



# **Guidelines for Tertiary Education Organisations submitting qualifications for Student Component funding approval from January 2007**

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# Introduction

## **Audience**

These guidelines have been prepared to help Tertiary Education Organisations (TEO's) who are seeking Student Component funding (SCF) for all new or significantly changed qualifications and short awards to complete the new qualifications approval process TECQualCheck.

## **Process overview**

To be eligible for SCF every new or significantly changed qualification, (except those qualifications subject to the Committee on University Academic Programmes (CUAP) approval) must be submitted through the new qualifications approval process (TECQualCheck).

A new or significantly changed qualification includes those where:

- The Tertiary Education Organisation (TEO) intends to deliver the qualification or short award for the first time (and this could include an existing qualification or short award not previously in receipt of Student Component funding (SCF)). OR
- The proposed qualification has gone through a significant change as defined by the New Zealand Qualifications Authority (NZQA) category C and D changes.

If approval has not been given through TECQualCheck the qualification, unless CUAP approved, will not be eligible for SCF.

TECQualCheck assesses:

- the eligibility of qualifications for SCF
- the strategic relevance of the qualification
- alignment with the Tertiary Education Strategy (TES), Statement of Tertiary Education Priorities (STEP), and
- fit with existing provision.

TECQualCheck provides:

- A funding assessment opportunity in the early phase of a qualification's development.
- An assessment method where compliance has been minimised and confidentiality maximised to ensure provider anonymity during the development phase.
- An immediate indication of likely funding approval outcome as early in the development process as possible, prior to quality assurance approval.
- A reduction in duplication of effort by aligning the evidence used to verify the assessment of relevance and the relevant QAB processes.
- A process that facilitates a reduction for the need for qualifications to undergo a TEC evidence based Assessment of Strategic Relevance (ASR). However a provider may opt to select such an assessment if the qualification under development has unique and justifiable variations to the web tool's tolerances for funding approval.

The possible assessment outcomes for qualifications submitted through the tool are:

- ineligible for Student Component funding (SCF)
- relevance demonstrated or
- relevance not yet demonstrated.

## **Background information**

In July 2005 the Minister for Tertiary Education announced a series of changes to improve the quality, relevance, and value for money of certificate and diploma level education. One of these changes directed the TEC to introduce a relevance test for all new qualifications that TEO's are seeking Student Component funding approval. Further to this, in August 2005 the TEC was directed to implement processes for the controls on new provision to be strengthened through, amongst other things, introduction of an earlier relevance test as part of the approvals process for new provision.

By doing this, new qualifications funded by Student Component will provide a strong match between a TEO's provision and the priority outcomes for tertiary education and the expected contribution of tertiary education to the Governments goals as outlined in the TES.

From 2007 TECQualCheck will provide an automated method for the TEC to apply an assessment of relevance to all new and significantly changed qualifications and short awards that TEO's are seeking Student Component funding for.

## Qualification funding approval process

The approval process for new qualifications consists of various stages. These guidelines refer to the TEO's role and actions required throughout the qualification approval process.

Final funding approval by the TEC is dependant on:

- verification of the qualification's strategic relevance
- appropriate Quality Assurance Body (QAB) approval
- TEC approval of any subcontracting arrangements
- a signed attestation stating if the qualification has undergone any changes since the initial automated assessment through TECQualCheck.

Note: when using the tool for the first time TEOs will be required to set up user access for TECQualCheck with their SIA logins. This can be done by accessing [www.steo.govt.nz](http://www.steo.govt.nz) or calling the Tertiary Helpline on 0800 422 599.

The TEO must also complete an attestation form as part of the funding application process (see Stage Five in following table). The table below sets out what is required of the different qualification types and the full process for funding approval.

Stage	Process
<p><u>Stage One</u></p> <p>The TEO enters details of their qualification through the online tool, and "tests" the qualification for relevance and eligibility for funding. This part of the online tool is confidential and can be used to 'test' the qualifications relevance as many times as the provider wishes.</p>	<p>Three outcomes are possible:</p> <ul style="list-style-type: none"> <li>- ineligible for funding</li> <li>- relevance demonstrated or</li> <li>- relevance not yet demonstrated.</li> </ul>

Stage	Process
<p><u>Stage Two</u></p> <p>The TEO submits the application to TEC through TECQualCheck.</p>	<p>Once an outcome of “relevance demonstrated” is received, the TEO can proceed to the second part of the online tool, logging on with their SIA login details, where they are required to answer additional questions and supply further information on the qualification. Once this part is completed the application can be submitted for funding approval.</p> <p>TEO’s can save this section of the application and come back to continue editing it. Once saved, to regain access to the application, the TEO must login via the home page of TECQualCheck:</p> <p><b>Edit an Existing Application</b></p> <p>You must login to edit applications.</p> <p>&gt; <a href="#">Login to system</a></p> <p>This will take the TEO to the SIA login page. After logging in, a page which lists all the TEO’s saved and submitted applications and assessments is accessed. This allows the TEO to access and continue editing any saved applications.</p>
<p><u>Stage Three</u></p> <p>An automatic email report and copy of the submission is sent to the submitting TEO, the TEC and the relevant Quality Assurance Body (QAB).</p>	<p>The TEC verifies the application, checking that the information submitted in the qualification detail section is relevant and meets the TEC’s requirements for funding. If the TEC is not satisfied with the submission, it can, at any stage of the process, advise the TEO that the qualification will not be given funding approval in its current form.</p>
<p><u>Stage Four</u></p> <p>The TEO submits the qualification to their relevant QAB as per the current process for quality assurance (for Institutes of Technology and Polytechnics (ITPs) local qualifications, short awards and degrees and qualifications offered by Private Training Establishments (PTEs), Other Training Education Providers (OTEPs) and Wānanga).</p>	<p>The QAB quality assures the qualification as per its normal process.</p> <p>The TEO can submit the qualification to their relevant QAB, if QAB approval is required, prior to receiving notification from the TEC that the information has been verified, with the understanding that they could be contacted by the TEC to notify them that funding approval will not be given based on the verification of the TECQualCheck submission.</p>
<p><u>Stage Five (a)</u></p> <p>ITPs submitting national qualifications and university’s submitting non-CUAP approved qualifications complete their attestation and send to the TEC any time after submission through TECQualCheck.</p>	<p>The signed attestation indicates if changes have occurred since the original submission through TECQualCheck.</p> <p>The “Certificate of Accuracy and Authority” attestations to be used for these qualifications are:</p> <ul style="list-style-type: none"> <li>- Attestation for University Qualifications, OR</li> <li>- Attestation for ITP National Qualifications.</li> </ul> <p>These can be accessed from the TEC website.</p>

Stage	Process
<p><u>Stage Five (b)</u></p> <p>ITPs submitting local certificate or diploma qualifications, degrees or short awards, and all qualifications submitted by PTEs, OTEPs and Wānanga complete their attestations and send to the TEC once the relevant QAB approval process is completed, along with all other required documentation as in the current funding approval process.</p>	<p>Once quality assurance is given the TEO must submit to the TEC an attestation indicating if any changes have occurred to the qualification during the quality assurance process.</p> <p>The “Certificate of Accuracy and Authority” attestations to be used for these qualifications are:</p> <ul style="list-style-type: none"> <li>- Attestation for ITP Local Qualifications, Degrees and Short Awards, OR</li> <li>- Attestation for PTEs, OTEPs and Wananga.</li> </ul> <p>These can be accessed from the TEC website.</p>
<p><u>Stage Six</u></p> <p>The attestation indicates if any changes have been made to the qualification since the original submission through TECQualCheck.</p>	<p>If no changes have been made the TEC will verify the attestation and the TEO is then able to submit the qualification for funding approval through STEO, as with the pre-2007 process for funding approval.</p> <p>If the attestation states that changes have been made the TEC will discuss these with the TEO. The TEO must resubmit the qualification (by editing the original submission) to determine if the changes impact on the strategic relevance of the qualification. Once the qualification has been re ‘tested’ the qualifications detail section must also be completed with the necessary changes.</p> <ul style="list-style-type: none"> <li>• If the qualification still results in a “relevance demonstrated” the TEO can continue the funding approval process.</li> <li>• If the qualification results in “relevance not yet demonstrated” the TEO can request a full evidence based Assessment of Strategic Relevance (ASR) by the TEC.</li> </ul> <p>The TEC will verify the evidence to support the changes.</p>
<p><u>Stage Seven</u></p> <p>The TEO submits the qualification for funding approval through STEO as is the current process for TEC funding approval.</p>	<p>The qualification can be submitted for finalisation of funding approval through STEO once the attestation has been received and verified or once resubmission through TECQualCheck has demonstrated relevance and has been verified by the TEC.</p> <p>If a paper based ASR is requested, a rating of “strategic relevance” must be achieved before the qualification can be submitted for final funding approval through STEO.</p>
<p><u>Stage Eight</u></p> <p>The TEC verifies any subcontracting arrangement and that the qualification has demonstrated relevance.</p>	<p>If a subcontracting arrangement was indicated in the application this must be approved by the TEC before the qualification is approved for funding.</p>
<p><u>Stage Nine</u></p> <p>Final funding approval is carried out.</p>	<p>This process is the same as the current process carried out in STEO (refer <a href="http://www.steo.govt.nz">www.steo.govt.nz</a>).</p>

## Timeline

Action	Responsibility	Timing
The TEO enters their qualification through TECQualCheck.	TEO	Ongoing from Jan 15 <sup>th</sup> 2007.
Full evidence ASR completed if necessary.	TEO/TEC	TEC to complete assessment maximum 1 month after TEOs have submitted the ASR.
Once a qualification has received a "relevance demonstrated" and the qualifications detail section is completed and submitted, an automatic email is sent to the TEC and QAB where appropriate.	TECQualCheck	Automatic.
The TEC verifies the TEO's submission.	TEC	Once the electronic report is received and before the TEO submits the attestation.
TEO submits qualifications where appropriate to their relevant QAB as per the current process for quality assurance.	TEO/QAB	As per existing QAB process.
The QAB assesses the qualification for quality assurance where appropriate.	QAB	As per existing QAB process.
For those qualifications assured by a QAB - the TEO submits a signed attestation "Certificate of Accuracy and Authority" to the TEC indicating any changes that may have occurred during the quality assurance process. For national qualifications delivered by ITPs and university qualifications not subject to CUAP approval - the TEO submits a signed attestation "Certificate of Accuracy and Authority" indicating any changes through development that are different to that originally submitted.	TEO/TEC	At the discretion of TEO.  The TEC will verify and contact TEO within 2 weeks of receipt of the attestation.
If the TEO has indicated changes have occurred they must resubmit the qualification through the online tool.	TEO	At the discretion of TEO.
The TEC verifies the resubmitted qualification.	TEC	Before final submission for funding by STEO.
If the qualification does not demonstrate relevance after resubmission an ASR can be requested and the qualification will be assessed.	TEO/TEC	TEC to complete assessment maximum 1 month after TEO submit for an ASR.
If the qualification is deemed relevant the TEO submits the qualification for funding approval through STEO after written confirmation from the TEC.	TEO	Business as usual timeframes.
The TEC verifies the subcontracting arrangement if appropriate.	TEC	Complete maximum 1 month after submission in STEO.
Final funding approval is carried out.	TEC	As per existing TEC process.

## Appendix 1 - Questions that require further information

Once a qualification has received a “relevance demonstrated” result, the TEO can choose to submit the qualification by logging into the qualification detail section of TECQualCheck using their SIA login. This qualification detail section will bring up any or all of the questions listed below depending on the answers selected in the questionnaire section of the test. All TEO’s will be required to provide the title of the qualification, the delivery site, and an entry for questions 2.1, 2.6, 3.1 and 3.2.

In all cases the TEC does not require, or wish for, lengthy statements in answer to the questions. A suggested length is 2 paragraphs per question, which should include specific references and information that clearly support answers given in Part One of TECQualCheck

Hard copy evidence should not be sent in unless specifically asked for by the TEC. If you have any questions at any stage please contact the TEC.

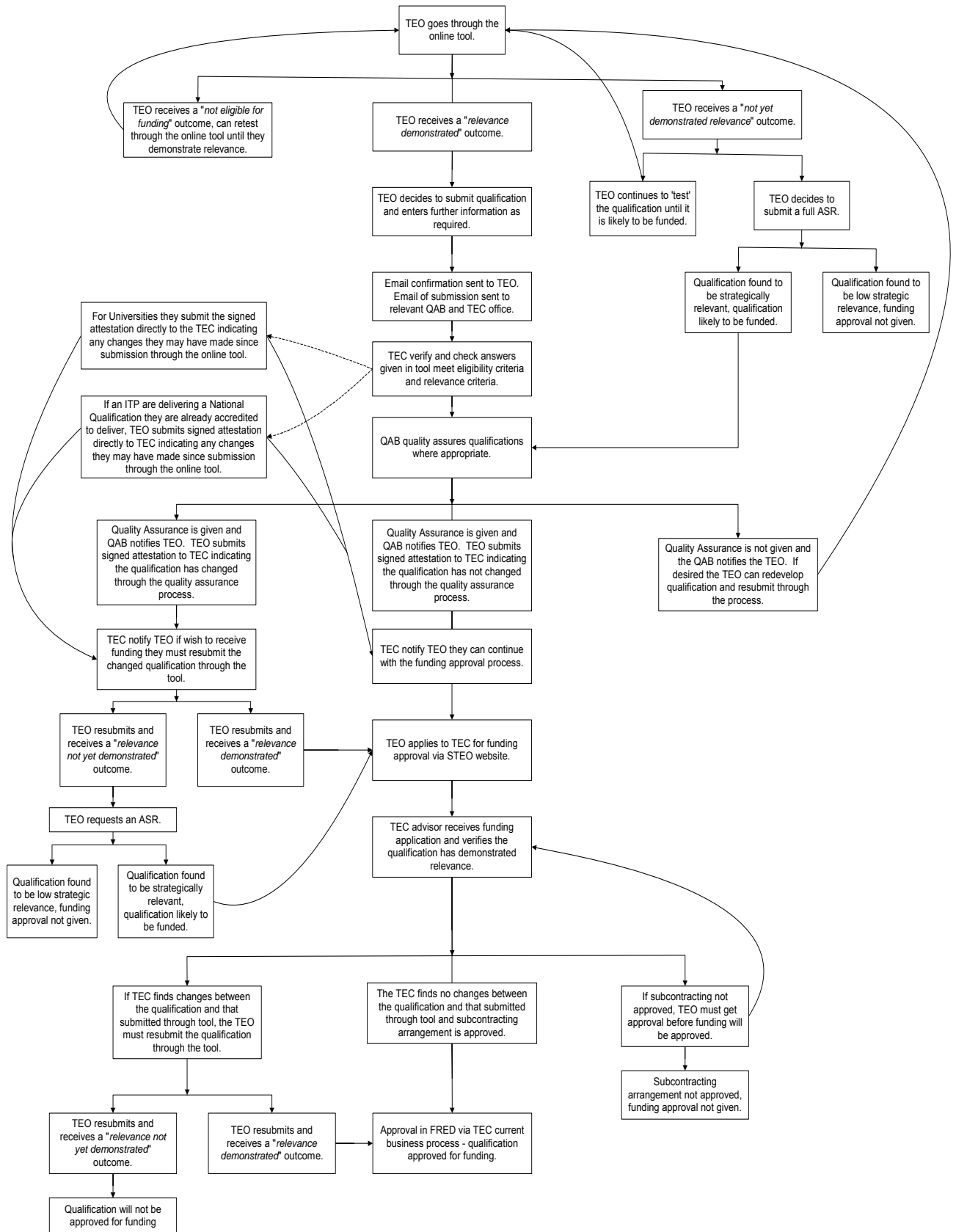
QUESTIONS	INFORMATION REQUIRED
<b>Title of proposed qualification:</b>	Full title of qualification.
<b>NZQA accredited delivery site of proposed qualification:</b>	<p>If one submission is being made for a qualification that is going to be delivered at several sites in a region, please list all delivery sites.</p> <p>If a qualification is to be delivered in more than one region a submission must be made through TECQualCheck for the qualification in each region – each submission should list delivery sites within the region.</p>
<b>Qualification Outcome:</b>	What the qualification will deliver – the wording could/should be similar to that used for applications for quality assurance.
<b>TEC Region:</b>	This question asks you to select your TEC Region. PTEs should select their Area Office. ITPs, Wananga and Universities should select the National Office. The question is not about the region of delivery, but to ensure the correct assessor at the TEC will get your application.
<p><b>Question 1.3 (A):</b>  <b>Has this qualification, or any part of this qualification, either as a standalone course or qualification or as part of another qualification been assessed as Low Relevance at any stage?</b></p> <p>You answered that this qualification or any part of this qualification, either as a standalone course or qualification or as part of another qualification or short award, has been previously assessed as low relevance. Please tell us how you have amended this qualification to be relevant.</p>	The TEC is looking for evidence that the TEO has addressed the reasons why the qualification (or part of the qualification) was previously found to have low strategic relevance.

QUESTIONS	INFORMATION REQUIRED
<p><b>Question 1.3 (B):</b>  <b>Has this qualification or any part of this qualification previously been delivered as a short award?</b></p> <p>You answered that this qualification or any part of this qualification has previously been delivered as a short award, please tell us why this short award is being integrated into a full qualification.</p>	<p>The TEC is looking for evidence that the content of the short award is relevant to the umbrella qualification.</p>
<p><b>Question 1.3 (C):</b>  <b>Has this qualification or any part of this qualification, either as a standalone course or as part of another qualification previously been delivered at a higher level?</b></p> <p>You answered that this qualification or any part of this qualification, either as a standalone course or as part of another qualification was previously delivered at a higher level. Please tell us why the level of the qualification has changed.</p>	<p>The TEC is looking for evidence that the qualification will succeed at a lower level (e.g. completion rates are likely to improve) and that there is a need for the qualification at that level.</p>
<p><b>Question 2.1</b>  <b>What needs are you developing this qualification to meet?</b></p> <ul style="list-style-type: none"> <li>- To enable learners to engage and achieve in tertiary education.</li> <li>- To advance social, cultural and intellectual development and environmental sustainability.</li> <li>- To contribute to Māori development and advancement goals.</li> <li>- To contribute to the development aspirations of Pacific peoples.</li> <li>- To contribute to economic growth and development.</li> </ul> <p>You indicated that the needs you were developing this qualification to meet were:  List needs.  Please specify how the qualification will meet these needs.</p>	<p>The TEC is looking for evidence that stakeholder engagement has identified that there is a need in the region for this qualification.</p>
<p><b>Question 2.3</b>  <b>Are there currently national qualifications similar to this programme on the National Qualifications Framework (NQF)?</b></p> <p>You answered that there were similar national qualifications to the qualification you are proposing to offer. Please specify your reasons for not offering a course leading to this qualification or its components.</p>	<p>The government, has in the Tertiary Education Strategy, indicated that it sees as a priority “increased take-up of national and industry qualifications, rather than local certificates and diplomas and evidence of greater employer engagement in qualification design”. If a local qualification is to be offered when a similar national qualification exists the TEO must provide evidence that the local qualification rather than the national qualification is relevant and meets the needs of the stakeholder.</p>

QUESTIONS	INFORMATION REQUIRED
<p><b>Question 2.6</b>  <b>Will any component of the qualification be delivered by:</b></p> <ul style="list-style-type: none"> <li>- Face to face learning</li> <li>- Self-directed learning</li> <li>- Work Place learning</li> <li>- Online learning</li> </ul> <p>Please identify how the qualifications delivery will be composed based on the components you identified.  List components.</p>	<p>The TEC requires evidence of the appropriateness of the delivery methods. This is because any change in delivery method is considered a “significant change” and can affect funding approval. The TEO is required to have assessment processes in place to monitor the appropriateness of the delivery for that qualification.</p>
<p><b>Question 2.9</b>  <b>Is there existing provision of this type within your region of delivery?</b></p> <p>You have answered that there is already existing provision within your region of delivery of the type you are proposing. Please identify how your qualification differs to those already offered and indicate if you have had discussions with current providers.</p>	<p>The TEO must explain how the qualification differs from those already available as the TEC is unlikely to fund new qualifications that duplicate current provision. For example if the new qualification is on campus while other similar provision is online, or if there are different aspects to the qualification or different courses included in the qualification.</p>
<p><b>Question 3.1</b>  <b>This section considers how your qualification aligns with the Tertiary Education Strategy (TES) Outcomes. Please indicate which of the objectives your qualification aligns with and how:</b></p> <ul style="list-style-type: none"> <li>- Success for all New Zealanders through lifelong learning.</li> <li>- Creating and applying knowledge to drive innovation.</li> <li>- Strong connections between tertiary education organisations and the communities they serve.</li> </ul> <p>You indicated that the TES Outcomes your qualification aligns with are:  List Outcomes.  Please specify how the qualification aligns with these Outcomes.</p>	<p>The TES outlines how the tertiary education sector is expected to contribute to the Government’s goals for New Zealand. The TEC is looking for how the qualification in its development has been aligned to the TES.</p>

QUESTIONS	INFORMATION REQUIRED
<p><b>Question 3.2</b>  <b>This section considers how your qualification aligns with the Statement of Tertiary Education Priorities (STEP), please indicate which of the priorities your qualification aligns with and how:</b></p> <ul style="list-style-type: none"> <li>- <b>Increasing educational success for young New Zealanders – more achieving qualifications at level four and above by age 25.</b></li> <li>- <b>Increasing literacy, numeracy and language levels for the workforce.</b></li> <li>- <b>Increasing the achievement of advanced trade, technical and professional qualifications to meet regional and national industry needs.</b></li> <li>- <b>Improving research connections and linkages to create economic opportunities.</b></li> </ul> <p>You indicated that the STEP Priorities your qualification aligns with are:  List Priorities.  Please specify how the qualification aligns with these Priorities.</p>	<p>The TEC is looking for how the qualification aligns, and evidence that the TEO has taken the STEP into account when developing the qualification.</p>

## Appendix 2 - Qualification approval for new qualifications



## Appendix 3 - Qualification approval for new qualifications

The definition of a significant change is that of the New Zealand Qualifications Authority (NZQA), any Category C or D change that requires the qualification to be submitted to the relevant QAB for quality assurance approval. Any of these changes that require resubmission to the relevant QAB must be submitted through the new TECQualCheck funding approval process.

These categories include the following changes:

### **Category C: Course changes requiring evaluation by the Qualifications Authority**

- Change of title
- Minor changes to the structure of a course
- Significant changes to the structure of a course
- Introduction of mid-course exit qualifications
- Changes to regulations concerning entry requirements and cross-crediting arrangements
- Changes to the level or credits of the course or its associated qualification(s)
- Changes to the course outcome statement
- Introduction of a new delivery mode (e.g. shift from face-to-face to distance delivery)
- Introduction of a new delivery site
- Introduction of a new major.

(NB The Qualifications Authority evaluation will include consultation with the Monitor and relevant stakeholders, and may include a visit to the provider/new site.)

### **Category D: Course changes requiring evaluation by an external panel and approval by the Qualifications Authority Board (Category D changes refer only to Degrees)**

- Introduction of a new delivery mode (e.g. shift from face-to-face to distance delivery)
- Significant changes to the structure of a course
- Introduction of a new delivery site
- Introduction of a new major

(NB It is envisaged that the designation of a new major based primarily on a combination of modules which have already been delivered as part of the course for at least two years would not normally require a panel meeting.)