The New Zealand Tertiary Sector Capability Framework

Stephen Marshall, Victoria University of Wellington
Introductions

Dr Stephen Marshall
Senior Lecturer
Victoria University of Wellington
Stephen.Marshall@vuw.ac.nz

External Expert Reference Group

Professor Sally Kift
Deputy Vice-Chancellor (Academic)
James Cook University

Professor Ulf-Daniel Ehlers
Vice-president Quality and Academic Affairs
Baden-Wurttemberg Cooperative State University

Emeritus Professor Geoff Scott
University of Western Sydney
Overview of the Framework Project

Ministerial objective for TEC:
“supporting a self-improving, self-correcting tertiary system that responds and adapts to the changing needs of learners and employers”

Project Goal:
Create a framework focused on holistic improvement of TEO capability:

• Support TEO-led capability improvement investments by TEC ➔ Effective systems for learning and teaching within TEOs

• Enable a diversity of responses by TEC to diverse TEO capabilities ➔ Diversified and coordinated network of TEOs

• Support greater agility and responsiveness by enabling high-capability TEOs to operate with greater latitude ➔ Responsive, agile and flexible models of education operated by TEOs
Capability ≠ Quality
Forces acting on tertiary education

• Demographic and political changes driving the **scale and scope of tertiary education**, including increasing globalisation in all forms of commerce encompassing the movement of people and ideas, specifically in this case education;

• **Internal and external stakeholder influences**. Many, varied and often in conflict with each other, these are changing as the place of tertiary education in society evolves;

• **Financial challenges and constraints** both in terms of access to resources but also the diversity of the sources of revenue and the changing role of Government and its positioning of public funding, for organisations and also for individuals;

• The perception of the value of the resulting **qualifications** and the role that reputation and models of quality play in shaping the nature of tertiary education;

• **Technological innovation** both of pedagogy but also of the organisation itself. The challenge of understanding the contribution that technologies can make and realising those opportunities in a complex organisation
A Healthy Tertiary Education System

• valued for intrinsic contributions to knowledge and extrinsic impact on broader social, economic and political goals;
• goals determined by internal and external stakeholders;
• public and private purposes and benefits of education balanced;
• balance between individual institution interests and autonomy and the system as a whole;
• status or resourcing differentials applied on objective basis;
• student population is broadly representative;
• sufficient funding from a diverse range of sources;
• regulation supports outcomes important for external and internal stakeholders;

• **sufficient diversity of provision to enable the system to respond effectively to new demands and learning opportunities.**

N.B. Features relevant to tertiary selected from wider set
“Technology will continue to evolve, creating the need for new types of skills and the potential for diverse new models of tertiary education. The uncertainty around what the next development will be, and how it might affect education, makes system settings that allow flexibility and responsiveness particularly important:

The effectiveness of a tertiary education system may be measured by its ability to meet and resolve rapidly, and constantly changing, economic and demographic drivers. This requires a system that is agile and responsive, and high professional standards and ethical dispositions from those operating within it. (WelTec & Whitireia, sub. 59, p. 2)

Change is inevitable, but predicting how future trends will influence tertiary education is hard. Under current settings, the system has little or no ability to adapt spontaneously to such change. It falls to government to accurately predict these trends so that it can adjust its purchasing correctly and ensure its rigid regulatory controls are appropriate for changing times. This places a heavy responsibility on government to correctly predict the future and make timely anticipatory changes to policy – in the Commission’s view, a near impossible task.

A better approach would be to allow providers to pursue different strategies, differentiate themselves, and adopt a wider range of new models. This would make the system more flexible, responsive, and resilient in the face of external shocks.”

http://www.productivity.govt.nz/sites/default/files/New%20models%20of%20tertiary%20education%20FINAL.pdf
Capability Benefits

High capability organizations have demonstrated the necessary characteristics to allow the TEC and other agencies to have a high degree of confidence that the organization can operate with a high level of autonomy. High capability organizations are trusted to manage the risks of new models of delivery or forms of provision and supported practically in their initiatives.

Focus is on the conversations between the TEC and TEOs

not accountability for capability, qualifications, outcomes, but on improvement of capability, qualifications, outcomes
Focus is on the sector rather than just individual TEOs

**Capability Framework**

**Poor Capability:**
- TEC Focus on Accountability & Remediation

**Moderate Capability:**
- TEC Focus on Capability Improvement
  - How can TEC work with the TEO as part of the investment planning process to support capability improvement activities initiated by the TEO?

**High Capability:**
- TEC Focus on Support for TEO-led Initiatives
  - How can TEC work with the TEO as part of the investment planning process to support projects that increase the capability and impact of the sector in new and potentially risky ways?
Capability Dimensions

Holistic Maturity

- Defined
- Repeatable
- Ad-Hoc

Context

- Framing
- Planning

Input

- Optimizing

Process

Output

- Monitoring

Feedback

CIPOF Framework:

This work is licensed under a Creative Commons Attribution 4.0 International License.
Capability Focus

Governance
Stakeholder engagement
Infrastructure
Support for students
Support for staff as teachers

Delivery | Planning | Framing | Monitoring | Optimisation
### Framework Example: Stakeholder Engagement

<table>
<thead>
<tr>
<th>S.1. Key stakeholders are active partners in TEO governance.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>S.1.1.</strong> Delivery</td>
</tr>
<tr>
<td><strong>S.1.2.</strong> Planning</td>
</tr>
<tr>
<td><strong>S.1.3.</strong> Framing</td>
</tr>
<tr>
<td><strong>S.1.4.</strong> Monitoring</td>
</tr>
<tr>
<td><strong>S.1.5.</strong> Monitoring</td>
</tr>
<tr>
<td><strong>S.1.6.</strong> Optimising</td>
</tr>
</tbody>
</table>
**Framework Example: Stakeholder Engagement**

<table>
<thead>
<tr>
<th>S.1.1.</th>
<th>Delivery</th>
<th>TEO governance groups routinely incorporate key stakeholders in the governance of educational activities.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>This focus statement is looking for evidence that employers are involved in the regular qualification and programme level operational governance activities of the TEO that support the delivery and management of these activities. Examples include delivery of programmes in full partnership with an employer group; the operation of an external reference or steering group that comments on changes and reviews the outcomes being achieved from their perspective; participation by employer representatives in the formal sign-off of course changes; and/or involvement in major programme and qualification reviews. Evidence for this statement should particularly reflect the inputs used to support engagement with employers, including demonstrating the alignment to specific requirements of key employer groups.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No evidence of employer involvement in the governance processes of the TEO’s qualifications and other educational activities. Not Adequate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employer involvement in the governance processes of the TEO’s qualifications and other educational activities limited to a few courses in specific areas, or only as limited consultation during major programme and qualification reviews. Partly Adequate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employers have some form of governance involvement in the majority of the TEO’s qualifications and other educational activities. Exact extent of involvement varies across qualifications and in many cases is handled informally as needed. Largely Adequate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employers are formally and systematically involved in the governance processes of the TEO’s qualifications and other educational activities. Fully Adequate</td>
</tr>
</tbody>
</table>
Change Leadership

• How do we enable change leadership within TEOs?
  • Distributed and collaborative leadership able to influence, shape and sustain change

• Insights from Scott (2016)
  • Give more direct focus to capacity-building on effective change leadership
  • Alert all staff to the key lessons on effective change implementation
  • Focus on a small number of priorities for action.
  • Recognise that change is not an event but a complex (social) learning and unlearning process for all concerned.
  • Concentrate on building a ‘why don’t we’ not a ‘why don’t you’ culture.
  • Advocate for system alignment, and note the positive benefits of doing so.

“The answer to large-scale reform is not to try to emulate the characteristics of the minority who are getting somewhere under present conditions ... Rather, we must change existing conditions so that it is normal and possible for a majority of people to move forward”

(Fullan, 2001, p268)