking of the implementation of policy and practice) will also involve the gathering and recording of data / information on progress and performance within the organisation. This will be an important source of information / data and evidence for Self-Assessment.

Once collected all Self-Assessment evidence will be collated and then checked and critiqued to ensure that it is suitable, relevant, reliable, valid and fit for purpose.

- *Complete the **Self-Assessment Evidence Toolkit (Toolkit 7/T10)** in Section VI to set out the sources and types Self-Assessment evidence.*
- ◆ *Use the **Exemplar information** provided above as a guide to develop “organisation-specific” processes, procedures and practice for the PTE.*

(iii) Analysing & Interpreting Data / Information / Evidence

A systematic approach will be used to examine, process and interpret the performance and achievement data, information and other evidence. The methodology used to analyse the data will be clear, honest, robust and transparent. The data, information and evidence will be examined, processed, analysed and evaluated to identify changes and value added over time, patterns, trends, relationships, themes and linkages.

The patterns, themes and categories of the analysis should emerge out of the data and not be imposed on them prior to the data collection process'. (Patton M.Q. 1990)

Outcome / Performance Measures (and Outcome Indicators) will be used as a guide to objectively measure, assess outcomes, and show change / progress and value added for learners, e.g. Qualification Completion rate is an example of an important outcome measure / indicator that can be used to inform and evaluate a PTE's performance.

Predictive 'Lead' Indicators e.g. Employer / Stakeholder perception of the value or utility of PTE's Courses and Qualifications, rather than just historical 'Lag' Indicators such as Employment Rates will also be used where possible to measure and evaluate performance. The use of Lead Indicators obtained from genuine, valid stakeholder consultation, that uses a positive, proactive, future-focussed approach and is able to make a strong contribution to continuous improvement, will be encouraged.

The PTE's current performance will be cross-referenced and compared internally against the PTE's Annual Targets (see the Annual Operational Plan and **Summary of Outcomes /**

Variance Template (Template 1/T6) and the PTE's historical and baseline performance data, including aggregated achievement data from across all Courses.

Benchmarks will be established for the desired outcomes and used as a yardstick to provide a standard and clear reference point to evaluate and confirm levels of new performance, progress and achievement by the PTE.

Results and performance outcomes will be externally referenced, benchmarked and compared with other similar PTEs offering similar Programmes and National benchmark data. Performance will also be compared against other relevant external reference points, performance measures, statistical indicators or good practice indicators. (See (iv) Self-Assessment Evidence Exemplar for details).

(iv) Self-Assessment Evidence

Stakeholder Needs and Desired Outcomes (for Learners & Employers only)	Examples of Sources / Types of Self-Assessment Evidence and Collection Tools (Quantitative and Qualitative)	Example Outcome / Performance Measures (Of tauira achievement & progress)	Example External / Internal Benchmarks, Reference Points and Comparisons
Employment / Educational Outcomes • Relevant learning, skills, knowledge and abilities • Workplace preparation • Career Dev./ Progression • Gaining Employment / Further Study Pathways • Relevant achievement, credits / qualifications • Learner progress (Added Value) • Employability	• Tauira Enrolment Records (Demographic Info) • Tauira Entry Surveys / Interviews • Other Central database information / Statistics • Tauira Attendance / Retention / Withdrawal records • Tauira Course Achievement / Qualification • Alumni information & on-going Surveying • Internal Monitoring / Internal Records / Reports / Meeting Minutes • Assessment Data / Results / Achievement • Feedback from graduates incl. Group discussion • Tauira Surveys / Questionnaires • Course Evaluations / Exit Interviews & Surveys • Employer / Industry Surveys / feedback • Employment outcomes information / data (tracking) • Career Further Education Progression Information • Graduate Destination Info. / data and evidence • Tauira Focus Groups / Forums • Formative and Summative Assessment	• Tauira Progression • Tauira Retention & Early withdrawal data • Tauira Course Completion rates • Tauira Qualification completion rates • Tauira Performance / Achievement Results • Tauira Experience / Satisfaction Rates • Course Evaluation / Survey Results • Employer Satisfaction or perception results • Employment rates • Tauira Post Course Destination distribution	• External Outcome Indicators • National Benchmark data • Data for other comparable PTEs • Internal Historical data / information / outcomes • Other programme data & aggregate programme data • Other Sector Benchmarks • Other relevant comparisons • Other relevant statistical indicators • PTE baseline data • Organisational Targets • Other relevant key measures of performance • Literacy and numeracy age levels • National employment outcomes and tracking records / data
Personal Development / Outcomes • Meaningful life skills and social & communication skills • Personal and cultural development / growth • Self Esteem / confidence / attitude/ personal well-being • Worthwhile, enjoyable, challenging experience • Achievement of personal goals • Contribution and engagement in course and activities • Self-Management skills • Contribution to community	• Graduate Profiles • Formal Tauira interviews conferencing / feedback / recorded comments • Tutor comments / feedback / records • Pre-course testing (Diagnostic Testing) • Tauira Self Evaluation Records • Tauira Needs Assessment / Analysis Records • Observation of Learners • Tauira Goal Setting and Reflection Records • Informal tauira feedback • Tauira Personal Development Records • Samples of tauira work / Portfolios • Tauira Peer Review Info.	• Improved well-being and enhanced abilities & attributes • Tauira Satisfaction • Tauira Self Evaluation • Literacy & numeracy levels (change) • Achievement of Goals • Achievement & Ass. Info. • Post course Destination • Tauira Personal Statements / Comments • Tauira engagement, motivation & attendance	

SECTION V Self-Assessment and Moderation

Introduction

This provides a practical application and example of the Self-Assessment Practice-based Principles, Self-Assessment Model and Self-Assessment Process outlined in Section III of this Handbook. Key processes, such as Assessment and Moderation that contribute towards important outcomes for stakeholders will be reviewed regularly as part of the PTE's Self-Assessment Programme.

The following information is from Section III of the Assessment and Moderation Handbook.

Contents:

(i) Internal Monitoring (of Assessment and Moderation Management)

- (1) Monitoring of Assessment and Internal Moderation
- (2) Monitoring of External Moderation
- (3) Monitoring of Taura Academic Progress
- (4) Monitoring of Taura Academic Achievement
- (5) Monitoring of External Professional Engagement / Training
- (6) Monitoring of Consent to Assess Status and NZQA Changes
- (7) Monitoring of External Providers
- (8) Monitoring of Assessment Administration

(ii) Internal Evaluation

Evaluation of Assessment and the Quality Assurance Process

- (1) Assessment Material
- (2) Assessment Process
- (3) Participation and Engagement of staff
- (4) External Moderation results
- (5) External Professional Engagement
- (6) NZQA Compliance Audit Reports (if applicable)

(iii) Internal Review (of Assessment and Moderation Management)

- (1) Review of Assessment Process
- (2) Programme / Learning Area Annual Self Review of Assessment
- (3) Independent Assessment Review
- (4) Annual Review of NZQA Systems / Procedures
- (5) Academic Manager Annual Assessment Review
- (6) Cyclic Assessment Reviews

(iv) Planning for Continuous Improvement

(v) Internal Reporting

- (1) Programme / Learning Area Annual Assessment Report
- (2) Academic Manager Annual Assessment Report
- (3) Independent Assessment Review Report (if applicable)

(i) Internal Monitoring (of Assessment and Moderation)

The purpose of Internal Monitoring of Assessment and Moderation is:

- to assist in the supervision, checking and tracking of progress and performance, and consistent implementation of assessment and moderation

- to provide valid evidence, information and data for the Evaluation, Review and Continuous Improvement of Assessment and Moderation Management
- to identify staff non-compliance or partial compliance within the PTE including compliance with NZQA assessment and moderation requirements
- early identification of quality assurance issues, including Assessor understanding of National Standards that require additional guidance and / or professional development
- early identification of problem areas / issues in taura assessment, learning and / or academic progress

Internal Monitoring of Assessment and Moderation is to comprise:

- (1) Monitoring of Assessment and Internal Moderation
- (2) Monitoring of External Moderation
- (3) Monitoring of Taura Academic Progress
- (4) Monitoring of Taura Academic Achievement
- (5) Monitoring of External Professional Engagement / Training
- (6) Monitoring of Consent to Assess Status and NZQA Changes
- (7) Monitoring of External Providers
- (8) Monitoring of Assessment Administration

(1) Monitoring of Assessment and Internal Moderation

The formal monitoring of internal moderation and the consistency, quality and effectiveness of the assessment process is to take the form of:

- Assessors monitor the effectiveness of the assessment process
- Taura Information. The Academic Manager is to monitor Programmes and Assessment information given to taura for all NZQA approved programmes
- Programme Meeting discussion – to be recorded in Programme Meeting Minutes
- Internal Moderation Checklist – these signed checklists, which are completed by Assessor for every internally assessed qualification and stored in the Programme Moderation File, are able to be used by the Academic Manager to monitor staff engagement and compliance with the PTE's Internal Moderation process. In particular, to monitor Assessor use of assessment Exemplars / Benchmarks, assessment interclass consistency strategies, critiquing and review of assessment materials, Post Assessment Moderation and the storage of moderation documentation.
- Programme Retention and Storage of Assessment Information and Internal Moderation Documentation. The Academic is to monitor the maintenance and storage and availability to staff of assessment and moderation documentation.

(2) Monitoring of External Moderation

The Academic Manager will be responsible for monitoring external moderation. The key components of External Moderation Monitoring are:

- Selection of Moderation Material
Assessors are to follow any specific SSB Guidelines for selection of taura work for External Moderation and the process monitored by the Academic Manager.

- **Moderation Reports**
External Moderation Reports and External Moderation results, including the quality of assessment material and Moderator-to-Tutor Agreement Rates for tauira work, are to be closely monitored by the Academic Manager. See Part 3B External Moderation.
- **External Moderation Follow Up**
The Academic Manager is responsible for implementing and monitoring all the necessary follow up to External Moderation. The Programme Meeting Minutes, Assessor Response to External Moderation, and if necessary, the Assessor Self Review of External Moderation and Professional Action Plan / Log are to be used to record and monitor the process.

The Academic Manager will also use the Assessor Response to External Moderation form to monitor Assessor's follow-up to any issues raised in the External Moderation Report.

(3) Monitoring of Tauira Academic Progress

The Academic Manager is to be aware of and monitor overall tauira / class on-going academic achievement and progress and the assessment results being submitted by Assessors.

(4) Monitoring of Tauira Achievement

Final tauira achievement results for the year are to be monitored by Programmes and evaluated for each subject at the beginning of the following year.

(5) Monitoring of External Professional Engagement / Training

Assessors are required to maintain links, contact and involvement with other subject professionals and complete any necessary training / professional development. The Academic Manager must ensure this takes place and will monitor the process using the External Professional Engagement / Training Record Form.

(6) Monitoring of Consent to Assess Status and NZQA Changes

The Academic Manager will monitor and check the on-going Consent to Assess status of Standards offered within the Programme area, in particular new courses and Standards being offered for the first time.

The Academic Manager is to monitor the on-going additional requirements and changes to NZQA policies and procedures, made during the year and planned for the following year.

All NZQA Circulars, NZQA Updates, Qualification information and the NZQA Website is to be monitored by the Academic Manager and staff advised of changes as required.

(7) Monitoring of Assessment Administration

The Academic Manager will monitor the accuracy and completion of Assessor submission of tauira Standard entries and the reporting of results for recording onto the PTEs central system. The Academic Manager will monitor the recording of tauira entries and results on the PTE system and the reporting of this information to NZQA.

(ii) Internal Evaluation

Evaluation involves the collection, analysis and interpretation of data, information and other evidence obtained from the monitoring process, and other sources. Evaluation should focus on outcomes and the key processes that contribute to those outcomes. The evaluation must be based on valid analysis and interpretation of the evidence i.e. qualitative and quantitative data and information. The information must be analysed honestly and transparently. Findings from Evaluation are to be used to carry out an Internal Review of assessment and moderation management. Programmes are required to carry out the Evaluation of:

Assessment and the Assessment and Quality Assurance Process

This involves analysing the effectiveness of the assessment process and results of assessment and moderation, in particular:

- (1) Assessment Material
The quality of the assessment material used in the PTE including the recent trends and patterns revealed by the PTE's external and internal moderation and the validity of assessment material are regarded as key components of quality assessment.
- (2) Assessment Process
Assessors evaluate the effectiveness of the assessment process / strategies.
- (3) Participation and Engagement of staff in the quality assurance process. The evaluation uses information from, Quality Assurance Checklist Forms, staff feedback and Programme Staff Meeting Minutes.
- (4) External Moderation Results
The external moderation results for each Course are reviewed and analysed and benchmarked against the PTE's historical indicators and national indicators and benchmarks.
- (5) External Professional Engagement / Training
The external professional engagement training and professional development of staff is to be analysed and compared with identified needs target and best practice. The External Professional Engagement Sheet records are to be used for this evaluation.
- (6) Internal Moderation System / Process
The effectiveness, efficiency and engagement of staff in the internal moderation system / process will be evaluated.
- (7) NZQA / SSB Compliance / Audit Reports
The NZQA/SSB Compliance Audit Reports and EER (if applicable) are to be analysed.

(iii) Internal Review (of Assessment and Moderation)

Internal Review of Assessment and Moderation involves using the information and evidence obtained from Evaluation and other sources to make evidence-based judgments, form conclusions and make decisions; then identify opportunities and plan for continuous improvement.

The **Internal Review** process will comprise:

- (1) Review of Assessment Process
- (2) Programme Annual Self Review of Assessment
- (3) Independent Assessment Review
- (4) Annual Review of PTE NZQA Systems / Procedures
- (5) Academic Manager Annual Assessment Review
- (6) Cyclic Assessment Reviews

(1) Review of Assessment Process

This involves the on-going Review of the effectiveness of the assessment process and assessment practice by Assessors. Feedback from tauira and other Assessors is to be used to review, identify areas for future refinement and improve the assessment process.

This review is to be carried out by Assessors and at Programme Staff Meetings. Changes and improvement to the Assessment process are to be well recorded and documented.

(2) Programme Annual Self Review of Assessment

Each Programme Area will carry out a Programme Annual Self Review of Assessment management processes, procedures and implementation. A Programme Assessment Report is then to be given to the Academic Manager by each Programme Area. The Programme Annual Self Review of Assessment provides an opportunity for staff to be consulted on matters associated with assessment and moderation within the subject area. A key component of the Programme Annual Self Review of Assessment is the findings from the Internal Evaluation

The Programme Annual Self Review of Assessment and Programme Assessment Report will include consideration of the:

- use of tauira assessment / achievement results (including the Subject Achievement Analysis) to improve tauira achievement, teaching and learning and programme development
- the results achieved and effectiveness of the external providers
- engagement and completion of quality assurance process by Tutors
- the quality of the assessment material used within each Course
- effectiveness and efficiency of the internal moderation system/ processes, moderation policies, procedures and practice including the appropriateness of the current Internal Moderation Model
- completion of actions / key tasks by Assessors – including administration requirements such as tauira entries into Assessment Standards
- evaluation of assessment and moderation outcomes and results data and external moderation subject agreement rates
- effectiveness of the Programme's Areas recording, filing and storage of assessment and moderation information and documentation (including availability to staff)

- any trends, patterns or issues with the quality of assessment within the Programme, that have become evident as a result of external moderation
- the Consent to Assess status of Standards offered by the Programme Area
- any areas requiring further investigation, issues that need to be addressed and opportunities for improvement
- external professional engagement by Assessors with the wider professional community
- changes in NZQA systems / processes and requirements
- identification of staff professional learning requirements / opportunities
- plans for improvement and next steps

- (3) **An Independent Assessment Review** of one or more Programme areas is to be carried out each year if required and recommended by the Academic Manager. The aim of the review is to determine the efficiency and effectiveness of the PTE's assessment quality assurance. An internal Assessment Review Team will comprise a group of teaching staff that will be chaired by the Academic Manager. They will examine a set number of assessment activities, moderation documentation and taura work from each Programme to check for compliance and consistency. An Independent Assessment Review Report is to be produced. The Academic Manager will consider the report and, if necessary, recommend changes to assessment policies and procedures for the following year, to the Review Team.

The Independent Assessment Review Report is to be future focused and concentrate on the next steps in the development and improvement of the PTE's Assessment and Moderation systems, processes and practice.

- (4) **Annual Review of PTE NZQA Systems / Procedures**
At the end of each year the Academic Manager will complete a review of all NZQA's recent changes and proposed changes to requirements, systems and processes.
- (5) **Academic Manager Annual Assessment Review** After receiving the Programme Assessment Reports and analysing the NZQA External Review (if applicable), the Academic Manager will complete a Academic Manager Assessment Review and provide an Annual Assessment Report to the CEO. The effectiveness of the administration of assessment is to be included as part of the Review. If necessary, the Academic Manager will meet with the CEO and senior management to discuss the Report. The Academic Manager will report back to the CEO and Directors on any matters arising for the Annual Review of Assessment and in conjunction with the CEO and Directors, plan future improvement and development of assessment and moderation management within the PTE. The Academic Manager's Assessment Report will be future focused and concentrate on next steps.
- (6) **Cyclic Assessment Reviews** Once every 3 years an Assessment Review Team will carry out a Review of PTE-wide Assessment Policy and Procedures and the conclusions / recommendations included in the Academic Manager's Assessment Report.

(iv) Planning for Continuous Improvement

- (1) The PTE will strive for effective, sustainable, continuous improvement of its assessment and moderation management systems, assessment practice and the quality of assessment within the PTE. The outcomes of the assessment and moderation process and taura achievement results are to be used to inform and guide the continuous improvement of assessor understanding of the National Standard, Moderator performance, assessment design, the assessment processes, and the teaching and learning programmes.

The conclusions / results of Programme Annual Self Review of Assessment, the Academic Manager's Annual Assessment Review, the Independent Assessment Review and the Cyclic Assessment Review (if applicable) are to be used by the Academic Manager and Programme Areas to guide and inform future planning, including staff professional learning. Programme Areas are to use the Evaluation and Review process to plan, improve and develop teaching and learning programmes, inform curriculum review and make decisions about policy and resource use; also, for professional reflection and to set new programme objectives and targets.

- (2) The Academic Manager is to use the information gained from the on-going monitoring of NZQA changes to NZQF rules and procedures and assessment and moderation requirements, to annually update the PTE's Assessment and Moderation Handbook. The Academic Manager will also make the necessary improvements and modifications to the Assessment and Moderation Handbook resulting from the Annual Assessment Review process.
- (3) Programme Annual Plans are to include at least two objectives which are directly related to the development and improvement of Assessment and Moderation Management within the Programme Area. The plan must detail – specific actions required, who is responsible, the resources required and an appropriate timeline for implementation for each objective.
- (4) Improvement Action Plan. Programmes are to use the **Improvement Action Plan (Template 7/T11)** to plan and implement the improvement strategies identified as part of the Internal Review Process.

(v) Internal Reporting

Internal reporting of assessment and moderation management involves the reporting of the analysed evidence, interpretation judgments, conclusions and decisions made as part of the Evaluation and Review process.

Internal Reporting comprises:

- (1) **Programme Annual Assessment Report**
Staff are to be consulted as part of the Programme Annual Self Review of Assessment (see (iii) Annual Self Review of Assessment for details) and a Report given to the Academic Manager by each Programme Area.
- (2) **Academic Manager Annual Assessment Report**
After receiving each Programme's Annual Assessment Report, (and the Independent Assessment Review Report – if applicable) and meeting with each CEO individually, the Academic Manager will provide a written report on Assessment and Moderation to the CEO. The Report is to include information on the follow up of concerns raised in external moderation reports.

The conclusions and recommendations of the 3 yearly cyclic assessment reviews will also be included in the Academic Manager Assessment Report. The Report is to be future focused and concentrate on next steps and used to plan for the continuous improvement of assessment and moderation in the PTE.

(3) Independent Assessment Review Report

If required and recommended by the CEO, a team of CEOs (Independent Assessment Review Team) will carry out a review of a sample of assessments (including taura work and moderation documentation) from one or more Programme Areas. The team will check for compliance and consistency. A report will be produced outlining the findings and any recommendations, including possible changes / improvements to assessment and moderation procedures for the following year. The CEO and the Board of Directors will receive a copy of the report.

SECTION VI Forms, Templates, Toolkits and Checklists

*The **Templates** are 'Operational Templates' to be used by Management and Staff once the PTE is established, as part of the on-going operation and management of the PTE. These templates will be kept as blank templates on file in the Ringa Atawhai administration office, Whangarei.*

*The **Forms and Checklists** are also 'Operational' and are to be used by Management and Staff once the PTE is established, as part of the on-going operation and management of the PTE. A reference to the Forms and Checklists is noted in the text of this Handbook.*

Checklists are used by PTE staff to ensure that specific information and processes are accurate and complete.

Forms are usually completed by taura and used to provide information for the PTE or NZQA.

The following Forms, Templates, Toolkits, Checklists and Examples are included in this Handbook Guide.

- Toolkit 7/T1 Self-Assessment Programme Framework
- Template 7/T2 On-going / Regular Internal Review - Report
- Template 7/T3 Cyclic / Targeted Review - Planning & Implementing
- Template 7/T4 Cyclic / Targeted Review - Summary of Results
- Template 7/T5 Cyclic / Targeted Review - Using Review Findings
- Template 7/T6 Strategic Self Review - Planning & Implementing
- Template 7/T7 Strategic Self Review - Summary of Results
- Template 7/T8 Strategic Self Review - Using Review Findings
- Template 7/T9 Preparing for a NZQA External Evaluation & Review
- Toolkit 7/T10 Self-Assessment Evidence
- Template 7/T11 Improvement Action Plan

Self-Assessment Programme Framework

PTE Self-Assessment Level	Types / Method of Self-Assessment
1. Tauira Level Tauira self-reflection & evaluation	•
2. Tutors / Staff Level Staff self-reflection & review	•
3. Programme Level Programme Area / Teaching Team Self-Review	•
4. Management / Board Level (Organisational Self-Assessment)	•

On-going / Regular Internal Review – Report

Purpose: The purpose of this Report is to document Management and Governance on-going review of the PTE's activities and progress.

For: _____ (name of organisation) For month ending: _____ Date: _____

Prepared by: _____

Key Topics	Situation and/or Progress to date	Findings and Conclusions	Next Step

Cyclic / Targeted Review – Planning & Implementing the Review

For: _____ (name of organisation) For Year ending: _____ Date prepared: _____

Area being reviewed: _____

Evaluative Question (Used for the Review)	Outcome / Performance Measures	Benchmarks / Reference Points	Evaluation		
			Evidence Required	Data / Info Collection Strategies	Analysis Method

Cyclic / Targeted Review - Summary of Results of the Review

For: _____ (name of organisation) For Year ending: _____ Date prepared: _____

Area being reviewed: _____

Key Evaluation Question (Used for the Review)	Outcome / Performance Measures	Benchmarks / Reference Points	Actual Outcome / Results	Self-Assessment - Key Findings and Conclusions

Cyclic / Targeted Review – Using Review Findings to make Improvements

For: _____ (name of organisation) For year ending: _____ Date Prepared: _____

Area being reviewed: _____

Key Evaluation Question (Used for the Review)	Self-Assessment Findings & Conclusions	Self -Assessment Decisions and Recommendations	Use of Self-Assessment findings to improve outcomes for Learners and other Stakeholders. Implications for: Policies, Management, Strategic & Annual Planning, Improvement Action Plans, Resource Allocation, Course Design & Delivery, Teaching Practice, Professional Development	Name of Relevant Policy / Action Plan

Strategic Self Review – Planning & Implementing the Review

For: _____ (name of organisation) For Year ending: _____ Date prepared _____

Desired Outcome (From Annual Operational Plan): _____

Relevant Key Evaluation Question: _____

Target(s) for Desired Outcomes	Outcome / Performance Measures	Benchmarks / Reference Points	Evaluation		
			Evidence Required	Data / Info Collection Strategies	Analysis Method

Strategic Self Review – Summary of Results of the Review

For: _____ (name of organisation) For Year ending: _____ Date prepared: _____

Desired Outcome: _____

Relevant Key Evaluation Question: _____

Target(s) for Desired Outcomes	Outcome / Performance Measures	Benchmarks / Reference Points	Actual Outcome / Results	Self-Assessment - Key Findings and Conclusions

Strategic Self Review – Using Review Findings to make Improvements

For: _____ (name of organisation) For year ending: _____ Date Prepared: _____

Desired Outcome	Self-Assessment Findings and Conclusions	Self-Assessment Decisions and Recommendations	Use of Self-Assessment findings to improve outcomes for Learners and other Stakeholders. Implications for: Policies, Management, Strategic & Annual Planning, Improvement Action Plans, Resource Allocation, Course Design & Delivery, Teaching Practice, Professional Development	Name of Relevant Policy / Action Plan

Preparing for a NZQA External Evaluation & Review

Self-Assessment – What we currently do

For: _____ (name of organisation) Date: _____ Prepared by: _____

Key Evaluation Question	What/How is Evidence Collected	What Measures/Benchmarks are used	How is the information used
(1) How well do learners achieve			
(2) What is the value of outcomes for key stakeholders			

Self-Assessment Evidence

For: _____ (name of organisation) For Year ending: _____ Date prepared: _____

Stakeholder Needs and Desired Outcomes (for Learners and Employers only)	Examples of Sources / Types of Self-Assessment Evidence and Collection Tools (Quantitative and Qualitative)	Example Outcome / Performance Measures	Example External / Internal Benchmarks, Reference Points and Comparisons
<i>What outcomes do stakeholders want?</i>	<i>How do we gather the necessary data / information / evidence?</i>	<i>How do we measure the outcomes?</i>	<i>What do we compare it with?</i>

Improvement Action Plan

Name of PTE: _____ **Date:** _____

Specific Area: _____

Name of Plan: _____

Staff Responsible: _____

Desired Outcomes: _____

(1) Improvement Opportunities / Strategies for Improvement

List the improvement opportunities / strategies for improvement identified for this Improvement Action Plan.

Improvement Opportunities	Strategies for Improvement
	• • •
	• • •
	• • •

(2) Plan of Action (to implement strategies for improvement).

Proposed Action Steps	Review Date	Completion Date
(1)		
(2)		
(3)		
(4)		
(5)		

(3) Resources required: (including time)

(4) Professional Development requirement:

(5) Timing / Duration:

Completion Date: _____

(6) Review

Internal Review to be completed by _____ Review Date _____

Review Comments _____

SECTION VII File Documents

The following documents are filed in the Ringa Atawhai Mātauranga administration office, Whangarei.

- *NZQA – Using Evaluation to Strengthen Organisational Self-Assessment*
- *NZQA – Tertiary Evaluation Indicators / Key Evaluation Questions*
- *NZQA – External Evaluation Rules (2022)*
- *NZQA – Policy and Guidelines for External Reviews*