



AUSTRALIAN
UNIVERSITY OF
THEOLOGY

AUT Affiliated Colleges Annual Self-Review Handbook

A Guide for Affiliated Colleges in the use of *Tickit On Demand* for Self-Review to Undertake
065 Annual Self-Assurance Review

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Introduction

This document is designed to give the Tickit user at a college an understanding of the Annual College review cycle, and the key tasks they need to undertake to prepare for the annual self-assurance submission (previously known as the once and update report).

Self-assurance is when organisations have their own systems and practices to systematically monitor, evaluate, and continually improve their outcomes and performance against the Standards and can demonstrate these. The Australian University of Theology (AUT) requires Affiliated Colleges to supply evidence across 10 risk areas, demonstrating how they achieve compliance with the competency levels outlined in the AUT *Affiliated College Risk and Compliance Reporting Framework*, referred to throughout this handbook as the *Framework*.

All submitted evidence is reviewed for compliance by the AUT Quality Department.

The *Framework* and the Annual College Review are a major part of how AUT ensures compliance with the *Higher Education Standards Framework 2021* and the *National Code of Practice for Providers of Education and Training to Overseas Students 2018*.

Annual College review cycle

The annual college review cycle is a process of continuous improvement rather than a single event. This is in keeping with the approach of continuous improvement across the Higher education sector. That said, there are some key milestone points in the cycle.

Mid Feb – March	Colleges are reminded of any outstanding items outlined in the previous annual report.
March 31	College supplies 065 Annual self-assurance review (previously called the 'Once & update' declaration). Certify that all previously submitted documents have been checked and are current. Any items that are not current are indicated by the colleges as matters they will attend to, including a timeframe for doing this. This Handbook is designed to help colleges undertake this activity.
April - June	College updates any items noted as outstanding from their 065 Annual self-assurance review .
July – September	Assessment period. The AUT Quality Department begins reviewing each risk area outlined in the Framework. During this period, Quality receives internal reports from other AUT departments, including Finance, Teaching & Learning, and Research. These reports are integrated into the Annual Review process. During the assessment period, the AUT Quality Department works with Affiliated Colleges through the Requests for Further Information (RFI) process, where the department notifies the college of any item that is below a compliant standard and indicates areas to address to achieve a compliant standard.

September	AUT's internal reporting period to the Finance, Risk, Audit & Compliance Committee (FRAC). Affiliated College submissions close. The committee authorises the release of Affiliated College reports and the addition of any outstanding items on the Register of Identified Risks and Concerns (RIRAC).
October/November	<p>Reports are issued to the colleges. Three items are supplied:</p> <ol style="list-style-type: none"> 1) Table 1: These items are deemed 'Not Compliant' or 'In Progress' – these are high-priority items and must be completed at the earliest opportunity as a priority. These items will be entered into the Register of Identified Risks and Concerns (RIRAC), to be considered by each meeting of the relevant body (such as FRAC, the Academic Quality Committee (AQC), or the Research Committee) until the matter is resolved. 2) Table 2: These items have been marked as 'Compliant However' – these are items that are generally valid, however, have some need to be addressed, such as documents that have missed their stated review dates and may be out of date. These items must be completed before the Annual self-assurance submission – 065 due 31 March, the following year. Note that if these items are not addressed before the review, they are upgraded to in-progress or not compliant. 3) Report generated from <i>Tickit on Demand</i>, including the compliance assessment for the college on each required task.
October – March	<p>At each meeting of AUT's FRAC and Academic Quality Committee (AQC), the relevant outstanding items on RIRAC pertaining to the work of the Committee are reviewed. FRAC reviews the risks of Governance, Management and planning; and Management of Incidents, via reports on college actions by the Quality Manager. FRAC also reviews Financial viability and Financial Safeguards, via reports on college actions by the Director of Finance.</p> <p>AQC reviews the risks of Learning Environment, Academic Quality, Student well-being and support, and Quality Management via reports on college actions by the Quality Manager.</p> <p>The Research Committee reviews the risks of Research and the risks of Teaching, and Scholarship is reported to the Academic Board.</p> <p>The process for engaging with the RIRAC is as follows:</p> <ul style="list-style-type: none"> - A committee (FRAC, AQC, or Research) places a college on the register for potentially not meeting a threshold or compliance standard. - The relevant Director contacts the college to notify them of this and requests a rectification response. - The relevant Director reviews the response and works with the college until the response can be recommended to the committee.

- At each committee meeting, the Quality Manager provides an update on register progress and presents items that are recommended for resolution.
- The relevant committee approves the marking of matters on the register as resolved.

Understanding the concept of Risk review and Tickit

The best way to understand *Tickit on Demand* well is to understand what it is doing and how it seeks to do it.

Tickit holds a historical repository of evidence of compliance measured against risk levels. In the development of the [Framework](#), ten risk areas and the elements that contribute to these have been identified, as well as what evidence is required to demonstrate that the risk has been mitigated. *Tickit* is the system for logging that evidence. It sends reminders to users when evidence submission is due, and enables formal communication from the college submitting evidence and the AUT Quality department to occur regarding evidence.

Risks

Risks in *Tickit* are the same risks outlined in the [Framework](#).

Tasks

Risks have several Tasks connected to them. These tasks require the submission of Evidence to demonstrate compliance with the AUT standards that have been set for each Risk and Task.

The Task in *Tickit* contains Descriptions in the Task Details panel, which are helpful notes for carrying out the task. They will also include links to Reference Forms in situations where a task requires the uploading of a particular *Tickit* Reference Form as Evidence, as shown in the image below.

The screenshot shows the 'Task Details' panel in the Tickit system. The task name is 'Learning spaces (Form required)'. The task category is 'College Risk & Compliance' and the subcategory is 'Learning environment'. A reference form link is provided: <https://ac.theology.tod.net.au/incidents/ne...>. The description states: 'NOTE: The Reference Form linked here under Task Details must be completed and a PDF of the completed form is exported and attached to the Task to demonstrate compliance. Report the college's physical spaces that support student learning and interaction with peers and teaching staff. Information is reported using the linked reference form.' There are 0 linked documents and 1 suggested risk. Buttons for 'Manage Linked Documents' and 'Manage Suggested Risks' are visible.

After engaging with the task, it is important to assign a Result status. The following are the result statuses used for a task:

- **This task is compliant:** Select this status when the college has assured that the task has met the requirements in the task description and all the evidence/forms relevant to the task are attached.
- **In Progress:** Select this status if the work is currently underway for the relevant task. For example, if a policy is under development or if a library's strategic plan is yet to be developed for a period. Please leave "Result notes" to notify the AUT office of the developments underway. The system will not save this result unless the result notes field is complete.

Also, if a task has multiple responsible users, all the users must complete the task. If a college wishes not to have multiple users for any task, notify the Quality Department at quality@aut.edu.au

Evidence

Some Tasks require the submission of documents produced by the college as evidence. For example, in the Risk – Governance, the Task – 001 Constitution of governing body requires the college to upload as evidence their college’s constitution.

Some Tasks require the submission of Forms supplied in Tickit as Evidence. For example, in the Risk – Student Wellbeing and support, the Task – 051 Access to student support services (Form required) requires the use of a specific Tickit Form linked in the Task Details. To supply this evidence, the user clicks the link to the form and follows the instructions and dropdowns. When the form is completed, the user then exports the form as a PDF, as shown in image (i) below and attaches it to the corresponding task. Alternatively, you can also search for the form by using the reference number and export the PDF as shown in image (ii). It is important that the evidence submitted in tasks is uploaded (no links to college websites or SharePoint or Google Drive documents).

Make sure that file uploads are in PDF format.

image (i)

image (ii)

Where colleges have multiple campuses, ensure individual forms are submitted for Task 051 and Task 029 and enter the name of the campus manually (there are no drop-down options available for this field) as shown below.

Provision of student support services

Use this form to report the student support services that are offered by the college and how they are provided (e.g. internally or by referral). Note that a separate form exists to report the number of students that access these services annually.

Details

Your Name
Compliance Officer Compliance Officer

Your Email

College
Type to Filter List...
Selected: ACT Ltd

Campus name (if applicable) and location
Provide suburb and state/country. Identify all campuses where the services outlined in the form are available.
Sydney Campus

Provision of Student Support Services
Use this form to report the provision of student support services by the college and the way that students are made aware of the services. It is NOT expected that all services mentioned in the form will be provided by the college itself. Where a service is not provided by the college but students are referred to an external service, the name of that service provider is reported. Note that the categories of service provision are largely derived from those mentioned in the Higher Education Standards. The focus of the standards is on how students are made aware of services and are referred to them in a timely manner.

After filling the form, click on "Submit" if all the details are available. If the form is incomplete, please hit "Save draft". Once the draft is saved, a reference number will appear on the screen. Kindly take note of the reference number to retrieve the form from Tickit.

Evidence Documents

Upload from your computer Choose File No file chosen Description

Add another Document

Save Draft Submit

After clicking the "Submit" button, please click on the "Send for review" tab to send the form for the AUT office to review.



Ideally, a college Tickit Home page should have 0 New forms, 0 open forms and 0 overdue forms. The only category where forms should reside is under the Review category since AUT manages these forms.

Preparing for the Annual self-assurance submission

The Tickit instructions, the review process, and the final college reports and assessments are all operational expressions of the Framework.

The 10 identified risk areas are:

1	Governance	6	Learning Environment
2	Management and Planning	7	Academic Quality
3	Financial Viability	8	Student well-being and support
4	Financial Safeguards	9	Management of Incidents
5	Teaching, research, and scholarship	10	Quality Management

Each of these risk areas has several subsections that the Framework requires to be reviewed and assessed by the Quality Department.

Some of these assessments are informed by annual reports that *Tickit* notifies the relevant Affiliated College staff member to provide. Others of these are items that are loaded and remain constant until changed. These items require an annual review by the Affiliated College to indicate that they are still current. This is the **065 Annual self-assurance review**. Below, we explore each risk area, the evidence collected, and note whether this is an item that requires checking in the Annual self-assurance submission. We have produced this as a checklist that you can utilise to make sure that you have reviewed each required element in the **065 Annual self-assurance review**.

The user prints out the Checklist Annual self-assurance submission and uses that to assist in filling out the **065 Annual self-assurance review form**.

Tickit

For Tickit users who are familiar with the system, you can proceed to the **Checklist Annual self-assurance submission** in this document.

Before we do, some notes about Tickit.

Tickit is a system that is designed to be constantly updated, keeping previously submitted evidence materials and reviews to create a compliance history. It is not possible to remove or update the document that is there, as that was a file associated with previous compliance reporting years. The system is designed to work with you, making a new submission each time, attaching a new file that supersedes the previous documents.

Similarly, previously submitted forms cannot be amended. If, for instance, a form that has been submitted is deemed not compliant, a new form needs to be created.

Paired items

Paired items refer to cases where one item sets out the policy or plan describing how an activity will be carried out ("once and update" task), while the paired item reports on how that activity has been implemented during the most recent reporting period (an annual task).

An example of a paired item is Task: 029 – Provision of student support services and 051 Access to student support services.

029 – Provision of student support services outlines the policy or plan for the provision of student support services. This is a once-and-update item. The college checks that the item is current in the March self-assurance submission process. In this process the college updates any items that are out of date, and if the college cannot undertake this – (say a document requiring College Board approval but the College Board will not meet before the submission date), this is noted in the 065 Annual self-assurance review, the task is marked as In progress in Tickit and the date that this will be completed by is provided.

051 – Access to student support services reports on how this was delivered in practice by reporting the number of students accessing support services. This is a form required to be filled out and supplied each year for each delivery location of an Affiliated College.

See below the list of paired items in Tickit.

<i>Once and Update task</i> (Policy/Plan)	<i>Annual task</i> (Implementation or application of the policy/plan within the past reporting period)
029 Provision of student support services (Form required)	051 Access to student support services
027 Community Engagement Plan	046 Review Outcomes Community Engagement Plan (Form E)
038 Library report - Once & Update (form)	042 Library Report - Annual (form)

Tickit Task Codes

A key tip for navigating these paired processes is to review the Task Description in the heading of the Task details in Tickit. The other helpful element is that Tickit Tasks have reference numbers, from our example above, 029 and 051. Use these to search the Tickit top right-hand corner to navigate to the task. Also, when referring to a task in email or other communication, use the Task number - this helps separate paired items and provides greater clarity.

Sending Enquiries to Quality

From time to time, you will need to ask the Quality team a question or respond to a request for further information (RFI) from the Quality team. When doing so wherever possible use the Tickit code number regarding your enquiry to ensure there is no confusion over the task in question, particularly in relation to Paired items. The Quality Department is available to assist in the use of Tickit and reporting. You can contact members of the department at quality@aut.edu.au

Reporting periods

Another area that has the potential for confusion is the reporting period being referred to. In short, what is being requested in the Annual College Reviews is reporting on data since the last yearly report. For some items, this requires reporting on the previous Academic year, while for others it can also include data from the period of the start of Semester 2 of the previous year to the end of Semester 1 of the current year. Some of this may depend on the information recording system adopted by the college. For example, for matters such as 051

Access to student support services, AUT does not mandate a particular system, simply that a system exists. Some colleges may continuously record information on access to services and file this annually, so would provide their previous calendar year's usage of support services, while other colleges may save records on access to student support services in a semester-by-semester filing system, and are able to provide records for the most recent period since last report being July of the previous year to June of the current year. Essentially, reporting requires the most current data available since the last report, regardless of the method that the college uses to collect this.

Document is in place and is current

The document is in place and is current means that the document exists, it has a clear expiry date and review process, and at the time of the AUT review taking place, it has not exceeded this Affiliated College review date. Draft copies of documents that have not had relevant Affiliated College approval processes are considered as not current. A document may be provided and current, however, not adequate. Documents that are not adequate are considered not compliant. The Quality Department will work with and provide advice to colleges on any matters of adequacy.

Yes, an annual self-assurance item

Yes, an annual self-assurance item means that the college checks that the item is current in the March self-assurance submission process. In this process the college updates any items that are out of date, and if the college cannot undertake this - such as a document requiring Board approval but the board will not meet before the submission date, that this is noted, and the task is marked as In progress in Tickit and the date that this will be completed by is provided as part of the March self-assurance submission process. An example of this is shown in Page 11.

Task Description

In Tickit, additional instructions can be found in the Task Details panel, particularly in regard to a description of what is required to undertake the task, access to forms that need to be filled out for evidence etc.

Annual self-assurance form submission

The [Checklist \(APPENDIX 1\)](#) outlines the items that make up the risk, the current rubric used by the Quality team to make assessment of the item, whether it requires annual self-assurance review, and a blank box for colleges to utilise when conducting their own self-assessment review.

Print the checklist out and use this while undertaking the **065 Annual self-assurance review**. Note that rubrics can change from time to time based on specific focus areas of FRAC and AQC responding to ongoing changes within the compliance landscape. The Tickit users will be made aware of these changes and will be provided with exemplars and other coaching materials as required, as well as updates to this handbook. Please download the latest version of this handbook from the AUT website when undertaking Affiliated College self-review processes to ensure that any identified errors have been corrected and you are receiving the latest advice on self-review processes.

In the tables listed below, there are non-Tickit items that are reviewed under certain risks. Please refer to the **Annual self-assurance submission item or other** column for notes concerning these.

While this checklist is primarily for preparing for the **065 Annual self-assurance review** and assessing the once and update items, it is also beneficial for noting and preparing for the other data collection activities undertaken via Tickit throughout the year, hence their inclusion in the checklist.

Green-shaded items are included in the 065 Annual self-assurance review.

Once you have engaged with the checklist, please complete the form titled **"F065 Annual self-assurance Review Form"** linked to the task. The form lists 10 risk areas with four subsections for each risk.

For example, for the first Risk- Governance, you are required to provide information for the below sections:

- 1.1 **Compliant tasks:** You are required to indicate the tasks that are currently reviewed as "Compliant". As previously advised, please ensure that your documents are uploaded as PDFs and are within their approval dates before ticking an item as Compliant.
- 1.2 **Declaration:** Once the compliant tasks are marked, please declare that the information/documentation provided is accurate and up to date.
- 1.3 **Not Compliant Tasks:** In this section, indicate the tasks that are not compliant, which include anything that was reviewed as In Progress, Overdue, or Not Compliant.
- 1.4 Please provide the reason why the task is currently not compliant for each task and an ETA for the individual task completion.

An example of the above steps is shown below:

1. Governance

1.1 Compliant Tasks
Indicate the tasks that are currently reviewed as Compliant. All not-compliant tasks must be checked in the below section titled "Not Compliant Tasks"

- 001 Constitution of governing body
- 002 Governance structure and arrangements for academic & corporate governance
- 004 Membership of governing bodies
- 007 Terms of Reference of Finance/Audit Committee
- 008 Fit and Proper Person declaration (biennial)
- 009 Legal status of entity and registered business name (s)

1.2 Declaration

I have checked each item and confirm the above-compliant tasks are supported by accurate and up-to-date information/documentation.

1.3 Not Compliant Tasks
Indicate the tasks that are currently not compliant

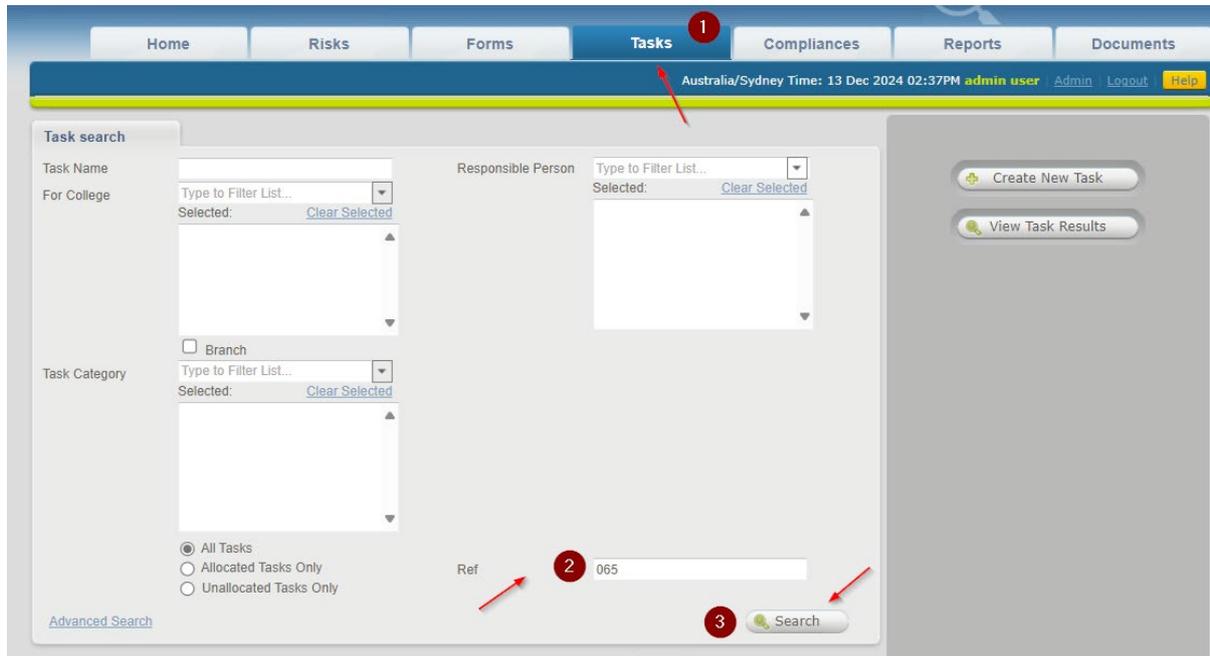
- 001 Constitution of governing body
- 002 Governance structure and arrangements for academic & corporate governance
- 004 Membership of governing bodies
- 007 Terms of Reference of Finance/Audit Committee
- 008 Fit and Proper Person declaration (biennial)
- 009 Legal status of entity and registered business name (s)

1.4 Please provide the reason why the task is currently Not compliant for each task and an ETA for the individual task completion.

007 Terms of Reference of Finance/Audit Committee: The board will be meeting in July 2023 to finalise this. This task will be completed post the board meeting.
008 Fit and Proper Person declaration (biennial): This document is in the draft. Will be uploading the final copy on 01/03/2023.

Task 065- Annual Self-Assurance Review

After completing the form, attach it as evidence to task 065 on Tikit. Search task 065 as shown below. Having two screens to work through this task would be beneficial.



Please refer to the [Tikit On Demand: How-to guide](#) to learn more on how to attach evidence to the task.

APPENDIX 1: Checklist for Task 065- Annual Self-Assurance Review

Risk 1 Governance

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
001 Constitution of governing body	Document is in place and is current	Yes, an annual self-assurance item	
002 Governance structure and arrangements for corporate governance	The submitted evidence is current and indicates corporate governance	Yes, an annual self-assurance item	
004 Membership of governing bodies (triennial)	Membership supplied and updated within last 3 years	Yes, an annual self-assurance item	
007 Terms of Reference of Finance/Audit Committee	Document is in place and is current	Yes, an annual self-assurance item	
008 Fit and Proper Person declaration (biennial)	Declarations submitted within last 2 years	Yes, an annual self-assurance item	
065 Annual self-assurance review	<ul style="list-style-type: none"> • submissions and update as required • Indication of annual review 	<p>No – This is an annual task scheduled 31 March each year</p> <p>See the task description on Tickit before undertaking this task for all relevant documentation information.</p>	

Risk 2 Management and planning

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
012 Strategic plan	Document is in place and is current.	Yes, an annual self-assurance item	
024 Risk management policy & procedure	Document is in place and is current	Yes, an annual self-assurance item	
048 Risk register review (Form C)	Register supplied and Risk management policy is supported by a Risk Register or similar with annual review	No – This is an annual task scheduled 31 March each year See the task description on Tickit before undertaking this task for all relevant documentation information.	
013 Business continuity plan	<p>Document is in place and is current.</p> <p>The primary difference between a DRP and a BCP is that DRP refers to how the organisation will recover files, operating systems, hardware and applications after a damaging event. A BCP outlines how the organisation will continue to function in the event of an outage.</p> <p>In practice a BCP and a DRP may cover the same ground.</p>	Yes, an annual self-assurance item	

	When they do they can be used interchangeably or as a stand in for the other. If this is the case the one document is uploaded in both task 013 and task 015		
015 Disaster recovery plan	See notes for 013	Yes, an annual self-assurance item	
016 Maintenance schedule for major works and infrastructure development plan	Document is in place and is current and demonstrates planning for major maintenance requirements by supplying a maintenance schedule. If indicated that infrastructure is maintained by parent organization or landlord a document from the parent organisation or landlord confirming their responsibility for maintenance is sufficient.	Yes, an annual self-assurance item	
017 Human resources policies (Recruitment, Induction, Staff review, Termination of contract)	Document is in place and is current and addresses Recruitment, Induction, Staff review, Termination of contract. These may be supplied in the form of a staff handbook.	Yes, an annual self-assurance item	
247 IT Support and Cybersecurity Policy	Document is in place and is current. Upload the form- IT Support and Systems Usage form- Affiliated colleges:	Yes, an annual self-assurance item	

	which collates information on IT support and system usage in accordance with HESF(7.3), National Code and AUT's Consortium IT Support Policy.		
018 Fraud prevention policy	Policy supplied, adequate, and current	Yes, an annual self-assurance item	
220 Affiliated College Administration Staff-Report	Adequately Completed the Affiliated College Administration Staff on Tickit.	Yes, an annual self-assurance item	
253 Affiliated College Staff Grievance Policy and Procedure	Policy supplied, adequate, and current	Yes, an annual self-assurance item	

Risk 3 Financial Viability

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
A. Financial Capacity to operate short and long term	1. Financial Viability (short-term) a. Operating Performance b. Liquidity c. Solvency	No – Reviewed by the Director of Finance	
A. Financial Capacity to operate short and long term	2. Financial Sustainability (long-term) a. Revenue Growth	No – Reviewed by the Director of Finance	

B. Financial Capability	<p>1. Resources</p> <p>a. Insurance</p>	<p>No – Provision of insurance (item c) is an annual task scheduled 31 January each year under task 069 Finance & Insurance Documentation</p> <p>No - Other resources reviewed by Director of Finance for items a.b.d</p>	
B. Financial Capability	<p>2. Management Capability</p> <p>a. Quality of financial & business planning, budgeting and alignment with strategic plan</p> <p>b. Financial reporting and analysis</p> <p>c. Interactions with auditor</p>	<p>Reviewed under Task 044 & Task 069. See Risk 4.</p> <p>044 Finance Report</p> <p>No – This is an annual task scheduled for 30 April each year.</p> <p>069 Finance & Insurance Documentation</p> <p>No – This is an annual task scheduled for 31 Jan each year.</p>	

044 Finance workbook (including Financial Plan) (Form A)	Report supplied, adequate, and current (Form A)	No – This is an annual task scheduled for 30 April each year. See the task description on Tickit before undertaking this task for all relevant documentation information.	
069 Finance & Insurance Documentation	Policy supplied, adequate, and current	No – This is an annual task scheduled for 31 Jan each year. See the task description on Tickit before undertaking this task for all relevant documentation information	

Risk 4 Financial Safeguards

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
020 Documented financial controls	Policy supplied, adequate, and current	Yes, an annual self-assurance item	

021 Details of financial management (staffing)	Policy supplied, adequate, and current	Yes, an annual self-assurance item	
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Risk 5 Teaching, research, and scholarship

This risk is reviewed by the AUT's Department of Research based on the Airtable forms submitted by the affiliated colleges to the department, and the outcome is reported to the AUT's Academic Board.

Risk 6 Learning Environment

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
022 Admission Requirements (form)	Form supplied and sections adequately engaged with.	Yes, an annual self-assurance item	
029 Provision of student support services (Learning support) (Form Required)	Form supplied and provision is made for learning support adequately engaged with. An adequate statement in all areas. Provision of, or information provided for access to external resources.	Yes, an annual self-assurance item	
023 Orientation program details (Form)	Form supplied and sections adequately engaged with.	Yes, an annual self-assurance item	
025 Learning spaces details (Form)	Form supplied and sections adequately engaged with	Yes, an annual self-assurance item	
026 Freedom of intellectual enquiry statement/policy	Policy supplied and the policy covers staff and students	Yes, an annual self-assurance item	

027 Community Engagement Plan	Plan provided and adequately engaged with.	Yes, an annual self-assurance item	
046 Review Outcomes Community Engagement Plan (Form E)	Review of community engagement plan provided and adequately engaged with.	No – This is an annual task scheduled for 31 March each year. See the task description on Tickit before undertaking this task for all relevant documentation information.	
038 Library report - Once & Update (form)	Library report form, and strategic plan if referenced supplied and sections adequately engaged with.	Yes, an annual self-assurance item	
042 Library Report - Annual (form)	042 Library annual report supplied and sections adequately engaged with, and AUT Library Guidelines benchmark of \$510 per EFT is met.	No – This is an annual task scheduled for 30 April each year. See the task description on Tickit before undertaking this task for all relevant documentation information.	
SES - Learning resources domain	College has not achieved a result below 75% nor greater than 10% below affiliated college average for domain since the previous report. This is demonstrated by	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

	entries current and resolved for the period in the AUT - Register of Identified Risks & Concerns indicating the college is under or has been under review by AQC regarding this benchmark.		
Academic Staff to student ratio	The college has an Academic EFT to student EFT ratio ((benchmark determined by the Academic staff: student ratio of Table A and B providers)	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Academic Staff casualisation level	College has a casualisation of academic staff ETF as no greater than double the affiliated college average.	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

Risk 7 Academic Quality

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
AUT Office or AQC requests a response to an identified issue in Academic data (e.g. attrition, progression & completion rates, and survey data)	This is demonstrated by entries current and resolved for the period in the AUT - Register of Identified Risks & Concerns indicating the college is under or has been under review by AQC regarding this benchmark.	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

<p>Mandatory non-identified issue response to academic data provided.</p>	<p>Responses supplied for: Student Experience Survey (QILT) Graduate Outcome Survey (QILT) Employer Satisfaction Survey (QILT) Unit of Study Evaluation Survey (USES) Attrition Rates Data Moderation Reports Grade Array and Progression Data UG Progression Data PG</p> <p>AQC Thresholds For grade array 10% current semester variation with previous 6 semesters in HD/D per college; 10% variation HD/D current semester compared to the AUT average For PG if progression rate is less than 90% this is an AQC trigger For UG if progression rate is less than =80% this is an AQC trigger. For attrition if greater than 10% AUT average this is an AQC trigger.</p>	<p>Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.</p>	
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	<p>For Completion rate if less than 10% AUT average this is an AQC trigger</p> <p>Surveys < 75% for all Domains/Focus Areas except Learner Engagement in the SES</p> <p>Any college < 10% AUT average for any Domain/Focus Areas</p> <p>10% variation HD/D current semester compared to the AUT average</p>		
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Risk 8 Student well-being & support services

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
028 Inclusion/Students with a disability policy	Policy supplied, adequate, and current	Yes, an annual self-assurance item	
029 Provision of student support services (Form required)	Form supplied and all sections adequately engaged with <ul style="list-style-type: none"> - Provision of Counselling - Provision of academic English & study skills support - Provision of welfare services - Provision of legal services - Provision of accommodation services - Provision of health services - Provision of student advocacy services 	Yes, an annual self-assurance item	

	An adequate statement in all areas. Provision of or information provided for access to external resources.		
051 Access to student support services (Form F required)	Form supplied and all sections adequately engaged with	No – This is an annual task scheduled for 31 March each year. See the task description on Tickit before undertaking this task for all relevant documentation information.	
SES - Student support domain	College has not achieved a result below 75% nor greater than 10% below affiliated college average for domain since the previous report. This is demonstrated by entries current and resolved for the period in the AUT -Register of Identified Risks & Concerns indicating the college is under or has been under review by AQC regarding this benchmark.	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

Risk 9 Management of Incidents

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
030 Workplace Health and Safety policy	Policy supplied, adequate, and current	Yes, an annual self-assurance item	
031 Critical incidents policy	<p>Policy supplied, adequate, and current.</p> <ul style="list-style-type: none"> • It identifies types of critical incidents. • It includes appropriate procedures for responding to incidents. • References privacy considerations. • Responsibilities are designated and there is a communication and reporting mechanism. • The reporting mechanisms explicitly refer to the AUT, including directly to the AUT Vice-Chancellor where warranted as well as using AUT's Critical Incident Form. • A risk management approach is evidenced, such as reference to the colleges risk management system and consideration of risk in the process of reviewing incidents and their management. The 	Yes, an annual self-assurance item	

	<p>policy requires development in the following areas:</p> <ul style="list-style-type: none"> • It includes emergency and support service contact details. 		
034 Child protection	<p>Policy supplied, adequate (addressing child protection), and current.</p> <p>NOTE: The Reference Form linked here under Task Details must be completed and a PDF of the completed form is exported and attached to the Task to demonstrate compliance.</p> <p>To complete this task the linked reference form, requires information on the college's child protection policy and processes. The linked document is an extract from the Royal Commission into Institutional Responses to Child Sexual Abuse and contains practical guidelines on implementing the Child Safe Standards. It is a point of reference for one of the questions in the form.</p>	Yes, an annual self-assurance item	
148 Sexual Assault & Sexual Harassment Contact Officer (SASH	Submit college's SASH Contact Officer form.	Yes, an annual self-assurance item	

Contact Officer - Form required)	- Reference form provided in Tickit to report the SASH Contact officer. - In the SASH Contact Officer form, describe how students are made aware of the College and AUT's approach to matters of Sexual Assault and Sexual Harassment.		
Critical incident reports	Number of critical incidents since previous report indicated benchmark of 1	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Formal grievance reports	Number of critical incidents since previous report indicated benchmark of 1	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Student complaints	Number of student complaints since previous report indicated benchmark of 1	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Academic misconduct	Number of formal grievances since previous report indicated benchmark of 1	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

Risk 10 Quality management

Item	Rubric	Annual self-assurance submission item or other	College Check box for conducting self-assurance review
141 National Code Compliance Review (Affiliated colleges with CRICOS sites only)	Complete the spreadsheet provided in Tickit as a Reference Document. Follow the instructions outlined in the "Instruction" tab on the workbook to complete the spreadsheet. Upload the evidence as indicated in the instruction tab.	No – This is an annual task scheduled for 30 June each year. See the task description on Tickit before undertaking this task for all relevant documentation information.	
204 Overseas Student Liaison Officer Contact (OSLO Contact Officer - Form required)	The OSLO Contact Officer form is completed on Tickit Submit college's Overseas Student Liaison Officer - Reference form provided in Tickit to report the OSLO Contact officer. - In the OSLO Contact Officer form, describe how students are made aware of the Overseas Student Liaison Officer Contact details - Declare if the officer received training of the affiliated college's obligations under the ESOS framework and the potential implications for overseas students arising from the exercise of these obligations	Yes, an annual self-assurance item	

Website audit - representations	<p>Quality Department audit - Materials correctly represent the relationship between the college and the AUT and comply with the HESF, National Code and AUT requirements. Namely: Provisions expressed in the Representation rules</p> <ul style="list-style-type: none"> - Representing the relationship to the AUT - Representing AUT courses - Representing courses to overseas students - Representing admission requirements - Provision of information related to student experience - Representations and LOTE delivery - Representations and partners of Affiliated Colleges - Use of the AUT logo 	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Academic data response form	<p>College has responded to all academic data response requests: SES; GOS; GOS-L; ESS; USES; FSS; Grade array progression; Completion and Attrition</p> <p>Number of outstanding Responses benchmark of 1</p>	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	

<p>Identified issues by moderators MIM Report Part A</p>	<p>If more than 25% variation from the AUT average Number of Issues; Feedback to students; Marking accuracy/quality; Application of penalties; Administration error; Assessment design; Plagiarism; Other; Contextual Ranking Assessment MIM - Including recommendation for placing on Risk and concern register for AQC review and suggested action if required.</p> <p>(Note this also includes items that have been noted since the last report that have been resolved)</p>	<p>Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.</p>	
<p>Identified issues by moderators: MIM Report Part B (note B overrides A for final risk level)</p>	<p>Contextual Ranking Assessment MIM - Including recommendation for placing on RIRAC for AQC review and suggested action if required.</p> <p>(Note this also includes items that have been noted since the last report that have been resolved)</p>	<p>Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.</p>	
<p>Responses to Moderation reports</p>	<p>Moderation Items listed on RIRAC. (Note not inclusive of items addressed already in</p>	<p>Not collected in the Tickit process, sourced internally from AUT departments using other</p>	

	Academic Quality such as grade array)	collection methods such as SES, QILT, or internal reports.	
Tickit task compliance report	Greater than 75% of Tickit Tasks for reporting period are 'Compliant'.	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	
Completion of other reporting required of Affiliated Colleges	Report from department directors regarding any outstanding non-Tickit report items.	Not collected in the Tickit process, sourced internally from AUT departments using other collection methods such as SES, QILT, or internal reports.	