

Tertiary Education Commission
Follow-up Audit Report

Western Institute of Technology at Taranaki
Student Achievement Component Funding

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1 Purpose

The purpose of the audit was to provide assurance that Western Institute of Technology at Taranaki (WITT) is meeting the Investment Plan Funding Conditions as referred to in the Tertiary Education Commission (TEC) letter of approval dated 20 December 2013. The letter included approval for Student Achievement Component (SAC) funding of \$13,350,163.

2 Scope

The aim of the audit was to primarily follow-up significant issues identified during the initial investigation where evidence was found of poor systems and controls in relation to the Māori Performing Arts programmes (Levels 4 and 6).

Further investigation was required to determine whether this lack of systems and controls applied:

- only to the Māori Performing Arts programmes (Levels 4 and 6)
- more widely across the faculty: or
- across Western Institute of Technology's provision.

The follow-up audit reviewed four programmes from within Humanities Faculty and a programme from within Hospitality. The programmes to be reviewed included:

- TK1009 Te Tohu Māramatanga (Certificate in Māori Language) (Level 4)
- TK9910 Te Tohu Mōhiotanga (Diploma in Māori Language) (Level 5)
- TK0817 Pōkaitahi Hōpāpua Reo (Diploma in Taranaki Oral Language) (Level 6)
- WK2489 Bachelor of Applied Social Science (Social Work)(Level 7)
- NC1165 National Certificate in Marae Catering (Level 2).

In regards to the cohort of 222 individuals who engaged in the Māori Performing Arts programme further investigation is required to determine whether the programme offered to this cohort met the NZQA requirements or whether delivery was truncated.

An audit is a snapshot of an organisation's performance at a particular point in time and may not, as such, provide a view of on-going compliance. An audit is based on sampling and issues may remain undetected. The outcome of this audit will contribute to decisions made by TEC relating to current and future funding.

3 Background

This audit was to follow-up on matters raised during the first review and if necessary extend the scope of the audit to the wider organisation.

TEC has a responsibility to ensure that all tertiary organisations as recipients of Crown funding, use public funds lawfully, effectively and for the intended purpose.

4 Key Findings

- Data provided by WITT teaching staff covering the number of intensive weekend wānanga offered for the diploma and certificate in Māori Performing Arts programmes was not consistent with TEC information. The WITT teaching staff may have records showing the number of teaching sites and weekends they offered for the Māori Performing Arts programmes.
- Te Wānanga Māori was required to use only approved marae teaching sites for every cohort of students enrolled in either the diploma or certificate programmes. Only three teaching sites used were approved by either NZQA or by the WITT Academic Board. This was in breach of the original NZQA approval documentation.
- Ten students from the 222 cohort were not valid enrolments. One enrolment form recorded a student name that was inconsistent with the final signature, while nine enrolments were not active students.
- The four programmes reviewed from the Humanities Faculty and the one from within Hospitality showed on examination, satisfactory systems and processes.

5 Recommendations

- WITT teaching staff records should be accessed to provide TEC with the number of intensive weekend wānanga students attended for the diploma and certificate programmes.
- WITT review the number of marae teaching sites used for the Māori Performing Arts programmes and confirm with TEC the non-approved sites used.
- WITT review the enrolment policy to ensure specific identity and eligibility criteria are met when enrolling each student.

Part Two

Findings

Detailed findings are summarised in each of the audit focus areas.

Overview	
<ul style="list-style-type: none"> • A sample of 32 SAC student files was selected for audit. The selection of files included 20 from the Māori Language and Culture programmes, seven from the Social Science programmes and five from the Hospitality programmes. • This included Te Tohu Māramatanga (Certificate in Māori Language) (Level 4), Te Tohu Mōhiotanga (Diploma in Māori Language) (Level 5), Pōkaitahi Hōpuapua Reo (Diploma in Taranaki Oral Language) (Level 6), Bachelor of Applied Science (Social Work) (Level 7) and National Certificate in Marae Catering (Level 2). • The sample was selected from students enrolled in 2013 and 2014. <div style="background-color: black; width: 100%; height: 20px; margin: 10px 0;"></div> <ul style="list-style-type: none"> • The audit outcome confirmed that poor systems and ineffective controls were confined to the management of the National Certificate and Diploma in Māori Performing Arts and were not evident within other departments of the Institute. 	
Audit focus areas	Evidence sighted
<p>1. National Certificate in Māori Performing Arts.</p>	<p>Programme delivery</p> <ul style="list-style-type: none"> • Additional National Certificate in Māori Performing Arts data was identified during the follow-up visit. This related to the July 2012 cohort where 222 students were enrolled for intensive wānanga weekends of study and weekly night classes. • According to the December 2008 NZQA approval document each cohort enrolled should attend eight intensive wānanga weekends of 30 hours duration and two three-hour night classes. • WITT provided information relating to the number of national certificate intensive wānanga weekends extending from 2009 through to 2014. • Each intensive wānanga weekend should consist of 34.5 hours and in addition students should be attending two three-hour night classes for the duration of the qualification. • The following table shows a comparison between TEC data covering the required intensive wānanga live-ins and WITT information provided by teaching staff.

National Certificate in Māori Performing Arts*			
TEC Information from WITT Study Contract Status Print-out		WITT Information from Teaching Staff	
2009	1 cohort in total	1 x 10hr intensive weekend wānanga 1 x 12hr intensive weekend wānanga	2 cohorts in total
2010	4 cohorts in total	1 x 10hr intensive weekend wānanga 4 x 8hr intensive weekend wānanga	5 cohorts in total
2011	9 cohorts in total	1 x 10hr intensive weekend wānanga 3 x 8hr intensive weekend wānanga	4 cohorts in total
2012	8 cohorts in total	3 x 8hr intensive weekend wānanga 1 x 6hr intensive weekend wānanga	4 cohorts in total
2013	7 cohorts in total	No intensive weekend wānanga times provided.	No data available
2014	4 cohorts in total	No intensive weekend wānanga times provided.	No data available
National Diploma in Māori Performing Arts			
TEC Information from WITT Study Contract Status Print-out		WITT Information from Teaching Staff	
2010	2 cohorts in total	No intensive weekend wānanga times provided.	No data available
2011	6 cohorts in total	No intensive weekend wānanga times provided.	No data available
2012	8 cohorts in total	No intensive weekend wānanga times provided.	No data available
2013	6 cohorts in total	No intensive weekend wānanga times provided.	No data available
2014	3 cohorts in total	No intensive weekend wānanga times provided.	No data available

*WITT evidence was not accepted as Artena information has been proven unreliable.

- In each year shown above the number of cohorts varied from the TEC listing particularly in 2011 where TEC states 9 cohorts attended tuition while WITT listed 4 cohorts.
- The TEC information was downloaded from the WITT Study Contract Status Print-out while the WITT information was provided by a member of the Te Wānanga Māori teaching staff.

- WITT is asked to review the comparisons made in this table for the national certificate and diploma programmes and provide the correct number of cohorts for each year and the total number of teaching hours for each live-in. This should be summarised for both the diploma and certificate programmes.

Enrolment process

- Further information emerged concerning the enrolment process, which was previously referred to in the first TEC draft Audit Report. Ten students from the 222 cohort enrolled in the national certificate programme were confirmed as not being valid enrolments. One NSN [REDACTED] showed that the name on the enrolment form did not match the student signature used in the final section of the document. The balance of nine enrolments was not active NSNs and therefore could not be claimed as being a valid enrolment.

- The following ten students were classified as invalid enrolments:

[REDACTED]

- This information relates to the 222 cohort only and enrolments should be validated for all students enrolled in the certificate programme between 2009 and 2014.
- Re-payment for these invalid enrolments may be necessary.

- [REDACTED]

A student to be enrolled in a programme and receive TEC funding needs to meet any pre-requisites and have the capability to complete a programme. In this case these factors were not taken into account.

- [REDACTED]

- If attendance and assessment records had been kept further investigation would establish the eligibility of each student and the accuracy of assessment results.

Marae teaching sites

- In February 2010, the NZQA diploma course approval document referred to the 11 marae teaching sites approved for the tuition of the programme. A list of nine marae teaching sites was approved at 26 June 2012 Academic Board meeting including the Parihaka Marae. This was approved and classified as a field trip.
- A teaching staff document listed the marae teaching sites used during 2012 and 2013. The list showed three from the nine marae teaching sites used were approved by NZQA or the WITT Academic Board.
- WITT has a responsibility to obtain NZQA approval for any additional marae teaching sites and report these changes to TEC.

	<p>Monitoring</p> <ul style="list-style-type: none"> • Each month the leadership team met for a planning meeting. A meeting convened May 2012 discussed under two headings actions to be taken for the Proposed Year End SAC Targets and Closing the Gap. Te Wānanga Māori indicated they could run another programme in July 2012 and claimed 10 SAC EFTS to cover the proposed programme. • At many meetings Te Wānanga Māori offered to provide further programmes and assist WITT use additional EFTS to meet yearly SAC funding targets. • WITT leadership team did not indicate any monitoring intentions for Te Wānanga Māori programmes to ensure they were being well-managed by the teaching staff. If monitoring had been effective many of these issues could have been identified earlier and then resolved appropriately.
2. Diploma and Certificate in Māori Language (Levels 4 and 5).	<ul style="list-style-type: none"> • The sample of student files enrolled in these programmes showed identity was generally established through the Ministry of Education (MoE) document the National Student Index (NSI). This document used by providers to report to NZQA and the MoE was retained on file along with the Record of Achievement and signed Application Form. • No major issues were identified in the enrolment practices used for this programme.
3. Diploma in Taranaki Oral Language (Level 6).	<ul style="list-style-type: none"> • This programme was provided by the Te Reo o Taranaki and comparable processes were applied for student enrolment. • No issues were identified in the student enrolment process or the management of the programme.
4. Bachelor of Applied Social Sciences (Social Work) (Level 7).	<ul style="list-style-type: none"> • This degree qualification is a three year programme and is delivered in conjunction with Waikato Institute of Technology. It has been offered at WITT since 2009 when it was approved by NZQA. • WITT allocates 60 EFTS each academic year to WINTEC as a funding transfer to facilitate the delivery of the Bachelor of Applied Sciences (Social Work). • Annual external monitoring reports are positive and a recommendation has been made that an external monitor be discontinued. • From programmes examined and information provided good systems and controls exist within the Social Sciences Faculty.
5. National Certificate in Marae Catering (Level 2).	<ul style="list-style-type: none"> • The enrolment process used was comprehensive and from the sample reviewed the extent of documentation held for each student was satisfactory. • One internal system used by Hospitality was an attendance audit. This class audit is conducted within the first month of every course and is used to capture any students who have not formally enrolled.

	<ul style="list-style-type: none"> • From the files reviewed enrolment systems are being followed and effective data control is practiced.
<p>6. Institute - wide Systems and Controls.</p>	<ul style="list-style-type: none"> • Enrolment practices varied within the two faculties reviewed. One faculty retained comprehensive evidence for the application and enrolment process providing TEC with confidence that pre-requisites had been met, student identity had been established and all steps had been taken to approve a student's entry into a programme. • The enrolment documentation for both the Diploma and Certificate in Māori Language was minimal but correct application and enrolment practices were followed. • A review of the enrolment process is necessary to ensure all faculties follow the same policy and then all documentation retained on a student's file will be comparable. • The role and responsibilities of the Academic Board needs to be reviewed to ensure that decisions made, for example, concerning marae teaching sites are correct and are according to NZQA approval requirements. • Generally, satisfactory systems and controls were used across the faculties apart from the Māori Performing Arts programmes where there was minimal evidence of monitoring or accountability.