

## Swinburne University of Technology

### Preparing for the cycle 2 AUQA audit – action plan

#### 1. Overview

Rather than ‘whole of organisation’ audits as in cycle 1, cycle 2 AUQA audits will have a much narrower focus. They will include a review of:

1. progress against the recommendations and commendations included in the cycle 1 AUQA audit report (the report from the 2002 audit in Swinburne's case)
2. changes to the quality system since the cycle 1 audit
3. quality in the context of two negotiated themes

For Swinburne, the cycle 2 audit themes and sub-themes negotiated with AUQA are as follows:

1. **Professional Learning outcomes** – course profile, structure and content - design, development and review; graduate attributes; workplace and real world learning; learning outcomes; assessment design and practice; recognition of qualifications; professional accreditation; employability & career skills; IT and teaching infrastructure support; further study; employment outcomes; TAFE to Higher Education articulation.
2. **Internationalisation** – the teaching and learning experience of international students (undergraduate and postgraduate) in Australia; teaching and learning experience of international students offshore; partner arrangements and campuses; student mobility, study tours and exchanges; internationalisation of the curriculum, overall student experience; international student support systems; supporting diversity, staff professional development; staffing arrangements and exchanges; international partnerships for teaching and research; transnational education, QA and evidence of equivalence

A more comprehensive overview of the AUQA process is available at the SPQ website ([www.swin.edu.au/corporate/spq/AUQA.htm](http://www.swin.edu.au/corporate/spq/AUQA.htm))

#### 2. Managing the AUQA process

Although SPQ will manage the overall cycle 2 AUQA audit process, a substantial amount of work will be required from many areas across the University, particularly within Higher Education. Much of this work will need to be undertaken within tight timelines. Thus, senior management support will be required to ensure that issues arising during preparatory stages are actioned on a timely basis.

**Recommendation 1** *That EG establish an ‘AUQA Steering Committee’, with appropriate senior management representation, to champion cycle 2 AUQA processes at Swinburne. The steering committee would be chaired by the Vice Chancellor.*

**Recommendation 2** *That SPQ develop an issues register to track all issues that arise as part of the AUQA preparation process. The status of this register will form the basis of reports to the AUQA Steering Committee. An example of the **issues register** is included as **attachment 1**.*

#### 3. AUQA preparation plan

Preparation for Swinburne's cycle 2 AUQA audit will be undertaken in four overlapping stages:

**Stage 1** – Self-review: as mandated by AUQA (March 07 – July 07)

**Stage 2** – Actioning of issues arising from the self-review (March 07– Dec 07)

**Stage 3** – Three preparedness audits: two of these will be included within the unit reviews of I&D and the Faculty of Engineering (November 07– March 08).

**Stage 4** – Development of Swinburne's Performance Portfolio, and its subsequent deployment (July 07 – March 08)

An action plan for Stage 1 is provided overleaf and similar action plans for other stages will be developed in June 2007 after the self-review. However, the stages overlap, and plans are in place to address ‘issues’ that have already been identified.

## Stage 1 Action Plan

### Section 1 – Status of outcomes from the cycle 1 AUQA audit

The cycle 2 AUQA audit will check that the recommendations included in Swinburne's Cycle 1 audit report have been implemented – and verify that areas of commendation have been maintained, strengthened and/or shared across the organisation – using a sampling process. The panel will seek evidence that actions arising from the recommendations and commendations have had an impact on organisational performance. The cycle 1 status report is located at:

<http://www.swinburne.edu.au/chance/documents/auqa/AUQAprogrepOct06.pdf>

No.	Comment	Action	Who	When
2.1	AUQA has advised that cycle 1 recommendations and commendations on <i>research training</i> will be included in the sample of recommendations and commendations investigated.	Conduct a self-review (Section 2 describes the self review methodology) of cycle 1 outcomes relating to research training. This self-review must assess the impact that actions based on the cycle 1 report have had on organisational performance.	ORGs & SPQ	June 07
2.2	In negotiating themes for the cycle 2 audit, it became apparent that AUQA is interested in Swinburne's dual sector nature. As a consequence, it is likely that cycle 1 audit outcomes relating to <i>intersectoralism</i> will be included in the sample.	Conduct a self-review of intersectoral outcomes arising from the cycle 1 audit report.	DVC TAFE & SPQ	June 07
2.3	Many outcomes of the cycle 1 audit overlap with the two negotiated themes for the cycle 2 audit. Accordingly, it is important that the self-review of the two theme areas address the recommendations of the first AUQA report.	Identify outcomes from the cycle 1 audit that overlap with the themes for the cycle 2 audit, and ensure that these are addressed as part of the self-review in respect of these themes.	SPQ	April 07
2.4	Some recommendations in the cycle 1 AUQA report relate specifically to Swinburne's <i>quality system</i> . For example, recommendation 4 refers to the need to act on the results of subject evaluation.	Identify outcomes from the cycle 1 audit that have quality system implications, and ensure that these are addressed as part of the review of QA described in Section 3 of this action Plan.	SPQ	April 07
2.5	The panel expects a brief commentary on recommendations and commendations not yet implemented. The panel will also have access to Swinburne's progress report on cycle 1, as well as the Swinburne practices included in the AUQA 'good practices database' ( <a href="http://www.auqa.edu.au/gp/index.php">http://www.auqa.edu.au/gp/index.php</a> )	Audit the actions described in the current cycle 1 progress report, and update the report to reflect the outcomes of the this audit.  Ensure that all references in the AUQA good practice database accurately reflect the current status of these processes within Swinburne	SPQ  SPQ	Nov 07  April 07

## Section 2 – Self-review of audit themes

AUQA expects that Swinburne's cycle 2 portfolio (as provided to the external panel) will be a culmination of a thorough self-review. The AUQA auditors manual states that AUQA auditors read the portfolio to, in part, "... gauge the quality of the self-review and the depth of the analysis". A thorough self-review demonstrates to AUQA that Swinburne has a robust quality system capable of identifying issues that impact organisational performance.

No.	Rationale	Action	Who	When
2.1	<p>As scoped, the cycle 2 themes are broad. So, it will be difficult to conduct a thorough self-review. Also, there are some issues (eg., professional development) common to both themes.</p> <p>The International and Development Division (I&amp;D) is currently undertaking a unit review. The self-review aspect of this unit review will overlap with some of the sub-themes defined in the cycle 2 'Internationalisation' theme.</p>	Review the sub-themes and identify logical groupings ('topics') that will be the basis of the self-review. Where possible, these topics should align with focus areas in the I&D unit review.	DVC HED, PVC I&D & SPQ	April 07
2.2	The literature on self-review suggests that effectiveness requires participation by staff at all levels. This is particularly important when considering the deployment of quality processes.	Identify a leader for each topic (see above) responsible for managing the self-review and recruiting relevant staff to participate.	DVC HED, PVC I&D & SPQ	April 07
2.3	<p>The AUQA manual provides guidelines as to the questions that are appropriate to consider as part of an effective self-review. In addition, the review needs to consider:</p> <ul style="list-style-type: none"> <li>external standards and legislation relevant to the theme (refer to action 4.4)</li> <li>performance against relevant measures (refer to action 4.5)</li> <li>good practices from the AUQA good practices database</li> <li>issues arising from the cycle 1 audit (refer to action 2.3)</li> </ul>	Develop a set of questions to be contextualised to the self-review topics. These questions will be used as the basis of the self-review.	Self-review leader (SRL) & SPQ	May 2007
2.4	<p>The self-review will provide most of the information needed for Swinburne's portfolio. The AUQA manual states that the portfolio should identify strengths and weaknesses, and appropriate actions to address these weaknesses.</p> <p>The intention of the self-review is to identify all issues in relation to the topics being reviewed. This should ensure that there are no surprises when the actual audit is conducted.</p> <p>It is not intended to place all issues identified in the performance portfolio. However, all issues will be documented in an 'issues register', with actions identified and implemented as appropriate. The issues register will be used by Swinburne to demonstrate to AUQA the adequacy of its risk management processes.</p>	<p>Conduct the self-review. SPQ will assist SRLs in this.</p> <p>Review outcomes of the self-review and document good practices/improvement opportunities in the issues register.</p> <p>Disseminate good practices.</p> <p>Set priorities for improvement opportunities and initiate projects to address issues. Issues that have a strategic focus should be included in relevant 2008 strategic plans.</p> <p>Review the outcomes of the self-review and identify additional information required for the portfolio.</p>	<p>SRL</p> <p>SRL</p> <p>SRL &amp; SPQ</p> <p>SRL &amp; SPQ</p> <p>SPQ</p>	<p>May 07 to Jul 07</p> <p>Jul 07</p> <p>Jul 07 to Dec 07</p> <p>Jul 07</p> <p>July 07</p>

### Section 3 – Changes to quality systems

The cycle 2 audit will include a review of the changes made to Swinburne's quality system since the cycle 1 audit. In addition, AUQA will require an overview of all internal and external reviews and audits undertaken since the cycle 1 AUQA audit, as well as details of benchmarking activities and outcomes.

No.	Rationale	Action	Who	When
3.1	AUQA expects a summary of current policy and procedures relating to Swinburne's planning and quality assurance. Many of the policies and procedures in the PPD are not current.	<p>Review the list of policies and procedures relating to quality and planning, and develop a priority list for review and development. The review would include a preliminary gap analysis. <b>A list of relevant policies and procedures is included as attachment 2.</b></p> <p>Note: procedures that relate most directly to the two cycle 2 audit themes will be scheduled for review after the self-review has been completed.</p>	SPQ	May 07
3.2	AUQA requires a summary of audits (internal/external) undertaken since the cycle 1 audit. The panel will also check that the findings of these audits have been actioned.	<p>Identify all relevant audits and ensure that accurate status reports are in place for them.</p> <p>Identify issues that are relevant to the cycle 2 AUQA audit, and document them in the issues register.</p> <p>Check implementation of the action plans developed in response to unit review reports and ensure that they are progressing according to the timelines indicated. This follow-up will also check the impact that unit review outcomes have had on unit performance.</p>	SPQ	Nov 07
3.3	During the cycle 2 audit, the panel will assess staff understanding of quality processes at Swinburne. Unit reviews conducted to date have identified that there is minimal awareness of Swinburne's quality management system. In addition, many staff find it difficult to articulate what is meant by 'quality' at Swinburne	<p>Formalise Swinburne's approach to quality management, and develop an internal marketing campaign to raise staff awareness of this approach.</p> <p>Conduct a self-assessment of quality processes within each Faculty, and use this self-assessment to develop strategies to ensure that there is a shared understanding of quality across each Faculty. This self-assessment would be based on a checklist developed by SPQ.</p>	<p>SPQ</p> <p>Deans</p>	<p>May 07</p> <p>July 07</p>

### Section 3 (cont.)

	Rationale	Action	Who	When
3.4	The cycle 2 AUQA process will emphasise external standards and legislation. There will be particular emphasis on the <i>National Protocols for Higher Education Approval Processes (protocol A)</i> as well on standards relevant to the review themes (such as <i>ESOS</i> and the <i>AVCC code of practice for provision of education to international students</i> ).	<p>Conduct a desktop audit of Swinburne's quality system against the National Protocols. The outcomes will inform the review of relevant policy and procedures (refer to action 3.1).</p> <p>Identify standards that are relevant to the strategic themes, and ensure that the requirements are incorporated into the self-review of the themes (refer to action 2.3)</p>	<p>SPQ</p> <p>SPQ</p>	<p>May 07</p> <p>Apr 07</p>
3.5	<p>AUQA expects Swinburne to describe its approach to benchmarking and, specifically, how benchmarking links to strategic planning. It is also expected that relevant external benchmarks will be included in the self-review of the two cycle 2 audit themes. Again, the panel will assess the impact that benchmarking activities have had on organisational performance.</p> <p>Note that AUQA's use of benchmarks focuses primarily on the use of quantitative measures for external comparison.</p>	<p>Review all benchmarking activities in which Swinburne has participated since the cycle 1 audit, and identify the impact that benchmarking has had on organisational performance.</p> <p>Identify areas for targeted (external and internal) benchmarking, and implement appropriate benchmarking activities.</p> <p>Review targets and outcome measures in Swinburne's high-level strategic plans to ensure that, wherever practicable, the metrics used are those used by other providers nationally and internationally, with consistent definitions.</p> <p>Prepare a report comparing Swinburne's current performance on key measures against that of other Australian and international universities.</p> <p>Improve regular internal performance reporting against agreed performance measures – covering financial performance, strategic theme areas, and goals in the University Plan.</p>	<p>SPQ</p> <p>SPQ</p> <p>SPQ</p> <p>SPQ</p> <p>SPQ</p>	<p>Nov 07</p> <p>Apr 07</p> <p>Nov 07</p> <p>Sep 07</p> <p>Nov 07</p>