

HE Policy Audit Toolkit

Supporting New Zealand Tertiary
Education Organisations



Purpose of the Toolkit

Empowering Tertiary Education Organisations to achieve excellence in policy management, regulatory compliance, and continuous quality improvement.

The HE Policy Audit Toolkit enables TEOs to systematically audit their policy suite across five critical dimensions: currency, control, implementation, evidence, and regulatory alignment.

- It supports essential institutional functions including self-assurance, governance reporting, NZQA engagement, programme approval, learner wellbeing, assessment quality, and continuous improvement.
- Designed for quality teams, governance bodies, and institutional leaders seeking robust quality assurance frameworks.



Regulatory Alignment

The HE Policy Audit Toolkit is anchored in New Zealand's key regulatory frameworks governing tertiary education quality assurance. Understanding these frameworks ensures your policy suite meets compliance requirements and supports continuous improvement.

- **NZQA iQAF: Provider ownership of quality, improvement, verification, assurance**
- **Quality Assurance of TEP Rules 2026: Registration, accreditation, monitoring**
- **Education and Training Act 2020: Provider obligations and governance**
- **Education Code of Practice 2021: Learner wellbeing and international student obligations**
- **NZQF/NZQCF: Qualification standards and coherence**
- **TEC Requirements: Funding and performance monitoring (where applicable)**
- **Privacy Act 2020: Data protection and student records**
- **Health and Safety at Work Act 2015: Safe learning environments**

Alignment with these frameworks demonstrates institutional commitment to quality, supports NZQA engagement, and provides assurance to governance bodies and learners alike.



Audit Method Overview

The RAG rating system provides a clear, evidence-based framework for assessing policy compliance and implementation across your organisation. This includes:

● Strong Rating

Policy is current, formally approved by governance, actively implemented across the organisation, regularly monitored, and supported by clear documented evidence.

● Partial Rating

Policy exists but requires updating, has gaps in approval or implementation, needs clearer evidence of effectiveness, or requires stronger governance oversight.

● Weak Rating

Policy is missing, significantly outdated, not formally approved, lacks implementation evidence, or has no documented monitoring in place.

Based solely on submitted evidence with no assumptions. Supports institutional self-assurance and governance decision-making for continuous quality improvement.

Seven Policy Audit Evidence Folders

The HE Policy Audit Toolkit organises evidence into seven key folders, each targeting critical areas of tertiary education quality assurance and regulatory compliance:



Governance, Registration & Institutional Quality

Governance charter, delegations, risk management, compliance frameworks, quality assurance policies, and business continuity planning.

Assessment, Moderation & Achievement

Assessment validity, moderation processes, learner progression, RPL, appeals procedures, and achievement monitoring systems.

Programme Approval & Change Control

Programme development, NZQF alignment, assessment design, moderation, industry engagement, and academic integrity policies.

NZQA Engagement & Continuous Improvement

Self-review cycles, audit readiness, evidence management, corrective actions, and governance reporting frameworks.

Folder 1 – Governance, Registration and Institutional Quality

This folder covers the foundational policies that establish institutional governance, regulatory compliance, and quality assurance frameworks. Key policies include Governance Charter, Delegations of Authority, Conflict of Interest, Risk Management, Compliance Framework, Quality Assurance Framework, Continuous Improvement, Policy Development, Business Continuity, and Financial Viability.

Clear separation of governance and management roles

Policy approval processes and currency verification

Risk and compliance reporting to governance

Evidence of policy implementation and monitoring

Evidence examples include approved policies with version control, governance meeting minutes, risk registers, compliance registers, delegation schedules, and quality assurance documentation demonstrating implementation.



Folder 2 – Programme Approval, Accreditation and Change Control

This folder addresses the policies and evidence required to demonstrate robust programme development, approval processes, and change management. Key policies include Programme Development, Review, Assessment Design, Moderation, and Change Control procedures that ensure alignment with NZQF requirements and learner needs.

NZQF Alignment: Are programmes mapped to qualification levels and graduate outcomes?

Stakeholder Consultation: Is there documented expert and industry engagement?

Controlled Changes: Are programme modifications tracked and approved?

Assessment Quality: Do assessments align with stated learning outcomes?

Evidence examples include approved programme documents, NZQF level mapping documentation, moderation reports, stakeholder consultation records, and academic committee approval minutes demonstrating controlled change processes.



Folder 3 – Assessment, Moderation and Learner Achievement

This folder examines policies ensuring valid, reliable, and fair assessment practices. Key policies include Assessment, Moderation and Validation, Academic Integrity, Student Progression, At Risk/Early Intervention, Recognition of Prior Learning (RPL), Appeals, and Achievement Monitoring. The audit evaluates how these policies support learner success and regulatory compliance.

- Are assessments valid, reliable, and fair for all learners?**
- Are moderation processes systematic and documented?**
- How are learner outcomes monitored and reported?**
- Is academic integrity tracked with clear consequences?**

Evidence examples include assessment samples with marking guides, moderation reports, learner progression dashboards, academic misconduct records, RPL applications, and appeals documentation demonstrating fair and consistent processes.



Folder 4 – NZQA Engagement, Self-Review and Continuous Improvement

This folder focuses on policies that ensure ongoing quality assurance through systematic self-review, proactive NZQA engagement, and evidence-based continuous improvement. Key policies include Self-Review, NZQA Engagement, Audit Readiness, Data Governance, and Corrective Action frameworks.

Annual self-review cycles documented and reported to governance

NZQA communication and engagement systematically tracked

Findings converted into actionable improvement plans

Evidence control and retention processes established

Evidence examples: Self-review reports, NZQA correspondence logs, audit readiness checklists, corrective action registers, evidence management systems, and governance reporting documentation.



Folder 5 – Learner Wellbeing, Safety and Code of Practice

This folder addresses policies ensuring learner safety, wellbeing, and compliance with the Education Code of Practice 2021. Key policies include Learner Wellbeing, Code Compliance, Complaints, Critical Incident Management, Student Voice, and Health and Safety frameworks.

**Is the Code embedded in governance and daily operations?
How are complaints and incidents monitored and resolved?
Are learners informed of their rights and support services?
How is student voice integrated into quality improvement?**

Evidence requirements include Code of Practice self-review documentation, complaints registers with resolution tracking, support service utilisation data, student advisory committee minutes, and incident response records.



Folder 6 – Data, Records, Privacy and Digital Systems

This folder addresses the critical infrastructure supporting institutional quality assurance: data governance, privacy protection, records management, and digital systems. Policies ensure accuracy, security, and compliance with the Privacy Act 2020 while enabling effective governance reporting and evidence retention for NZQA engagement.

Key Policies: Data Governance, Privacy, Records Management, Info Security, LMS/SIS Policies, Evidence Retention

Audit Focus: Accuracy and security of student records

Privacy Integration: Privacy embedded in systems and processes

Evidence Controls: Governance dashboards and retention protocols

Evidence examples include data dictionaries, privacy impact assessments, privacy notices, system access logs, records retention schedules, and governance dashboard screenshots demonstrating data integrity controls.



Folder 7 – Māori Success, Pacific Success and Equity

This folder addresses policies supporting equitable outcomes for Māori and Pacific learners, honouring Te Tiriti o Waitangi commitments and ensuring inclusive practices across the organisation. Key audit focus areas include monitoring and reporting achievement outcomes, embedding equity actions in governance, and integrating community voice.

Te Tiriti o Waitangi/Māori Success Policy
Pacific Learner Success Policy
Equity and Inclusion Framework
Accessibility and Achievement Monitoring

Evidence examples include learner success data disaggregated by ethnicity, equity action plans with measurable targets, community engagement records, and accessibility audit reports demonstrating inclusive practice.



PRP-Ready AI Audit Prompt

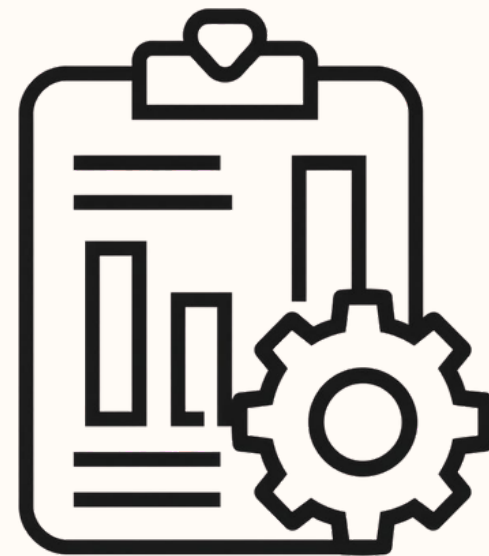
AI-assisted audits support governance decision-making and continuous improvement by analysing policies against NZQA iQAF and regulatory requirements.

The AI audit prompt enables systematic policy evaluation through:



Evidence-Based Analysis

Conduct policy audits based on submitted evidence against NZQA and regulatory frameworks. Emphasises evidence-only basis with no assumptions or legal advice provided.



Structured Output Delivery

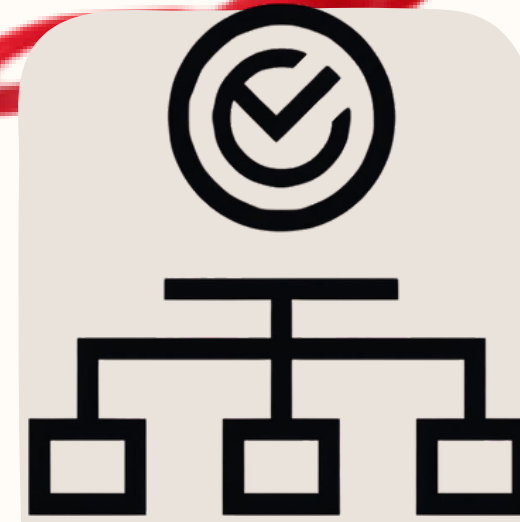
Identify strengths, gaps, improvement actions, risk ratings, and governance roles to support decision-making.



Governance and Reporting Implications

Governance bodies oversee policy approval, review and monitoring. Committees receive audit reports and corrective action plans for informed decision-making.

Supports NZQA engagement, programme approval, learner wellbeing assurance, and enables continuous quality improvement and regulatory compliance.



Policy Oversight



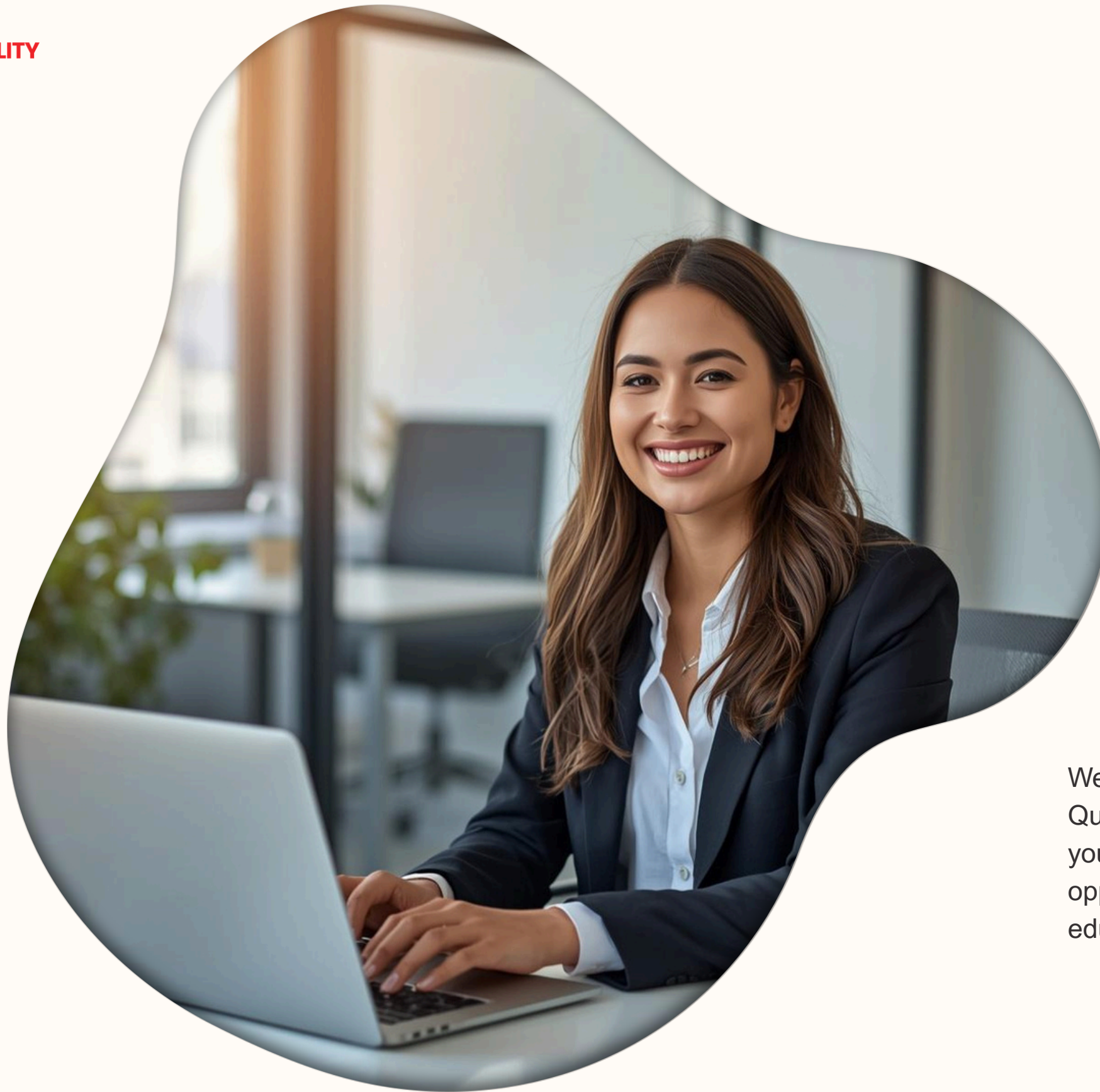
NZQA
Engagement



Audit Reporting



Quality
Improvement



Contact us

Important Disclaimer: This audit toolkit is designed to support institutional self-assurance and internal quality review processes only. It does not constitute legal advice, regulatory compliance certification, or definitive assurance of meeting NZQA or other regulatory requirements. Organisations should seek independent review by governance bodies, legal counsel, or external quality assurance experts as appropriate.

We appreciate your engagement with the HE Policy Audit Toolkit for the PRP Quality Platform. For questions, feedback, or to discuss how this toolkit can support your organisation's quality assurance journey, please reach out. We welcome the opportunity to support New Zealand TEOs in achieving excellence in tertiary education quality.

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