

A Whole-of-Organisation
Self-Assessment Tool
 for Embedded Literacy and Numeracy

User Guide

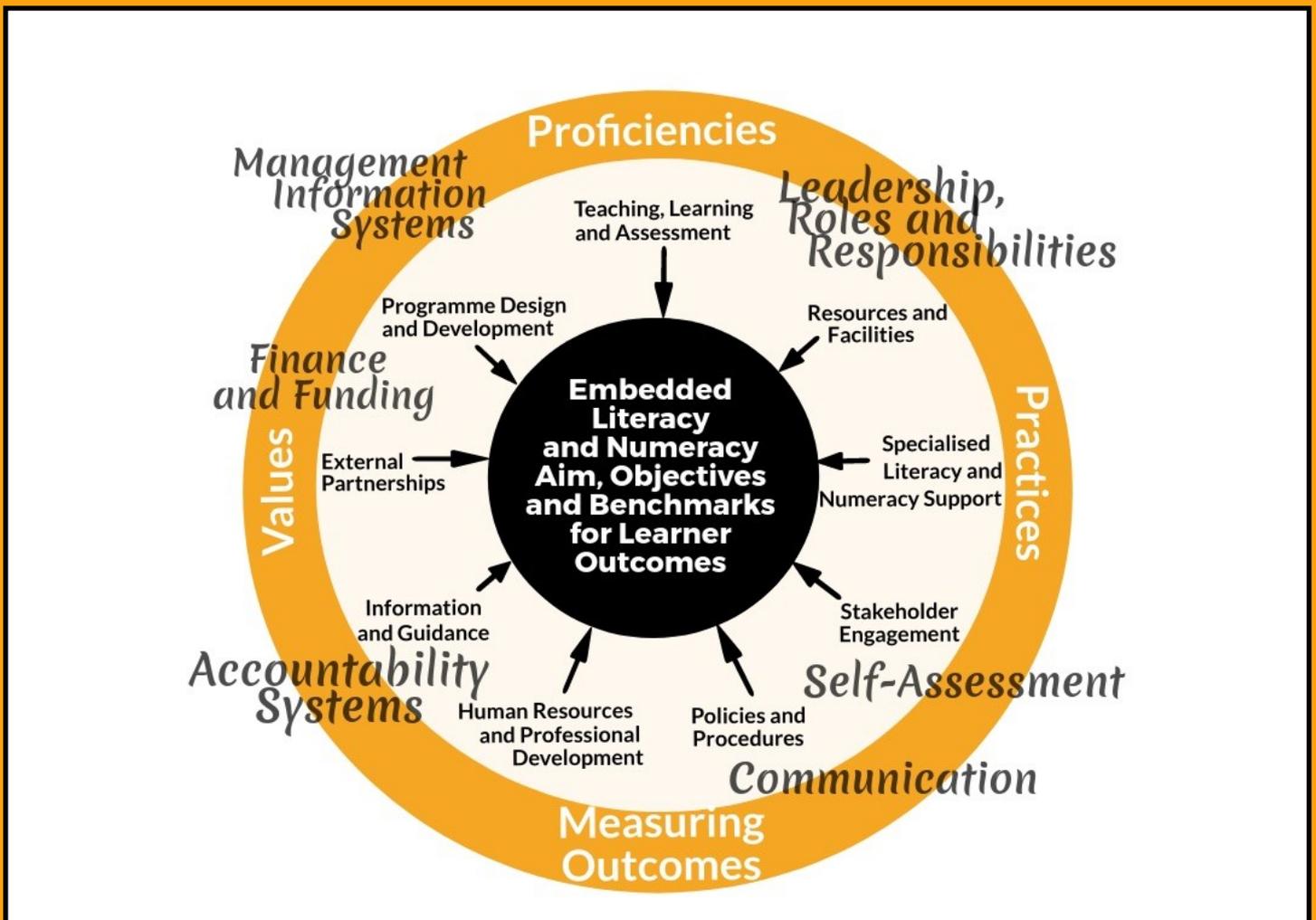


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Purpose of the Self-Assessment Tool for Embedded Literacy and Numeracy

The Self-Assessment Tool for Embedded Literacy and Numeracy (ELN Self-Assessment Tool) aims to help Tertiary Education Organisations (TEOs) and Industry Training Organisations (ITOs) identify their strengths and areas for improvement concerning the embedding of literacy and numeracy, as an integral part of the organisation's existing self-assessment processes.

This identification is to assist with continuous improvement of literacy and numeracy learner/trainee outcomes as well as embedded literacy and numeracy practices within the organisation.

The ELN Self-Assessment Tool reflects a whole-of-organisation approach to embedded literacy and numeracy, with a particular focus on those parts of an organisation that are deemed to have the most impact on the quality of embedded literacy and numeracy in the organisation.

Scope of the ELN Self-Assessment Tool

The ELN Self-Assessment Tool is suitable to be used by Tertiary Education Organisations as well as Industry Training Organisations. For the purpose of this resource a distinction has been made between TEOs and ITOs.

The ELN Self-Assessment Tool is aligned with the Key Evaluation Questions and the self-assessment and external evaluation and review processes as developed and overseen by the New Zealand Qualifications Authority (NZQA, [n.d.-a](#), [n.d.-b](#)). It is assumed that people using the ELN Self-Assessment Tool are familiar with those processes, and are able to integrate the use of the ELN Self-Assessment Tool into their organisation's self-assessment practices.

The ELN Self-Assessment Tool enables organisations to take an explicit and deliberate approach to self-assessing embedded literacy and numeracy as an integral part of its ongoing self-assessment processes. The ELN Self-Assessment Tool only concerns self-assessment of embedded literacy and numeracy, and not any other practices within the organisation.

The ELN Self-Assessment Tool has been designed to serve internal improvement processes only. Findings from using the ELN Self-Assessment Tool are not publicly accessible or available. However, an organisation may choose to use the findings as evidence during the External Evaluation and Review carried out by NZQA or for other external reporting purposes.

Purpose of this Document

This User Guide is targeted at anyone who is involved in managing or leading self-assessment within an organisation, in order to help improve: 1) literacy and numeracy outcomes for learners/trainees, and, 2) the organisation's embedded literacy and numeracy practices. This may include, but is not limited to:

- senior managers and other people leading the embedding of literacy and numeracy in a Tertiary Education Organisation or an Industry Training Organisation
- leaders of academic departments or Schools within a Tertiary Education Organisation which offer programmes with embedded literacy and numeracy
- leaders of service departments in a Tertiary Education Organisation or Industry Training Organisation (e.g., Human Resources, Training programme and resource development, Educational development etc.)
- people responsible for a programme of study which has literacy and numeracy embedded
- educators who embed literacy and numeracy into their teaching or training practices.

This User Guide outlines the purpose, scope and design of the ELN Self-Assessment Tool, as well as ways in which the ELN Self-Assessment Tool can be used appropriately and meaningfully within an organisation. It is important to read this document before using any of the other components of the ELN Self-Assessment Tool.

The remainder of this User Guide consists of two sections.

[Section 1](#) describes the design of the ELN Self-Assessment Tool. It includes an explanation of the Embedded Literacy and Numeracy Whole-of-Organisation Framework, which has formed the basis for the ELN Self-Assessment Tool. It also explains the principles used to design the ELN Self-Assessment Tool. Finally, it describes how the ELN Self-Assessment Tool relates to the Whole-of-Organisation Framework and the NZQA Key Evaluation Questions.

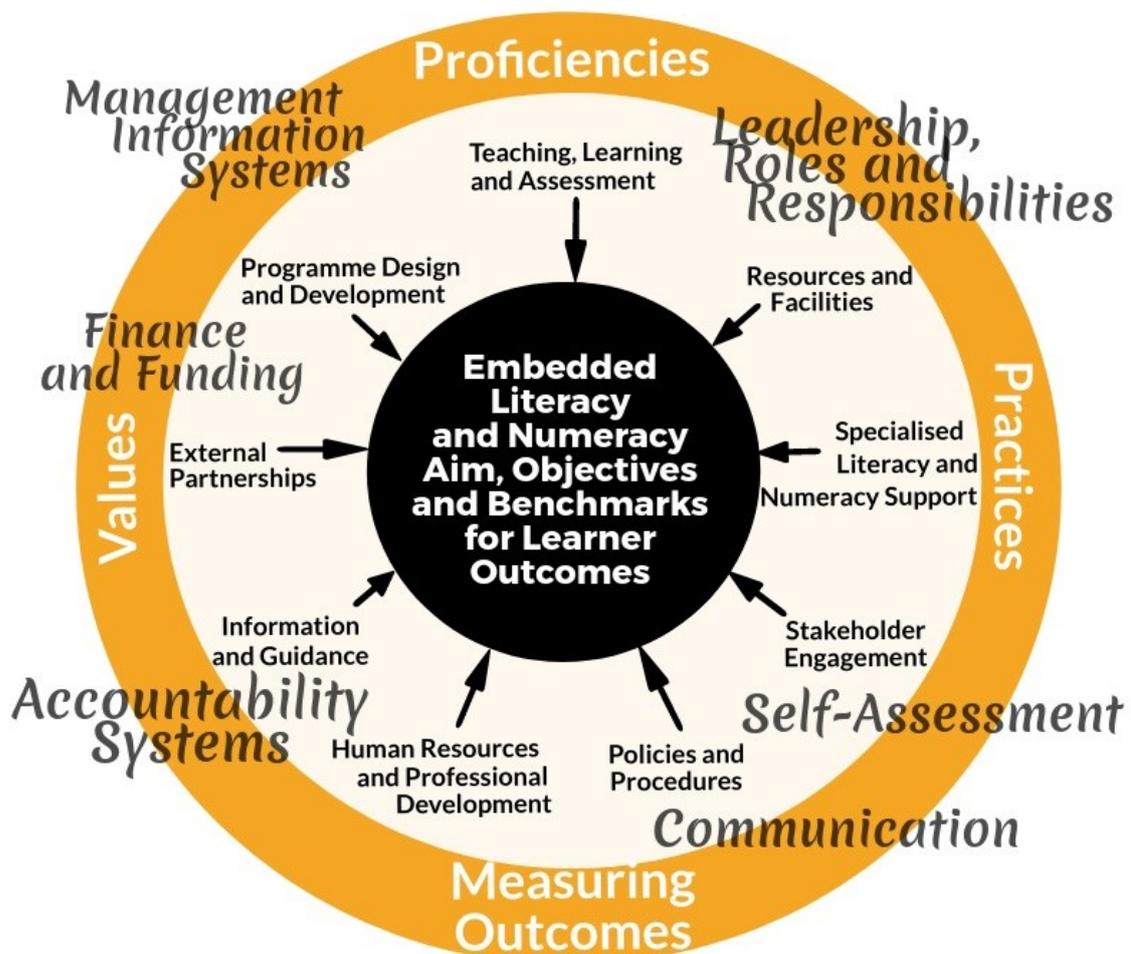
[Section 2](#) of this User Guide then outlines how the ELN Self-Assessment Tool can be used within an organisation.

Various terms and acronyms are used in the description of the ELN Self-Assessment Tool and its components. A list with definitions and explanations within the current context is found in [Appendix 1](#).

Acknowledgements

The initial version of the ELN Self-Assessment Tool was informed by a range of sources (Learning and Skills Improvement Service, 2010; NZQA, 2007, 2010; Quality Improvement Agency for Lifelong Learning, 2008; Reder, 2012). Building on the expertise of National Centre of Literacy and Numeracy for Adults staff who have worked with TEOs and ITOs since 2012 to develop whole-of-organisation approaches to embedded literacy and numeracy, the format and content have developed further, resulting in the ELN Self-Assessment Tool as presented here.

Section 1: Design of the ELN Self-Assessment Tool



A Whole-of-Organisation Approach to Embedded Literacy and Numeracy

The ELN Self-Assessment Tool reflects a whole-of-organisation approach to embedded literacy and numeracy.

In a whole-of-organisation approach to embedded literacy and numeracy every person and every team in an organisation work together in a coherent and consistent way to achieve the organisation's embedded literacy and numeracy aim and objectives.

The Embedded Literacy and Numeracy Whole-of-Organisation Framework developed by the National Centre of Literacy and Numeracy for Adults (NCLANA), and shown in Figure 1, indicates which practices in an educational or training organisation are likely to have a role to play in the whole-of-organisation approach. Obviously, depending on an organisation's structure and the specific services it provides, some of these practices may be more relevant than others.

At the centre of the Whole-of-Organisation Framework are the organisation's aim, objectives and benchmarks for embedded literacy and numeracy: What is the organisation trying to achieve with embedding literacy and numeracy? How is the organisation going to know that it has made a difference to outcomes for learners/trainees by embedding literacy and numeracy? What does 'making a difference' mean for the organisation?

If the organisation has not yet developed an aim and/or objectives and benchmarks for embedded literacy and numeracy, guidance on how to do this is available (NCLANA, [2014a](#), [2014b](#)).

The outer circle in Figure 1 pictures the measurement of the outcomes of the organisation's embedded literacy and numeracy practices against the aim, objectives and benchmarks. This includes measurement of learners'/trainees' literacy and numeracy proficiencies and practices and of the value of the learner/trainee outcomes to stakeholders.

Between the inner and the outer circle are the practice areas within an organisation that contribute to achieving the aim, objectives and benchmarks.

Across the three concentric circles are 'ways of working together' that weave the aim, objectives, benchmarks, practice areas and outcomes into a systemic and sustainable approach to embedded literacy and numeracy. These 'ways of working together' are shown in italics.

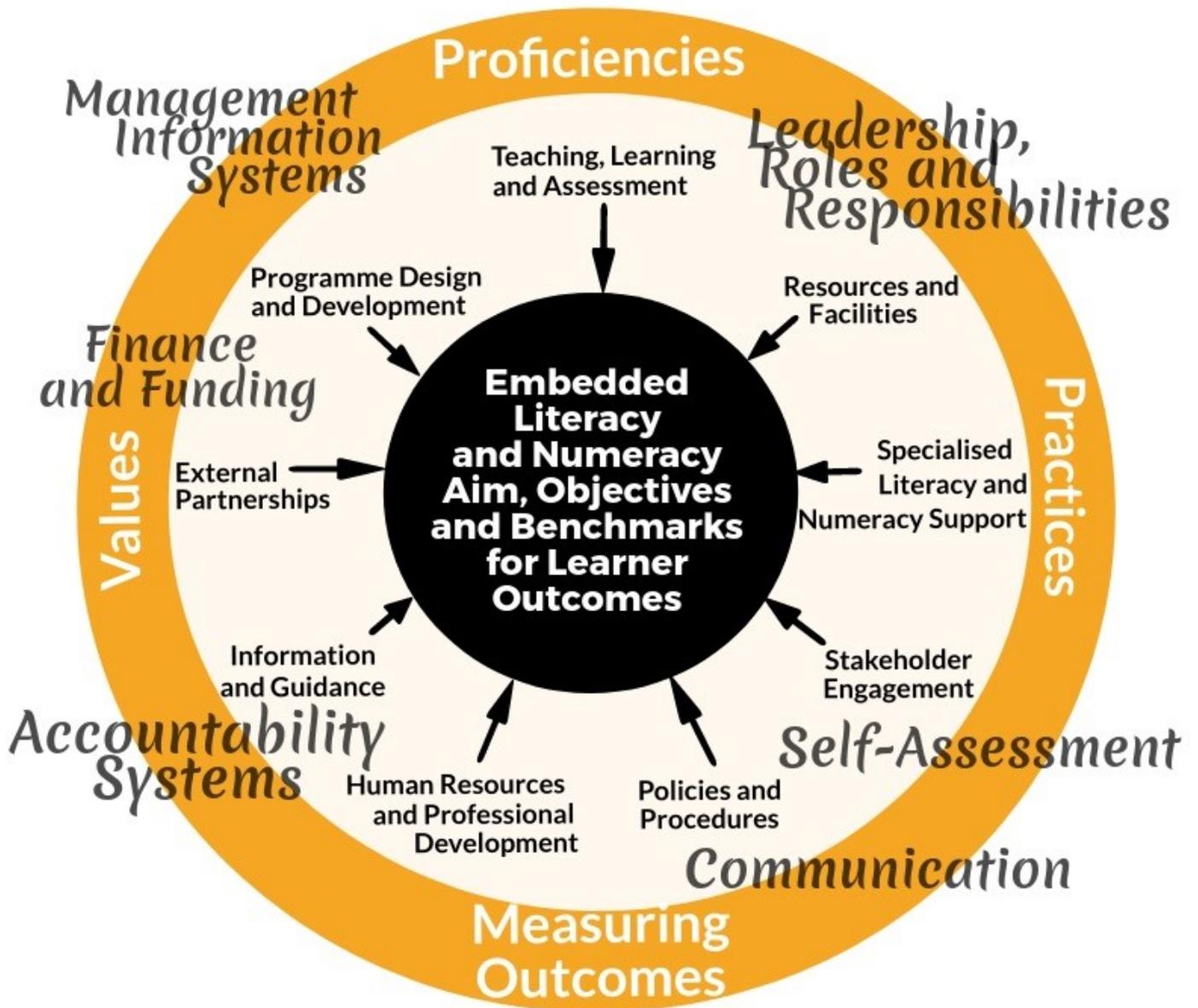


Figure 1: Embedded Literacy and Numeracy Whole-of-Organisation Framework

Self-assessment using a whole-of-organisation approach to embedded literacy and numeracy has three characteristics:

- 1) Each element in the Whole-of-Organisation Framework is assessed and reflected on.

Each element, or a small set of elements together, is being considered in depth. Strengths are identified, based on documented evidence. Areas for improvement are identified as well, and preliminary actions for improvement suggested.

- 2) The assessment and reflection are carried out against criteria that are coherent across the organisation.

Each element is judged against criteria which focus on achieving the embedded literacy and numeracy aim, objectives and benchmarks of the organisation, and reflect good practices in embedded literacy and numeracy.

- 3) The self-assessment findings and their interrelationships are reflected on as a whole in order to develop a cross-organisational picture of strengths and actions for improvement of embedded literacy and numeracy.

Once all elements have been assessed, all identified strengths, areas for improvement and preliminary actions for improvement are considered in relation to each other. A cross-organisational overview of strengths plus evidence is created. Areas for improvement and preliminary actions are combined and reviewed to identify potential larger-scale action projects that need to be put in motion. An organisational action plan is created.

The above process can also be applied to a department or other unit within an organisation, or to a single programme.

The ELN Self-Assessment Tool has been created to support this process at organisational, organisational unit, and programme level.



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Design Principles Underpinning the ELN Self-Assessment Tool

The following principles have guided the design of the ELN Self-Assessment Tool:

- The ELN Self-Assessment Tool gives direction to its users as to what good practice in embedded literacy and numeracy looks like.
- Usage of the ELN Self-Assessment Tool results in a judgement of an organisation's or programme's ELN outcomes and practices, stated evidence for this judgement, and actions for improvement.
- The ELN Self-Assessment Tool is aligned with the Key Evaluation Questions (NZQA, [n.d.-a](#), [n.d.-b](#)) in order to enable integration into an organisation's existing self-assessment processes.
- The ELN Self-Assessment Tool acknowledges that self-assessment of ELN is a collaborative activity. As such, it is meant to stimulate conversation and discussion about ELN within an organisation.
- The ELN Self-Assessment Tool can be applied within an organisation as a whole, but also within individual subsections of an organisation as relevant to the organisation (e.g., a single programme, a department or other organisational unit).
- Using the ELN Self-Assessment Tool results in a comprehensive analysis of the strengths and areas for improvement in an organisation. At the same time, using the ELN Self-Assessment Tool should not take up an unreasonable amount of time.
- The ELN Self-Assessment Tool is flexible in the sense that at any time users can select on which ELN self-assessment areas they want to focus.
- Organisations are able to use the ELN Self-Assessment Tool without support from outside agencies, although initial training of facilitators may be helpful to get the most out of using the ELN Self-Assessment Tool.

Components of the ELN Self-Assessment Tool

The ELN Self-Assessment Tool consists of this User Guide and three sets of questionnaires as shown in Figure 2:

- A set of 9 questionnaires for self-assessing ELN across an entire organisation or an organisational unit in a Tertiary Education Organisation (TEO-O)
- A set of 7 questionnaires for self-assessing ELN across a single programme in a Tertiary Education Organisation (TEO-P)
- A set of 9 questionnaires for self-assessing ELN across an entire organisation or an organisational unit in an Industry Training Organisation (ITO-O).

The creation of questionnaire sets rather than a single long questionnaire has been deliberate. In this way users can select only those questionnaire/s that are most appropriate for the focus of their particular self-assessment activity. Not all questionnaires in a set need to be used during a self-assessment activity. The variety of ways in which they can be used is explained in [Section 2](#).

The contents of each questionnaire set in terms of the elements of the Whole-of-Organisation Framework are listed in Tables 1 to 3.

Questionnaire set to be used (number of questionnaires)	TEO-O (9)	TEO-P (7)	ITO-O (9)
Level of self-assessment	Organisation or Organisational unit level	Programme level	Organisation or Organisational unit level
Type of organisation	TEOs		ITOs

Figure 2: Sets of questionnaires available for each self-assessment situation

Table 1: Description of questionnaire set TEO-O: Self-assessment across an Organisation or Organisational Unit in a TEO

Questionnaire number	Questionnaire title	Elements of the Whole-of-Organisation Framework included
TEO-O-1	Outcomes	<ul style="list-style-type: none"> • ELN Aim, Objectives and Benchmarks for Learner Outcomes • Measuring Outcomes
TEO-O-2	Leadership and Management	<ul style="list-style-type: none"> • Leadership, Roles and Responsibilities • Accountability Systems • Resources and Facilities • Management Information Systems • Policies and Procedures • Communication • External Partnerships
TEO-O-3	Stakeholder Engagement	<ul style="list-style-type: none"> • Stakeholder Engagement
TEO-O-4	Programme Design and Development	<ul style="list-style-type: none"> • Programme Design and Development • Resources and Facilities
TEO-O-5	Teaching Learning and Assessment	<ul style="list-style-type: none"> • Teaching, Learning and Assessment
TEO-O-6	Information Guidance and Specialised Support	<ul style="list-style-type: none"> • Information and Guidance • Specialised Literacy and Numeracy Support
TEO-O-7	Human Resources and Professional Learning	<ul style="list-style-type: none"> • Human Resources and Professional Learning
TEO-O-8	Finances and Funding	<ul style="list-style-type: none"> • Finances and Funding
TEO-O-9	Quality of Self-Assessment	<ul style="list-style-type: none"> • Self-Assessment

Table 2: Description of questionnaire set TEO-P: Self-assessment across a Programme in a TEO

Questionnaire number	Questionnaire title	Elements of the Whole-of-Organisation Framework included
TEO-P-1	Outcomes	<ul style="list-style-type: none"> • ELN Aim, Objectives and Benchmarks for Learner Outcomes • Measuring Outcomes
TEO-P-2	Leadership and Management	<ul style="list-style-type: none"> • Communication • Accountability Systems • Resources and Facilities • Management Information Systems • Policies and Procedures
TEO-P-3	Programme Design and Development	<ul style="list-style-type: none"> • Programme Design and Development • Resources and Facilities
TEO-P-4	Teaching Learning and Assessment	<ul style="list-style-type: none"> • Teaching, Learning and Assessment
TEO-P-5	Information Guidance and Specialised Support	<ul style="list-style-type: none"> • Information and Guidance • Specialised Literacy and Numeracy Support.
TEO-P-6	Human Resources and Professional Learning	<ul style="list-style-type: none"> • Human Resources and Professional Learning
TEO-P-7	Quality of Self-Assessment	<ul style="list-style-type: none"> • Self-Assessment

Table 3: Description of questionnaire set ITO-O: Self-assessment across an Organisation or Organisational Unit in an ITO

Questionnaire number	Questionnaire title	Elements of the Whole-of Organisation Framework included
ITO-O-1	Outcomes	<ul style="list-style-type: none"> • ELN Aim, Objectives and Benchmarks for Learner Outcomes • Measuring Outcomes
ITO-O-2	Leadership and Management	<ul style="list-style-type: none"> • Leadership, Roles and Responsibilities • Accountability Systems • Resources and Facilities • Management Information Systems • Policies and Procedures • Communication • External Partnerships
ITO-O-3	Stakeholder Engagement	<ul style="list-style-type: none"> • Stakeholder Engagement
ITO-O-4	Training Programme Design and Development	<ul style="list-style-type: none"> • Programme Design and Development • Resources and Facilities
ITO-O-5	Training and Assessment	<ul style="list-style-type: none"> • Teaching, Learning and Assessment
ITO-O-6	Information Guidance and Specialised Support	<ul style="list-style-type: none"> • Information and Guidance • Specialised Literacy and Numeracy Support
ITO-O-7	Human Resources and Professional Learning	<ul style="list-style-type: none"> • Human Resources and Professional Learning
ITO-O-8	Finances and Funding	<ul style="list-style-type: none"> • Finances and Funding
ITO-O-9	Quality of Self-Assessment	<ul style="list-style-type: none"> • Self-Assessment

Relationship between the Questionnaires and the Key Evaluation Questions

The ELN Self-Assessment Tool is aligned with the Key Evaluation Questions (NZQA, [n.d.-a](#), [n.d.-b](#)) to assist organisations with integrating self-assessment of embedded literacy and numeracy into existing self-assessment processes if they choose to do so. Table 4 (for Tertiary Education Organisations) and Table 5 (for Industry Training Organisations) show how each questionnaire can contribute to answering one or more of the Key Evaluation Questions.

Table 4: Relationship between Key Evaluation Questions (NZQA, n.d.-a) and ELN Self-Assessment Tool questionnaires for Tertiary Education Organisations.

	ELN Self-Assessment Tool Questionnaire that may help answer this Key Evaluation Question across a(n):	
Key Evaluation Question	Organisation or Organisational Unit	Programme
1. How well do students achieve?	TEO-O-1 Outcomes	TEO-P-1 Outcomes
2. What is the value of the outcomes for stakeholders, including learners?	TEO-O-1 Outcomes TEO-O-3 Stakeholder Engagement	TEO-P-1 Outcomes
3. How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?	TEO-O-3 Stakeholder Engagement TEO-O-4 Programme Design and Development TEO-O-5 Teaching Learning and Assessment	TEO-P-3 Programme Design and Development TEO-P-4 Teaching Learning and Assessment
4. How effectively are students supported and involved in their learning?	TEO-O-5 Teaching Learning and Assessment TEO-O-6 Information Guidance and Specialised Support	TEO-P-4 Teaching Learning and Assessment TEO-P-5 Information Guidance and Specialised Support
5. How well do governance and management support educational performance?	TEO-O-2 Leadership and Management TEO-O-7 Human Resources and Professional Learning TEO-O-8 Finances and Funding	TEO-P-2 Leadership and Management TEO-P-6 Human Resources and Professional Learning
6. How effectively are important compliance accountabilities managed?	TEO-O-8 Finances and Funding	
How well is self-assessment information used to understand educational performance and bring about improvements?	TEO-O-9 Quality of Self-Assessment	TEO-P-7 Quality of Self-Assessment

Table 5: Relationship between Key Evaluation Questions (NZQA, n.d.-b) and ELN Self-Assessment Tool questionnaires for Industry Training Organisations.

Key Evaluation Question	ELN Self-Assessment Questionnaire that may help answer this Key Evaluation Question across an Organisation or Organisational Unit
1. How well does the ITO understand and meet the needs of industry, trainees and government?	ITO-O-2 Leadership and Management ITO-O-3 Stakeholder Engagement
2. What is the value of the outcomes for employers and their trainees?	ITO-O-1 Outcomes ITO-O-3 Stakeholder Engagement
3. How well do trainees achieve?	ITO-O-1 Outcomes
4. How effective is the training arranged by the ITO?	ITO-O-4 Training Programme Design and Development ITO-O-5 Training and Assessment ITO-O-6 Information Guidance and Specialised Support
5. What is the quality of the assessment being undertaken towards industry standards and qualifications?	ITO-O-5 Training and Assessment
6. How well does the ITO's governance and management support the ITO to meet its statutory functions?	ITO-O-2 Leadership and Management ITO-O-7 Human Resources and Professional Learning TEO-O-8 Finances and Funding
How well is self-assessment information used to understand educational performance and bring about improvements?	ITO-O-9 Quality of Self-Assessment

Layout of each Questionnaire

All questionnaires have the same layout. Each is divided into topics, which in their turn consist of one or more indicators against which good practice in embedded literacy and numeracy can be measured. Figure 3 provides an example. Each indicator is accompanied by one or more prompting questions to help the reflective process. The questionnaire asks for a judgement against each good practice indicator as follows:

N/A = This is not applicable to the organisation/organisational unit or programme

D/K = We don't know if we are doing this

1 = We are not doing this yet

2 = We have started on this, but there are still significant improvements to be made

3 = We are doing this well; there are minor improvements to be made

4 = We are doing this very well

Topic	Good practice indicators	Prompting questions	Judgement					
			N/A	D/K	1	2	3	4
Meeting L&N needs and goals of stakeholders	The organisation has a clear understanding of the short and long term L&N needs and goals of key stakeholders, including learners.	How effectively does the organisation identify the short term and long term L&N needs and goals of its key stakeholders, including learners?	<input type="checkbox"/>					
	The organisation identifies and targets priority groups with high L&N development needs.	How well does the organisation identify and target priority groups with high L&N development needs?	<input type="checkbox"/>					
	The organisation knows the L&N proficiencies of the target groups of learners to inform programme development and learner recruitment processes.	How well does the organisation know the L&N proficiencies of the target learner groups? How well does the organisation use this information to inform programme development and learner recruitment processes?	<input type="checkbox"/>					

Figure 3: Making judgements against good practice indicators

At the end of a single topic or a group of topics there are two spaces for summarising the findings (see Figure 4).

The first space is for recording the identified strengths and the evidence of these strengths. Strengths would normally be derived from the good practice indicators against which judgements of 3 or 4 were made. Either the actual evidence may be stated in this space or a reference to the location of the evidence.

The second space is for writing actions that are deemed critical for improvement. It is strongly recommended to develop actions where multiple judgements within the topic have been D/K, 1 or 2.

<p>Strengths of the organisation in regard to Human Resources, and evidence for these:</p> <p>Click here to enter text.</p>
<p>Critical Actions to be taken in the organisation in regard to Human Resources:</p> <p>Click here to enter text.</p>

Figure 4: Recording strengths, evidence and actions for improvement

The questionnaires can be downloaded at www.literacyandnumeracyforadults.com/resources/358102

Section 2: Using the ELN Self-Assessment Tool



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This section provides guidance on how to use the ELN Self-Assessment Tool.

It consists of three parts:

1. [The first part](#) describes a range of scenarios in which the ELN Self-Assessment Tool can be used and which questionnaires are to be used for each scenario.
2. [The second part](#) assists users with organising and facilitating a self-assessment activity using the questionnaires.
3. [The third part](#) applies to one particular scenario only, in which an individual educator self-assesses the embedding of literacy and numeracy in their own teaching, for the purpose of identifying their strengths and areas for improvement.

Except for the scenario described in the third part, self-assessment using the ELN Self-Assessment Tool is always meant to be a group activity, as it is the conversation and exchange of experiences, evidence and ideas that generate the judgements and the actions for improvement.

The Scenarios

The organiser of the self-assessment activity is likely to be a senior or group manager, a programme leader, or an embedding literacy and numeracy leader. Before choosing which scenario is most applicable to a particular self-assessment activity the organiser may find it useful to answer each of the following questions:

- What is the purpose of the self-assessment activity? What are we trying to get out of the activity?
- Do I/we want to self-assess the embedding of literacy and numeracy across the entire organisation, one of the units or departments in the organisation, multiple programmes, or a single programme?
- Which elements of the Embedded Literacy and Numeracy Whole-of-Organisation Framework or which Key Evaluation Questions are the focus of the self-assessment activity?
- Who should be invited to participate in the self-assessment activity?

Eight scenarios, reflecting eight different answers to the above set of questions, are described below. Scenarios 1 and 2 refer to ITOs, while Scenarios 3 to 8 apply to TEOs.

The scenarios are examples; they are not prescriptions. They have been created to show the range of applications of the ELN Self-Assessment Tool. It is anticipated that users of the ELN Self-Assessment Tool will also develop their own scenarios and ways of working that meet the needs of their own contexts.

Additionally, it is acknowledged that each organisation is structured in a different way – teams and units are named differently in different organisations. It is left to the organiser of each self-assessment activity to replace the names and titles in the examples with those that are in use in the organisation.

Scenario 1: Self-assessment of embedded literacy and numeracy across an entire ITO

Purpose of self-assessment activity	Taking stock of the quality of embedded literacy and numeracy across the entire organisation and identifying an action plan for improvement
Type of organisation	ITO
Level	Organisational level
People involved	ELN and other leaders across the organisation, e.g., senior and regional managers, industry engagement advisors, programme developers, training resource developers, ELN advisors, account managers, training advisors, trainee support advisors, literacy and numeracy specialists
Focus of self-assessment	Entire ELN Whole-of-Organisation Framework
Questionnaires to use	<p>All of the following as deemed relevant to the organisation. It is recommended to use the questionnaires in the sequence as described:</p> <ul style="list-style-type: none"> ITO-O-2 Leadership and Management ITO-O-1 Outcomes ITO-O-3 Stakeholder Engagement ITO-O-7 Human Resources and Professional Learning ITO-O-8 Finances and Funding ITO-O-4 Training Programme Design and Development ITO-O-5 Training and Assessment ITO-O-6 Information Guidance and Specialised Support ITO-O-9 Quality of Self-Assessment

Scenario 2: Self-assessment of embedded literacy and numeracy across an organisational unit in an ITO

Purpose of self-assessment activity	Taking stock of the quality of embedded literacy and numeracy in the organisational unit (e.g., a unit supporting a particular industry or employer, the team of account or training managers, the trainee support team, the programme and resource development team)		
Type of organisation	ITO		
Level	Organisational level		
People involved	All people involved in the organisational unit as well as ELN advisors and, if deemed useful, others with a stake in the work of the unit		
Focus of self-assessment	Entire ELN Whole-of-Organisation Framework, as relevant to the unit		
Questionnaires to use	This depends on the role of the particular unit in the organisation and the elements of the ELN Whole-of-Organisation Framework that are relevant to this role. The following may be considered for each unit listed above. It is recommended to use the questionnaires in the sequence as described.		
	For a unit supporting a particular industry or employer: ITO-O-1 Outcomes ITO-O-3 Stakeholder Engagement ITO-O-4 Training Programme Design and Development ITO-O-5 Training and Assessment ITO-O-6 Information Guidance and Specialised Support ITO-O-8 Finances and Funding ITO-O-2 Leadership and Management ITO-O-7 Human Resources and Professional Learning	For the team of account or training managers, or the trainee support team: ITO-O-1 Outcomes ITO-O-4 Training Programme Design and Development ITO-O-5 Training and Assessment ITO-O-6 Information Guidance and Support ITO-O-7 Human Resources and Professional Learning ITO-O-2 Leadership and Management	For the training programme or resource development team: ITO-O-1 Outcomes ITO-O-4 Training Programme Design and Development ITO-O-5 Training and Assessment ITO-O-7 Human Resources and Professional Learning ITO-O-2 Leadership and Management

Scenario 3: Self-assessment of embedded literacy and numeracy across an entire programme in a TEO

Purpose of self-assessment activity	Identifying how well literacy and numeracy are embedded in the programme and developing actions for improvement
Type of organisation	TEO
Level	Programme level
People involved	All people who have a role in teaching and supporting the programme. This may include, but is probably not limited to, educators, literacy and numeracy specialists, technical and administrative support staff, programme leader or manager
Focus of self-assessment	Entire ELN Whole-of-Organisation Framework
Questionnaires to use	All of the following. It is recommended to use the questionnaires in the sequence as described: TEO-P-1 Outcomes TEO-P-3 Programme Design and Development TEO-P-4 Teaching Learning and Assessment TEO-P-5 Information Guidance and Specialised Support TEO-P-6 Human Resources and Professional Learning TEO-P-2 Leadership and Management

Scenario 4: Self-assessment across a programme against a single or more Key Evaluation Question(s) in a TEO

Purpose of self-assessment activity	Answering one or more of the Key Evaluation Questions for the annual programme self-assessment report	
Type of organisation	TEO	
Level	Programme level	
People involved	All people who have a role in teaching and supporting the programme. This may include, but is probably not limited to, educators, literacy and numeracy specialists, technical and administrative support staff, programme leader or manager	
Focus of self-assessment	One or more selected Key Evaluation Questions (KEQs)	
Questionnaires to use	For KEQ 1: How well do students achieve?	TEO-P-1 Outcomes
	For KEQ 2: What is the value of the outcomes for stakeholders, including learners?	TEO-P-1 Outcomes
	For KEQ 3: How well do programme design and delivery, including learning and assessment activities, match the needs of students and other relevant stakeholders?	TEO-P-3 Programme Design and Development TEO-P-4 Teaching Learning and Assessment
	For KEQ 4: How effectively are students supported and involved in their learning?	TEO-P-4 Teaching Learning and Assessment TEO-P-5 Information Guidance and Specialised Support
	For KEQ 5: How well do governance and management support educational performance?	TEO-P-2 Leadership and Management TEO-P-6 Human Resources and Professional Learning
	For KEQ 6: How effectively are important compliance accountabilities managed?	N/A at programme level
	For judging Self-Assessment Capability: How well is self-assessment information used to understand educational performance and bring about improvements?	TEO-P-7 Quality of Self-Assessment

Scenario 5: Self-assessment of embedded literacy and numeracy across an entire TEO

Purpose of self-assessment activity	Taking stock of the quality of embedded literacy and numeracy across the organisation and developing an action plan for improvement
Type of organisation	TEO
Level	Organisational level
People involved	ELN and other leaders across the organisation, e.g., senior managers, heads of academic and service departments, ELN advisers, programme leaders, literacy and numeracy specialists
Focus of self-assessment	Entire ELN Whole-of-Organisation Framework
Questionnaires to use	<p>All of the following. It is recommended to use the questionnaires in the sequence as described:</p> <ul style="list-style-type: none"> TEO-O-2 Leadership and Management TEO-O-1 Outcomes TEO-O-3 Stakeholder Engagement TEO-O-7 Human Resources and Professional Learning TEO-O-8 Finances and Funding TEO-O-4 Programme Design and Development TEO-O-5 Teaching Learning and Assessment TEO-O-6 Information Guidance and Specialised Support TEO-O-9 Quality of Self-Assessment

Scenario 6: Self-assessment of embedded literacy and numeracy across multiple programmes in a TEO

Purpose of self-assessment activity	Taking stock of the quality of embedded literacy and numeracy across multiple programmes, e.g. in an academic unit (e.g., a School, Faculty, Academic Business Unit, Academic Department) and developing an action plan for improvement
Type of organisation	TEO
Level	Programme level
People involved	All people who have a role in teaching and supporting one or more of the programmes. This may include, but is probably not limited to, managers, programme leaders, educators, literacy and numeracy specialists, technical and administrative support staff, ELN advisors, and other stakeholders as deemed relevant.
Focus of self-assessment	Entire ELN Whole-of-Organisation Framework
Questionnaires to use	All of the following. It is recommended to use the questionnaires in the sequence as described: TEO-P-1 Outcomes TEO-P-3 Programme Design and Development TEO-P-4 Teaching Learning and Assessment TEO-P-5 Information Guidance and Specialised Support TEO-P-6 Human Resources and Professional Learning TEO-P-2 Leadership and Management

Scenario 7: Self-assessment of embedded literacy and numeracy in a service/support area within a TEO

Purpose of self-assessment activity	Taking stock of the quality of embedded literacy and numeracy in the service/support area and developing an action plan for improvement			
Type of organisation	TEO			
Level	Organisational level			
People involved	All people involved with the particular service or support area, including staff, managers and other stakeholders with a particular stake in the literacy and numeracy aspect of the service or support. Service or support areas could be, for example, Specialised Literacy and Numeracy and/or Academic Learning Support; Human Resources; Educational Development; ELN Advisory Support.			
Focus of self-assessment	Elements of the ELN Whole-of-Organisation Framework that are relevant to the service/support area			
Questionnaires to use	This depends on the particular service/support area and the elements of the ELN Whole-of-Organisation Framework that are relevant to the particular service or support provided. The following is suggested for each service or support area listed above. It is recommended to use the questionnaires in the sequence as described.			
	For Specialised Literacy and Numeracy and/or Academic Learning Support	For Human Resources	For Educational Development	For Embedding Literacy and Numeracy Advisory Support
	TEO-O-2 Leadership and Management TEO-O-5 Teaching Learning and Assessment TEO-O-6 Information Guidance and Support TEO-O-7 Human Resources and Professional Learning	TEO-O-2 Leadership and Management TEO-O-7 Human Resources and Professional Learning	TEO-O-2 Leadership and Management TEO-O-4 Programme Design and Development TEO-O-5 Teaching Learning and Assessment TEO-O-6 Information Guidance and Support TEO-O-7 Human Resources and Professional Learning	TEO-O-2 Leadership and Management TEO-O-1 Outcomes TEO-O-3 Stakeholder Engagement TEO-O-4 Programme Design and Development TEO-O-5 Teaching Learning and Assessment TEO-O-6 Information Guidance and Specialised Support TEO-O-7 Human Resources and Professional Learning TEO-O-8 Finances and Funding

Scenario 8: Self-assessment of an educator's own embedding literacy and numeracy practices in a TEO

Purpose of self-assessment activity	Identifying an educator's own strengths and areas for improvement in embedding literacy and numeracy, e.g., to develop an annual professional learning plan
Type of organisation	TEO
Level	Programme level
People involved	Individual educator
Focus of self-assessment	Teaching, Learning and Assessment; Human Resources and Professional Learning
Questionnaire to use	TEO-P-5 Teaching Learning and Assessment TEO-P-6 Human Resources and Professional Learning

Organising and Facilitating a Self-Assessment Activity using the Questionnaires

This section assists users of the ELN Self-Assessment Tool with organising and facilitating a self-assessment activity using the questionnaires. This section applies to Scenarios 1 to 7 only. For guidance on Scenario 8 please refer to [Self-Assessment of an Educator's Own Embedding Literacy and Numeracy Practices – Scenario 8](#) later in this document.

The organiser of the self-assessment activity would normally be a person within the organisation who is responsible for overseeing the embedding of literacy and numeracy across the organisation or part of the organisation, or across a study or training programme, that is, a senior or group manager, a programme leader, or an ELN leader.

The facilitator is the person who will lead the self-assessment activity. The facilitator may be internal or external to the group of participants in the self-assessment activity, but will not participate in the discussions. It is important that the facilitator understands the ELN Whole-of-Organisation Framework and the concept of a whole-of-organisation approach, is familiar with using the questionnaires, and has the skills to plan and lead a self-assessment activity with the group of participants as identified by the organiser.

While the facilitator is responsible for leading the self-assessment activity, s/he is not responsible for the outcomes, or for writing or implementing the action plan. These responsibilities lie with the organiser.

Step 1: Preparing an Embedded Literacy and Numeracy Self-Assessment Activity

The organiser appoints a facilitator.

The organiser and the facilitator collaboratively identify the appropriate scenario by answering the questions at the top of the [Scenarios](#) section. They may decide to develop an alternative scenario if none of the scenarios meet the needs of the organiser.

The organiser decides who will be invited to the self-assessment activity.

Based on the chosen scenario and the number of people who are expected to participate, the facilitator prepares a session plan for the self-assessment activity (refer to Step 2 below for guidance).

The organiser schedules the self-assessment activity and invites the participants. In consultation with the facilitator s/he also advises the participants which resources to bring to the activity, particularly whether they need to bring a laptop or tablet if electronic copies of the questionnaires will be used.

The facilitator downloads the required questionnaires and either makes them electronically accessible to participants or prints paper copies for each participant, whichever is preferable for the organisation and/or the people involved.

Step 2: Facilitating an Embedded Literacy and Numeracy Self-Assessment Activity

The following structure is recommended for the ELN self-assessment activity. It may assist the facilitator with developing the session plan.

1. Introduction to the self-assessment activity

The introduction is recommended to include each of the steps below. The introduction can take up to 30 minutes, but will be shorter if participants have worked with the ELN Self-Assessment Tool before.

- Mihi or Welcome.
- Introduction of participants and facilitator, if they don't know each other.
- Explanation of the purpose and the intended outcome of the self-assessment activity.
- If this is the first time that participants engage with the ELN Self-Assessment Tool: Explanation of the whole-of-organisation approach to embedded literacy and numeracy. The diagram in [Figure 1](#) may be useful for this purpose. It is important to emphasise the centrality of learner/trainee outcomes, and how every action taken within the organisation with respect to embedding literacy and numeracy is targeted at achieving intended learner/trainee outcomes.

Also explain which elements of the Whole-of-Organisation Framework will be addressed in this session.

- Information on the schedule of the activity: what participants will be asked to do, how they will report back, when the breaks will be, what will happen with the results of the activity.
- Explanation on how to complete the questionnaires. If participants have used the questionnaires before a quick reminder may be sufficient. Ensure that all participants have a (paper or electronic) copy of the first questionnaire. Explain that:
 - participants will be working in groups; each group appoints a note-taker who is responsible for filling in the questionnaire/s on behalf of the group
 - each group is asked to make a judgement on each good practice indicator; the prompting questions are there to help focus their thinking; the judgement is made against the indicator, not against the prompting questions
 - if the good practice indicator does not apply to their situation, they tick the N/A box
 - if the good practice indicator does apply, the group makes a judgement as per the explanation at the top of the questionnaire; the judgement must be based on evidence
 - after having completed each topic or group of topics, the group is asked to summarise the strengths they have identified and write these in the first box; the strengths are derived from judgements that have been 3 or 4; the group must also state the evidence of these identified strengths or where evidence of the strengths can be located
 - in the second box at the bottom of each topic or group of topics the group is asked to write actions that they consider critical for improvement of their practices; actions are particularly required if various judgements within the topic/s have been 1, 2 or D/K
 - the group then continues with the next topic until the entire questionnaire has been completed
 - you as the facilitator will keep a watch on the time and on the progress

2. The self-assessment activity

Depending on the number of participants, the time available, and the number of questionnaires that are to be completed, the facilitator decides how to structure the session.

To assist with planning, Table 6 gives an indication of the time in which a group would normally be able to complete each individual questionnaire.

Table 6: Indicative maximum completion time for a group for each individual questionnaire

Questionnaire title	TEO-Organisational level	TEO-Programme level	ITO-Organisational level
Outcomes	TEO-O-1: 30 min.	TEO-P-1: 30 min.	ITO-O-1: 30 min.
Leadership and Management	TEO-O-2: 45 min.	TEO-P-2: 30 min.	ITO-O-2: 45 min.
Stakeholder Engagement	TEO-O-3: 30 min.	N/A	ITO-O-3: 30 min.
(Training) Programme Design and Development	TEO-O-4: 45 min.	TEO-P-3: 45 min.	ITO-O-4: 45 min.
Training/Teaching Learning and Assessment	TEO-O-5: 45 min.	TEO-P-4: 45 min.	ITO-O-5: 45 min.
Information Guidance and Specialised Support	TEO-O-6: 30 min.	TEO-P-5: 20 min.	ITO-O-6: 30 min.
Human Resources and Professional Learning	TEO-O-7: 30 min.	TEO-P-6: 15 min.	ITO-O-7: 20 min.
Finances and Funding	TEO-O-8: 15 min.	N/A	ITO-O-8: 15 min.
Quality of Self-Assessment	TEO-O-9: 15 min.	TEO-P-7: 15 min.	ITO-O-9: 15 min.

The following may be useful for designing the structure of the session.

Five or fewer participants

- All participants conduct the self-assessment as a single group.
- The group completes all questionnaires that the organiser and facilitator have selected as relevant to the chosen scenario. It is recommended for the group to spend no more than 2.5 hours in total on completing the questionnaires. Because there is only one group, there may not be sufficient time to complete all questionnaires as desired.
- One option is to split the session in two, and finish the work on a different day.
- A second option is to follow the recommended sequence which is provided in the description of each scenario. The sequence has been chosen such that elements of the ELN Whole-of-Organisation Framework that are likely to have the most impact on improvement of the quality of embedded literacy and numeracy will be discussed first. This means that if time is short or running out, the facilitator may decide, in collaboration with the organiser, to not include the lower-impact questionnaires.
- Because there is only one group, the facilitator can sit with the group to help keep the conversation focused. This may shorten the time required to complete each questionnaire.
- It may be useful to plan for an additional 10 minutes for completing the first questionnaire, as the group will need time to focus their thinking.
- Once all questionnaires have been completed, time (1 hour-75 minutes) needs to have been scheduled to consolidate the findings. The group makes a list of all strengths plus evidence, and groups or combines the strengths where appropriate. Next, the group lists all actions and, if there are many, identifies themes across the actions. Often multiple actions can be grouped into one larger action.
- The group then completes the summary of strengths and the action plan. A template is found in Appendix 2. Completion of the summary and strengths and of the action plan could also occur after the session. It is then important to agree during the session who will do this and by when.
- Completed questionnaires, summary of strengths and action plan are all filed in an agreed place that is accessible to all.
- It is agreed during the session who will initiate and oversee the implementation of the action plan.

More than five participants

If there are more than five participants it is recommended to form smaller groups. Ideally each group consists of 3-5 people to encourage everyone to contribute to the conversations as well as to enable exchange of multiple ideas. With multiple groups, one of the following two situations will apply.

i) Multiple groups are formed and only one questionnaire is to be completed

- In this situation each group completes the questionnaire.
- The final 30 minutes of the session are used for each group to present their findings to the other groups.
- While the groups are presenting, the facilitator writes the strengths and actions on a large sheet of paper or on a whiteboard or screen that is visible to all.
- After all strengths and actions have been presented, the facilitator leads the discussion for the groups to decide on a single list of strengths and actions.
- The summary of strengths and action plan are then completed. A template is found in [Appendix 2](#). Completion of the summary and strengths and of the action plan could also occur after the session. It is then important to agree during the session who will do this and by when.
- Completed questionnaires, summary of strengths and action plan are all filed in an agreed place that is accessible to all.
- It is agreed during the session who will initiate and oversee the implementation of the action plan.

ii) Multiple groups are formed and multiple questionnaires are to be completed

- One option for this situation is to structure the activity in the same way as for multiple groups and one questionnaire. After completion of one or a few questionnaire/s the groups present to each other as described under i) above and the facilitator leads the discussion for the groups to decide on a single list of strengths and actions.
- However, if there are many questionnaires this may take up a lot of time. It is also recommended for a group to spend no more than 2.5 hours in total on completing the questionnaires. Additionally, the actions that are identified across the questionnaires are often related and a more holistic perspective can be obtained if all identified actions across all questionnaires are considered simultaneously. To achieve this, the following alternative approach is worth considering if there are 4 or more questionnaires to be completed.
- The questionnaires are divided among the groups, with each group having to complete 2 to 5 questionnaires. The groups are formed in such a way that group members have sufficient knowledge of the topics in the questionnaires that are given to their group. This not only helps with participant engagement, but it also ensures that, if evidence for the judgements exists, the group members are likely to know of it, and as such it helps avoid too many 'don't knows' in the answers.

- Each group then completes the questionnaires they have been given.
- Subsequently, they write the strengths and critical actions that they have identified on a large sheet of paper (e.g., flip chart sheets or butcher paper). A separate paper is used for each questionnaire, and the title of the questionnaire is written at the top of the paper. This implies that if 4 questionnaires have been completed there will be 4 large sheets with strengths and actions. The sheets are hung on the wall, visible to everyone.
- Once all sheets are hung each group briefly presents their strengths and actions to the others who have an opportunity to ask questions and discuss. Changes are made to strengths and/or actions if needed.
- The groups are then invited, with help from the facilitator, to group or combine the strengths where appropriate. Next, the group identifies themes across the actions that enable for some of the actions to be combined.
- During the discussion the facilitator can either add notes to the papers on the wall to indicate the outcomes of the discussion, or s/he writes the strengths and actions on a fresh screen, or a large sheet of paper or a whiteboard, such that this is visible to all.
- For developing the concluding summary of strengths and the action plan, either of the following could be done.
 - During the session, the grouped or combined strengths and actions are distributed among the groups. Each group completes a summary of their assigned strengths and a plan for their assigned actions. A template is found in [Appendix 2](#). After the session one person or a small group will combine the work of the groups into a single document.
 - .One person or a small group takes all the findings from the session with them to create a summary of the strengths and an action plan. A template is found in [Appendix 2](#).
- It is important to agree during the session who will do the after-session work, by when, and how the outcomes will be communicated to everyone.
- Completed questionnaires, summary of strengths and action plan are all filed in an agreed place that is accessible to all.
- It is agreed during the session who will initiate and oversee the implementation of the action plan.

Self-assessment of an educator's own embedding literacy and numeracy practices – Scenario 8

Scenario 8 is a special case in that it is the only scenario presented that involves self-assessment by an individual. This scenario can be initiated by the individual educator, or by their manager as a requirement for the educator's preparation for their performance appraisal or annual professional development planning.

The individual educator downloads the two questionnaires (TEO-P-4 Teaching, Learning and Assessment, and TEO-P-6 Human Resources and Professional Learning) and judges her/his own performance on each good practice indicator.

At the end of each topic or group of topics s/he records the identified strengths and the evidence of these strengths. Strengths would normally be derived from the good practice indicators against which judgements of 3 or 4 were made. Either the actual evidence may be stated in this space, or a reference to the location of the evidence.

The educator also identifies and records critical actions for improvement, particularly for the good practice indicators that are judged 1, 2 or D/K.

After having completed the questionnaires the educator develops a summary of strengths and an action plan which may include professional learning actions. A template is available in [Appendix 2](#). They may wish to discuss this with colleagues or their manager, in order to gain support for implementing the plan.

Scenario 8 takes approximately one hour to complete.

Appendix 1: Definitions and Acronyms

This list of definitions and acronyms applies to this User Guide as well as to the Questionnaires. It may be helpful not only to readers of this document, but also to facilitators when questions arise during self-assessment activities.

Benchmarks for L&N Learner/ Trainee Outcomes	Criteria against which judgements can be made about a whole organisation's or a programme's performance. The criteria of concern are those that indicate the extent to which the organisation or the programme has made a difference to learners'/trainees' literacy and numeracy outcomes.
Component	Components are units of learning that make up a programme. They include projects, papers, courses, modules, practicals and outcomes of assessment standards (NZQA, 2015).
Educator	Anyone involved with teaching learners. Educators include kaiako, trainers, training advisors, mentors, coaches, tutors, lecturers, teachers, learning facilitators.
Embedded Literacy and Numeracy	Teaching and learning of literacy and numeracy within the context and tasks of another subject or skill (for example, panel beating). Explicit literacy and numeracy instruction is provided as it is required for the context and task at hand. (Slightly adapted from TEC, 2009, pp.41 and 9).
ITO	Industry Training Organisation.
Key Evaluation Questions	Questions posed to guide the evaluation of educational performance during the NZQA External Evaluation and Review process (NZQA, n.d.-a, n.d.-b).
L&N	Literacy and Numeracy.
L&N Learner/ Trainee Outcomes	Actual outcomes of a learner's/trainee's literacy and numeracy proficiency and/or practices as a result of their engagement in (embedded) literacy and numeracy programmes.
L&N Objectives	See Objectives for L&N Learner/Trainee Outcomes.
L&N Practices	<p>The literacy and numeracy that people use in their everyday work and life tasks. Practices are deeply contextualised and strongly embedded in these tasks, implying that a task cannot be completed successfully and competently without the literacy and numeracy practices within it being effective.</p> <p>Literacy and numeracy practices cannot be isolated from the tasks in which they are embedded. Therefore, measurement of effective literacy and numeracy practices can only occur in the context of the task. However, for practices to be effective they require a minimum level of literacy and numeracy proficiency – as defined above. This minimum level can be identified through a process known as 'Knowing the demands' (NCLANA, n.d.)</p>
L&N Proficiency	The ability to complete literacy and numeracy tasks as measured against the Learning Progressions (TEC, 2008).
Learner	Anyone enrolled with a Tertiary Education Organisation.
Literacy	The written and oral language people use in everyday life and work. A person's literacy refers to the extent of their oral and written language skills and knowledge and their ability to apply these to meet the varied demands of their personal study and work lives (TEC, 2009, pp. 41).

NCLANA	National Centre of Literacy and Numeracy for Adults
Numeracy	The bridge between mathematics and real life. A person's numeracy refers to their knowledge and understanding of mathematical concepts and their ability to use their mathematical knowledge to meet the varied demands of their personal, study and work lives (TEC, 2009, pp. 41-42).
Objectives for L&N Learner/Trainee Outcomes	Explicit literacy and numeracy outcomes for learners/trainees that a particular organisation or programme is aiming to gain from (embedded) literacy and numeracy programmes – also referred to as L&N Objectives.
Organisation	In this User Guide: A Tertiary Education Organisation or an Industry Training Organisation.
Organisational unit	A part of an organisation performing a particular role within the organisation, e.g., a School, Business Unit, Human Resources department, Academic Learning Support department, Industry Relationships department.
Programme	A coherent arrangement of learning or training that is based on clear and consistent aims, content, outcomes and assessment practices, and which leads to a qualification on the NZQF (NZQA, n.d.-c).
TEO	Tertiary Education Organisation, including Institutes of Technology and Polytechnics, Private Training Establishments, and Other Tertiary Education Providers.
Trainee	Anyone enrolled with an Industry Training Organisation.

Appendix 2: Template for Embedded Literacy and Numeracy Summary of Strengths and Action Plan

Summary of Strengths

Strengths	Evidence	Location of evidence
1.		
2.		
3.		
4.		

Action Plan

Action (What)	Time frame (By when)	Person/s responsible	Other people involved	Intended outcome	Resources required

Appendix 3: References

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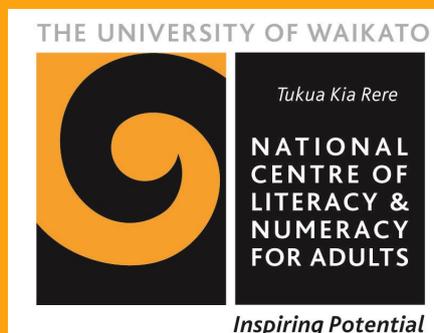
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