

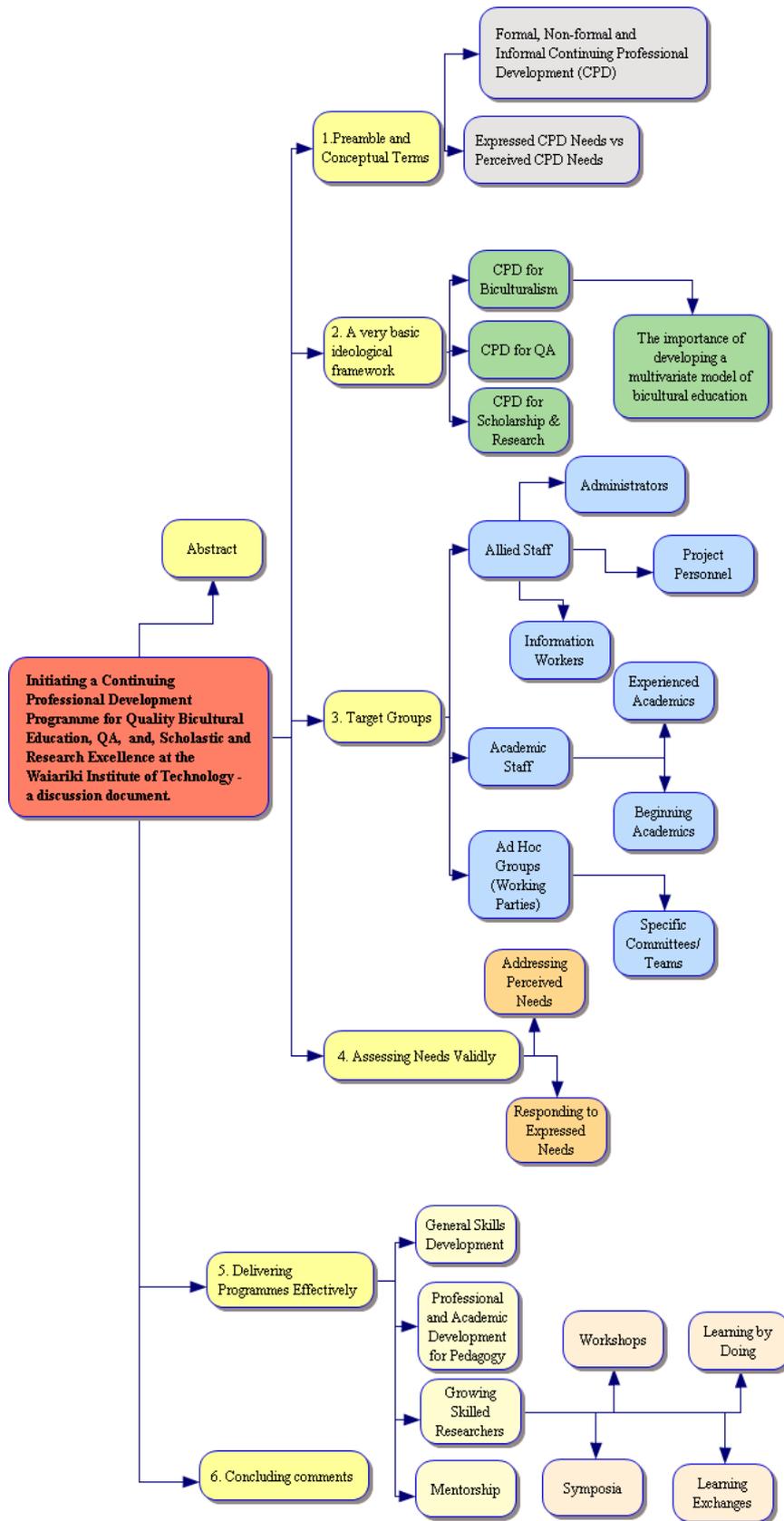
# **Initiating a Continuing Professional Development Programme for Quality Bicultural Education, QA, and Scholastic and Research Excellence at the Waiariki Institute of Technology – a discussion document.**

## **Abstract**

The intention of this paper is to ignite discussion about continuing professional development (CPD) at Waiariki Institute of Technology. Three formal forms of CPD operate within Waiariki and it is noted that data about the range, nature and extent of involvement in CPD can be easily recorded. Such data should be gathered. Not so easily documented are non-formal and informal forms of CPD but their importance must not be overlooked. This discussion paper notes that although the Charter and the Business Plan are strong on espousing biculturalism, it appears that CPD which focuses on biculturalism may not be strong in practice. It is suggested that measures to strengthen this should be considered and action learning approaches are advocated. The discussion paper also notes that QA and CPD go hand-in-hand and while the Institute clearly provides CPD, the systematic linkage of such activity to performance appraisals is an important factor that must not be neglected. The need for induction programmes is noted and the importance is highlighted of growing researchers through carefully planned and systematically delivered CPD, mentoring, symposia and workshops. Finally, the discussion document provides two appendices detailing specific policies the Institute may wish to consider adapting and adopting.



Dr. Jens J. Hansen, October, 2008



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Figure One: Elements of a Discussion Paper on CPD at Waiariki

## 1. Preamble and Conceptual Terms

An organisation best serves its own interests by employing a person's future. While a potential employee's reservoir of past experiences must be acknowledged because these partially influence how they will respond to unfolding events, there can be little doubt that it is their capacity to adapt to both the present and to the future which is the most powerful determinant of tomorrow's flourishing performances. Such performances, therefore, are primarily generated by an ability to learn on the job, and by a capacity for successful and continuous evolution. And these are dynamic dimensions of the employee's future rather than only a product of their past.

Jens J. Hansen, 1995.

### 1.1. Formal, Non-formal and Informal Continuing Professional Development (CPD)<sup>1</sup>

It's an easy matter to suggest *formal* continuing professional development (CPD) is alive and well within any tertiary institution simply because there is almost always some form of evidence of a range of scheduled activities being on offer at periodic intervals throughout the academic year. And the mere fact that there are subscribers to such events is probably the simplest form of affidavit that can be used to show that CPD is proceeding irrespective of whether participation in CPD learning episodes is voluntary or mandatory. By extension, counting the number of programmes and summing the number of 'bums on seats' (and even calculating the mean number of attendees per course) becomes another very simple expression of evidence that CPD is happening.

Furthermore, it can be reasonably claimed that staff members who are involved in studying for higher degrees are also participating in ongoing CPD. Indeed, if their quest for a higher qualification involves *formal* study towards a postgraduate degree, such staff members are deemed, for purposes of Performance Based Research Funding (PBRF), to be *research active*<sup>2</sup>. Hence, counting the numbers of people who are participating in this form of CPD is probably just as useful as counting the number of

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<sup>1</sup> The simple typology of Formal, Non-formal and Informal has been discussed in depth by a range of authors including Philip Coombs (1985); Colin Gunn (1986, 1993); Jens Hansen (1987, 1988, 1995); Jenny Harré Hindmarsh (1993) and Wilbur Schramm (1977). In addition, Victoria Marsick (1987, 1988); Karen Watkins (1988) and, Marsick and Watkins (1990) have conducted considerable work on informal learning within the workplace.

<sup>2</sup> Their designation of being considered to be *research active* is, of course, a bonus because that status can contribute to the institution's performance ranking and hence to the overall disbursements that are made by the TEC to that institution under the aegis of PBRF.

staff 'bums on seats' for CPD programmes.

There are also luminaries from within tertiary institutions who venture onto scholastic stages at academic symposia, fora and workshops. By doing so, they become participants and contributors to another kind of *formal* CPD. Presenters who command academic daises range from beginning professionals through to seasoned, experienced practitioners and/or researchers. Some go on to have their work published in conference proceedings or journals (refereed and non-refereed) thus gaining two (or sometimes more) outputs from a single academic exercise. Notwithstanding outputs and whether or not their various productions become counted towards PBRF, they are all participants in another kind of formal CPD. Moreover, the roll-call of what they deliver, the outputs they achieve, can be counted thereby affording another simple measure that can be applied for gauging this form of CPD activity. Hence there are at least three tangible measures of *formal* CPD which a tertiary institution can use in showing that CPD is existent – the number of courses on offer (and the numbers participating); the numbers involved in studying for higher degrees; and, finally, the various contributions which are presented across scholastic media and which can listed as a form of academic output<sup>3</sup>.

As well as these formal typologies of CPD, there are those which can be described as *non-formal*. Non-formal CPD typically involves individuals participating in activities which are adjunct to their job prescription and their general work remit. Non-formal CPD might not, therefore, formally relate to an individual's position description and nor might it link to their key performance indicators (KPIs). However, they can and do provide CPD extension and/or enrichment. For instance, by attending a public speaking course, an individual might learn to communicate better which *extends* skills. Also, by attending a workshop on how to project their voice, an already competent orator might *enrich* ability. Measuring the extent to which such activities do, or do not occur within the ambit of a tertiary institution does not typically fall within the orbit of those who manage such establishments. But as we shall see, a range of procedures for capturing the extent to which non-formal CPD occurs could be considered when developing a comprehensive approach to planning for an effective

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<sup>3</sup> Whether or not such measures are valid or even the best form measure is another question but it will not be addressed in this discussion document.

*whole-of-institution* approach to providing CPD.

A seldom recognised but intensely valuable form of CPD involves that achieved through *informal learning*. *Informal CPD* involves informal or incidental learning episodes, through which individuals and communities of practice learn. Fundamentally, workers involved in informal learning often learn from colleagues within the workplace but just as often, they can learn from their participation within a broad range of non-work settings including self-directed computing and or Internet surfing. Informal CPD activities are, therefore, much more difficult to identify even though such learning instalments are almost always thought of as having immense value. Furthermore, it is even harder to devise sound but simple procedures which can be used for identifying, describing, evaluating and quantifying the benefits of such CPD events. But the importance of this kind of CPD must not be neglected if only because it has been suggested that as much as 90 per cent of all work-based learning (not training<sup>4</sup>) is informal in origin (Gunn, 1986; Marsick & Watkins, 1990; Hansen; 1995).

In summary, *formal* continuing professional development (CPD) is evidenced because of the range of scheduled activities on offer at Waiariki Institute of Technology. Moreover, it has been claimed that staff members studying for higher degrees, ipso facto, also participate in *formal* CPD. Furthermore, scholastic outputs, whether ‘PBRF’d’ or not, represent another type of *formal* CPD. All of these formal approaches are able to generate participation and output data. Beyond these formal typologies are those which can be described as *non-formal*. These typically involve activities which are adjunct to job descriptions and are seldom celebrated or measured by agencies. Also seldom celebrated, and never ever measured despite being intensely valuable, is *informal* CPD which involves informal or incidental learning episodes through which individuals and communities of practice learn.

## **1.2 Identifying types of needs within CPD**

Whilst there is probably little doubt that CPD activities which are on offer

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<sup>4</sup> Training is considered to involve a narrower cognitive perspective than education. For further reading on this, see R.S. Peters and also J. R. Marshall.

within Waiariki generally conform to the typologies nominated above, it is quite possible that the extent to which such offerings meet the needs of staff have not been systematically gauged. In fact, research papers about determining the CPD needs of staff appear to be rare indeed within Aotearoa New Zealand although there is at least one example of sector interest research (e.g. Alison Fields and Amanda Cossham undertook a one-off investigation into the CPD needs of librarians in 2005)<sup>5</sup>. However, research into determining CPD requirements for health professionals does appear to be relatively commonplace, especially in Europe. Typically, such investigations seek to establish the *expressed* learning needs of staff as well as those needs which have been *perceived* by those in leadership and management positions. *Expressed* CPD needs rely upon four assumptions: first, it is assumed staff members know what CPD they need; second, it is supposed that their self-knowledge is valid; third, it is presumed they are able to share such realisations reliably and finally; it is reasoned that deployed needs assessment instrumentation is adequate.

The validity of the assumption that front-line staff members mainly know what they'd *like* to learn can, however, be contested because what staff say they'd like to learn does not always synchronise with what they need to learn. Research by Cardno and Piggot-Irvine (1997) highlights the importance of ensuring that performance appraisals effectively integrate accountability and the consideration of staff development needs. Thus skilled performance reviewers will, amongst other things, take into account expressed learning and development needs. Performance reviews, however, are not the only form of instrumentation that should be used. Post course evaluation forms can also provide a source of information as can specifically designed surveys. But beware – the mistake that most agencies make is to gloss over the highly multifaceted domain of gauging learning needs because they simply do not understand the complexity of it all<sup>6</sup>. Constructing a survey might be useful but as with all surveys, questions designed to capture a person's expressions of learning needs refer most pertinently to the point in time at which they are captured. Learner driven perceptions about needs shift over time, especially when critical reflection has transformed

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<sup>5</sup> There has also been an attempt at heightening awareness of the need for *personal development planning* (PDP) by Lorraine Stefani at the University of Auckland (Stefani, specific source and date unknown).

<sup>6</sup> A useful slide show can be found at <http://www.pdwe.com/cpd/present/Outcomes%20in%20CPD4.ppt#269,1>, Educational Outcomes in CPD

cognitive landscapes.

In a real work situation, leaders and people who are in management and who are worth their salt almost always have a pretty good idea of learning challenges they have discerned and that they'd like their team members to address. Such matters involve *perceived needs* and in reality, team members typically have a realistic appreciation of such needs too. Smart learning organisations not only recognise this but also routinely ensure that they assemble data about perceived needs from all stakeholders. They do this because they recognise that planning, not just strategically, but operationally as well, is always going to be an antidote to duplicated CPD provision. Practically, this means that they need to develop and devise mechanisms for being able to ask stakeholders about their take on perceived CPD needs. Such mechanisms might merely involve placing such matters onto a variety of institutional committee agendas so that the matter of what people perceive becomes ventilated across a series of forums.

Moreover, there are both contractual and covenantal imperatives at stake here. Tertiary providers who offer degrees need to demonstrate that their staff members are research informed and/or research active; their contract with the TEC formally and legally mandates that! Equally, students enrolling for any course, and certainly for a degree course, enlist with an expectation that their teachers are up-to-date within whatever field/s they may be studying.

Furthermore, it behoves tertiary institutions to be mindful of the provisions of their charter, profile and investment plan, each of which mandate their very existence. Government funding, however inadequate it may seem, is contingent upon such deeds. Within such documents, they must, for instance, be able to demonstrate that they really can walk-the-talk of biculturalism as opposed to talking-the-walk; that is, they really do need to show that they have a bicultural model of pedagogy/andragogy that is theory in action rather than a set of espousals. Put even more categorically and specifically, they need to show that they have CPD programmes in place which will ensure that such developments have substance rather than symbolism as their kernel. To that end, an ideological framework, no matter how basic, should be evident.

## **2. A very basic ideological framework**

The sociologist George Homans, in 1951, suggested that humanity is unique because of the capacity human beings have for categorisation and classification. He also suggested, perhaps arguably, that any classification scheme is better than none. For this discussion document, and in line with Homans' claim that some form of schemata is better than none, a very basic framework is being proposed. That framework first traverses the need to make biculturalism the primary focus of CPD so that Waiariki Institute of Technology moves beyond rhetoric and tokenism into a realm of actual biculturalism. Second, the ideological framework touches upon the need for CPD for quality assurance (QA) and the assumption here is that QA is geared towards ultimately achieving educational responsiveness to communities of practice within the rohe as well as excellence in the administration and leadership for educational delivery to students from within the rohe who enrol at Waiariki. Third, the matter of CPD for achieving Scholastic and Research Excellence is considered.

An important but minor point to make here is that the sequencing of this discussion has not been set in concrete. And neither is the ideological framework complete because clearly, it can be added to (e.g. CPD for e-Learning has not been considered but easily could be). Whilst it is reasoned that a CPD programme that accentuates activities which are geared towards achieving true biculturalism is of paramount importance, it is noted that the other two dimensions intermesh with each other as opposed to presuming super or sub ordinance. Moreover, for the purposes of this exercise, ideological matters associated with CPD for e-Learning have been presumed to have been subsumed into all ideological dimensions.

### **2.1. CPD for Biculturalism**

The Waiariki Institute of Technology declares in its Charter document (2008 – 2010) that it has a commitment to “biculturalism in governance, management, teaching and learning” (Charter, p.2). It further declares (p.3) that it will provide “innovative, relevant and quality programs (sic) delivered in partnership with the community in a bicultural framework” and that it will “ensure that Waiariki’s strategic and operational management, together with its teaching and learning activities and all associated support services, occur within a bicultural framework that acknowledges the Treaty of

Waitangi principles of participation and protection”. To that end, the Charter (p.4) details that it has a bicultural strategy “with related commitments that aim to,” amongst other things, indigenise curricula and produce cross-culturally graduates. The Charter indicates that niche curricula should have a strong kaupapa that reinforces the existing bicultural focus even to the extent that e-Learning should demonstrate biculturalism. Indeed, the values which Waiariki Institute of Technology seeks to uphold have been couched in terms which champion bicultural values. Moreover, the Charter declares that “All member of the Senior Management Team, Academic Leaders and tutorial staff will ensure that biculturalism is evident in all operations” (p.8). The principles of human resource management also declare a commitment to biculturalism so that staff will be developed to perform at their optimal capacities. The Business Plan for the Institute also emphasises the importance of a bicultural approach to the operations of the Institute – viz – Part One includes an analysis of bicultural needs and Part Two presents a three year outlook with a review of the Institute’s “unique biculturalism”.

All-in-all, the espousals are very strongly articulated but the overarching double-headed question that I would put up for discussion is this:

“To what extent has the CPD programme of the Waiariki Institute of Technology been truly reflective of those bicultural espousals which are conveyed in the current Charter and Business Plan, and, in determining the answer to that question, what, if any, evidence can the institute provide to show that staff have participated in CPD activities in which the learning outcomes demonstrably cohere with those espousals nominated in the Charter and Business Plan?”

Although the documentary espousals summarised above appear to be strong, the actual key outcomes that have been identified for all staff are very weak. The Learning and Professional Development Chart (March, 2008) indicates that attendance at Waiata workshops will be made available and, by implication, staff (in their multitudes) will participate. Furthermore, in that same chart, it is proposed that staff will attend the Malcolm Murchie Lectures and the Dr. Hikurangi Hohepa Wananga.

Observational evidence suggests that these minimalistic outcomes have not been met. Last year, as few as ten people attended the Murchie Lectures. This year, a very terse email to all staff from the CEO ensured that many staff attended the first

lecture<sup>7</sup>. Subsequently, one Murchie Lecture was cancelled and attendance at the remaining lecture/s was lean.

These, however, are minor snippets of evidence and can hardly be taken as anything other than indicative of a possible general lassitude by staff as a whole towards espousals made within the documentary data I noted above. Accordingly, other forms of evidence are needed and negative anecdotal evidence aside<sup>8</sup>, there seems to be an absence of affirming data which point to Waiariki Institute of Technology actually walking-the-talk.

### **2.1.1. The importance of developing a multivariate model of bicultural education.**

For the past two years, Massey University in conjunction with the TEC and AKO have led a national set of projects which focus on the development and trialling of a set of e-Learning Guidelines (ELG). Waiariki Institute of Technology has participated in two of these projects. Usefully, the ELG project co-ordinator, John Milne has developed a three dimensional cube of variables which impact upon e-Learning. This model (also known as a Wiki) enables a visual (or multivariate) selection and fusion of factors about which combinations, written information have been prepared. Thus a broad range of papers representing combinations of variables have been written with each paper able to inform individuals who access them about ways of applying their uniquely selected combination of ELG variables<sup>9</sup> to their pedagogical context and processes.

Potentially, this kind of approach could be used to inform a realistic bicultural model of pedagogy and organisational development at Waiariki Institute of Technology. By creating a cube of variables depicting the Treaty Articles, the Waiariki core values and the key principles of andragogy, staff and leaders at Waiariki would be

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<sup>7</sup> I had arranged that my former colleague Associate Professor Narottam Bhindi from Wollongong would deliver that lecture but even though Dr. Pim Borren 'encouraged' staff to attend, the service provided by IT in helping Bhindi to get his Macintosh to work with the Waiariki Institute of Technology data-show was nothing short of abysmal and rude. They professed ignorance and left him, a self-confessed Luddite, to manage the Waiariki technology as best he could.

<sup>8</sup> Anecdotal evidence appears to suggest there have been far too many instances of the Waiariki Institute of Technology not being responsive to Maori. It seems that some Pakeha staff members want Iwi and Hapu to come to them at times determined by those staff. An outsider might view this as indecent haste which causes offence. Equally, anecdotal accounts suggest that expectations surrounding fiscal support from Iwi and Hapu appear to sometimes be poorly managed by Waiariki staff.

able to select combinations of factors to address in their educational work. Developing such a rubric of suggested procedures by inviting staff to participate in an action learning/action research project would, to my mind, provide a substantive platform for CPD so that staff members can learn how to transfer *espoused theory* so that it becomes instead robust *theory in practice*, and importantly this would be practice which they will have co-constructed.

## **2.2. CPD for QA**

Continuing Professional Development and Quality Assurance are conterminous. Without CPD, an organisation cannot inculcate measures which assure educationally responsiveness organisational measures; i.e. procedures that boast procedural quality. Such a programme ideally provides a multiplicity of platforms which individually and severally can yield opportunities for skills development. In short, there needs to be a multiplicity of platforms because a single CPD menu will seldom fit all.

To that extent, Waiariki Institute of Technology is to be congratulated on a number of fronts. First, the Learning and Professional Development Plan (March 2008) sets out a series of prospective CPD avenues for all staff, allied staff and academic staff. Second, that same plan identifies a series of core competencies that all staff ideally should be able to demonstrate and it also identifies a range of development possibilities for staffing sectors. Hence, on paper at least, there is evidence of CPD provision for skills development. What is not known is the extent to which staff are able to take up those opportunities and a battery of questions arise – do they have the time; are they keen to do so; what, if any incentives are there for them to participate; what barriers might they encounter; to what extent, if at all, were their needs and wishes identified and discussed during their most recent performance appraisal? Furthermore, the questions arise of whether or not line managers have been trained in the first instance to be able to complete performance appraisals in a constructive and competent fashion so that learning needs which can assure quality service become identified. Third, individual schools routinely advertise their courses to staff and invite participation. However, the extent to which staff members at Waiariki pursue these

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<sup>9</sup> In fact, the users of Milne's Wiki are limited to being able to apply no more than three variables from three visible planes of a cube.

opportunities has not been determined by this commentator but the hunch would be that the level of take-up is low.

QA, according to Richard Rudman (1998, 2000, 2004) begins at the point at which induction training commences; Rudman also reminds us that induction commences when an individual begins to prepare an application for employment. The Learning and Professional Development Chart (2008) does not feature induction training at all which leads to the question, what are the provisions for induction training at Waiariki Institute of Technology? Moreover, if there are provisions for induction training, do these processes differ for novice staff and those who can euphemistically be described as veterans? A postgraduate study I supervised a number of years ago for a Postgraduate Diploma in School Management demonstrated that few Auckland secondary schools had carefully prepared induction policies and programmes. It also showed quite clearly that novices and veterans had quite different initial and ongoing CPD needs. The study further demonstrated that where induction training was effective, better staff satisfaction appeared to be achieved and with that, better quality performances followed.

### **2.3. CPD for Scholarship and Research**

It was this facet of CPD that motivated me to develop this discussion document. I am very strongly of the opinion that researchers need to be grown through carefully planned CPD. Moreover, I hold the view that this should be the principal function of the Research Co-ordinator, or, if not that person, then by a person from within the Directorate that has been charged with ministering to activities which spark the growth of research across the Institute.

In my twelve months at the Waiariki Institute of Technology, it has become very clear to me that by and large, academics know something about research that others from their field have completed, but few staff members actually have the skills needed to conduct research. Growing those skills requires a planned and careful approach and simply nominating research as a higher form of CPD within the 2008 Learning and Professional Development Chart does not address the challenge of growing researchers.

There are three key factors to consider: first, staff teaching at level seven or at

degree level need to show that they are research active; accordingly, as a second factor, they need to have research outputs become a part of their performance contracts; finally, time needs to be clearly set aside (and monitored) to ensure that staff can learn and perform.

This discussion document has already considered the imperative of staff being research active if the Institute is to continue to offer degrees. Whilst the mid-term audit of research at the Waiariki Institute of Technology demonstrated progress, it would be fair to comment that on the whole, academic staff members are not research active. The accreditation panel that considered the BAM was critical of the absence of research and the recent ECE review was also mindful of the relative absence of research. So there is a challenge.

The initiative by the DCE, Maori of asking people to complete a form detailing their research profile and skills has provided a useful start. However, those data now need to be analysed and, in light of those analyses, further data need to be gathered so that learning needs for developing research skills and capabilities can be clearly determined. What the profiles can show is what academics believe that they can do – the profiles do not, however, ask academics to disclose what they believe that they need to learn in order to be able to become research active. Nor does the form establish what, if any, further education/higher degree studies those staff members are undertaking. And finally, the heads of schools have not contributed to a *perceived* needs assessment so that researchers can be grown.

The newly established full-time position of Research Co-ordinator clearly has a role to play but what is not yet known is how skilled the new appointee will be in helping staff to grow their research skills. Being able to teach academics the methodological underpinnings of qualitative, quantitative and mixed methods research is a specialised field and being able to link such underpinnings to specific research procedures is a rare skill indeed. I hold the view that embedded within the Certificate in Tertiary Teaching, should be an advanced research methods paper (probably pitched at a 900 level). Moreover, I believe that academics from the Waiariki Institute of Technology should be able to use testamentary evidence of their completion of such a paper in order to advance their application for doctoral candidature.

It has been clear to me that introducing fundamental academic tools such as EndNote, NVivo, SPSS and MindManager<sup>10</sup> to Waiariki has been challenging. During my time here, I have run workshops which introduce three of those four programmes but few academics have been involved. The EndNote programme has been introduced to Library staff only and they do not (currently) feel competent enough to be able to teach Waiariki staff how to teach students about this referencing programme. Were schools to abdicate the responsibility for teaching their students by surrendering that task to the Library, the library would very soon become swamped. Hence, the need remains to factor that form of CPD into the suite of offerings overseen, or facilitated by the soon to be appointed Research Co-ordinator.

The recent NVivo 8 course which I ran for staff attracted very few people<sup>11</sup>, partially because it was poorly advertised but more specifically because it was held during the term when academics who might have participated were involved with teaching. Advertising of such opportunities needs to be sharpened and one day per week, perhaps Fridays, could/should be set aside for CPD and research related activities. Again, achieving such transformations would, in my view, be partially dependent upon effective performance appraisal procedures.

During my time here, I have not sought to teach SPSS for two reasons. First, I personally use Statview for any statistical analyses I undertake and second, a single licence for SPSS costs around \$2,500.00 and as demand is hardly apparent, there seems to be little point (yet) in raising that cost spectre. However, if Waiariki is serious about research, those cost and skills eventualities will need to be faced. Currently, there are no academics at Waiariki Institute of Technology who use either SPSS or NVivo 8.

The most effective way of growing researchers is to involve them in investigations which pertain to their professional work as academics. The work that has been undertaken by John Kelly within Forestry and Timber Processing is an excellent example of this. John's work has all the hallmarks of good research but it

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<sup>10</sup> The MindManager software which I have also introduced to Waiariki Institute of Technology can be used as a research tool but this prospect has not been canvassed.

<sup>11</sup> Two library staff (who are not researchers), the Research Co-ordinator, a Canterbury University Teacher Education staff member and one person from the Lakes DHB attended. No academic staff from Waiariki Institute of Technology attended. By contrast, a similar course I ran recently at Lincoln attracted 41 academics over two separate days.

now needs to be written up so that it can be celebrated. What mentoring services have been considered within the CPD framework? What do we do to mentor writing and beginning researchers?

Indeed, what mentoring is available for staff members pursuing higher degrees who by fiat of having enrolled become research active? I know, quite categorically, that academics undertaking higher education studies almost inevitably struggle during their journey: they grapple with clarifying their possible thesis/dissertation topic; they wrestle with critiquing reviewed literature; they struggle with time management so that they can write up their work (and their ethics proposals), they need time out to gather data and to complete analyses. They need ongoing support because their teaching and administrative responsibilities inevitably erode their research time as do home commitments. If mentoring is a form of CPD, where might it sit and how best might it be achieved?

### **3. Target Groups, Delivering the Goods and Additional Comments**

The Learning and Professional Development Chart (2008) distinguishes between Allied and Academic Staff. However, within allied staff are administrators, information (IT and library) managers, project personnel and, from time-to-time, ad hoc groups. The CPD needs of each group will vary not only according to the skills of the personnel who comprise a workforce sector, but also according to the kind of work they undertake. Even though expressed and perceived needs are relevant for determining a CPD programme of events, CPD, because it is a form of adult learning is frequently directed by the *need to know*, and the need to know *just-in-time*<sup>12</sup>. Hence, gathering information about CPD needs becomes a line-management responsibility as well as an employee responsibility (for possible policies pertaining to that, refer to Appendix A). Nesting that responsibility within identified sectors of the Waiariki workforce seems, therefore, to be sensible.

I do not intend to trawl through the various target groups I have identified within the Mind Map that appears at the outset of this discussion paper. What is needed, instead, is for HR personnel from Waiariki to tinker with that Mind Map so

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<sup>12</sup> For information about key features of Adult Learning and Andragogy see <http://www.woodhillpark.com/attachments/1/Some%20Tidbits%20of%20Thinking.pdf>.

that omissions can be rectified and commissions adjusted. A useful way forward might be to develop a planning matrix for CPD. In the first column, the target groups would be nominated (one group per row). In subsequent columns, data about Expressed Needs, Perceived Needs, Strategies, etc. can be developed and detailed. It's not a difficult exercise but it does become one way forward for seeing at a glance which groups need what CPD and when.

In the Mind Map, I have singled out Working Parties and Ad Hoc Project Teams. Their CPD is often overlooked in the scheme of things simply because they are ad hoc and they, therefore, fly beneath the CPD radar. In all seriousness, they should be asked about CPD, and CPD should be allocated to them, precisely because they are an ad hoc group. Ad hoc groups tend to do essential work.

Equally, within the Mind Map, I've nominated symposia as a form of CPD and I want to make a comment here about such events. Generating successful symposia takes time and patience. At Unitec, it took almost three years of sometimes frustrating effort to achieve a reasonable attendance at research symposia. A wine and cheese inclusion and support from Senior Management was, in the end, quite pivotal. Their acceptance of these activities as legitimate forms of CPD for research couple with their regular participation in the symposia assuredly helped to grow their success. They didn't happen overnight, but they did happen!

Similarly, learning exchanges can and should be encouraged. We're good at getting students to help each other but we don't often create opportunities for staff to exchange their skills. A formal learning exchange can quite simply be generated from the self-disclosed data that the DCE Maori has requested from academic staff but in order to succeed, patronage from SMT is required. As follow-on from such exchanges, systems of mentoring can be developed but just as NZIM train their mentors, Waiariki Institute of Technology staff who want to be mentors deserve opportunities to undergo training in mentoring.

#### **4. Concluding comments**

This discussion paper began as a brain-stormed diagram, a Mind Map with which I've tinkered over time. My intention had always been to write this up

reasonably fully so that it could become a platform for discussion and possible development at Waiariki. That it should serve as such a platform is still my intention but I need to point out that I have been a tad hasty in composing the final parts of this document. My pending departure from Waiariki has hastened the construction of this paper as has the knowledge that Richard Bird will be working on this matter in the very near future.

In a sense, the hastiness of it all doesn't matter because the challenge that looms has not altered. That challenge ideally means that Waiariki Institute of Technology will consider how best to achieve a comprehensive, systematic yet responsive programme of CPD that targets all staff sectors according to their expressed and perceived needs. Priority foci might well include transforming the espousals about biculturalism into action learning and might also include gathering data about learning needs beyond biculturalism. Quite clearly, the target of building research capability needs extra careful attention (and funding) and a central component of such capacity development might well stem from actively having policies that encourage staff to participate in higher degrees. That way they become designated as being research active and Waiariki Institute of Technology stands, therefore, to benefit from PBRF funding, a prospect that should please Pim greatly!

To conclude I need to comment that just for interest I've appended two policy documents I'd previously developed. Bearing in mind copyright provisions and academic courtesy I'm happy for these to be used judiciously if they are useful. Equally, given that this domain remains an abiding passion for me (alongside developing researchers) I'm happy to be approached for further discussions and/or professional input.

Ka kite

Dr. Jens J. Hansen  
October 8<sup>th</sup>, 2008

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## **Appendix A: A policy sample for CPD**

*This policy was developed for a PTE for whom I did some work a number of years ago. The intellectual property remains with me and use of it, or adaptation of that policy can be discussed with me.*

# **Waiariki Institute of Technology - Continuing Professional Development Policy**

*The purpose of this document is to set out the policy on Continuing Professional Development (CPD) for all staff at Waiariki Institute of Technology as approved by the Council on ??.*

## **1. Purpose**

**1.1** Waiariki Institute of Technology recognises that staff members are the key resource to enabling the Institute to meet its strategic objectives and that the capacity of staff to provide the skills, expertise and knowledge necessary to fulfil of its mission is pivotal.

**1.2** The Institute is, therefore, committed to supporting appropriate staff development that enables it to achieve its Strategic Plan.

**1.3** Continuing professional development (CPD) refers to those processes that enable staff, to learn new skills or to refine existing skills so that they can apply these to the workplace. CPD thus refers to any activity which improves the effectiveness and efficiency of the individual with respect to the operation of the various parts of the organisation, and W as a whole.

**1.4** Continuing professional development occurs across a spectrum of activities spanning formal and structured proceedings to informal and serendipitous or incidental events, both within the Institute and outside of it, e.g.:

- Courses, Seminars and Workshops;
- Study time – self-directed &/or directed;
- Ad hoc on-the-job assistance;
- Private study;
- Networking;
- Secondments;
- On-line learning;
- Encouragement to gain relevant qualifications through full or part- time study;
- Participation in the activities of professional bodies;
- Reviewing as a peer;
- Presenting a work-based case to peers.
- Study/research leave;
- Technical skills up-dating;
- Job exchanges;
- Health and safety & equal opportunity training;
- Management development;
- Duty and responsibilities rotation;
- Coaching/Mentoring/Supervising;
- Opportunities to take part in new developments;
- Attendance at conferences, seminars & workshops;
- Observational visit & review;
- Presenting a conference paper/presentation/study to peers;

## **2. Principles**

**2.1** Waiariki Institute of Technology wants appropriate continuing professional development opportunities to be made available to all staff, including those who are part-time and hourly-

paid. Waiariki Institute of Technology seeks to provide equitable provision for all in relation to the needs of their work and the strategic objectives of the Institute.

**2.2** Staff development is an on-going process addressing continuing professional development. A key principle is that of mutual benefit, which means that both the Institute and the individual staff member plan for development and gain accordingly. It follows, therefore, that both the Institute and staff have responsibilities for addressing CPD needs over time and within changing circumstances.

**2.3** CPD needs are identified through formal processes, including induction, appraisal systems, and the integration of staff development planning into the Charter, Strategic Plans and individual development plans.

### **3. Objectives**

The objectives of this policy are to:

**3.1** Ensure that a systematic framework is in place within Waiariki Institute of Technology for the planning, management, recording and evaluation of staff development activities for all staff.

**3.2** Ensure that every employee discusses with their line manager/team leader, on an ongoing basis and as a part of their appraisal, their training and professional development needs.

**3.3** Generate an expectation that staff are likely to engage in development activities according to their role and needs.

**3.4** Achieve and maintain high standards of quality in the development of staff and to have these standards publicly acknowledged by the public and agencies such as NZQA and those agencies with which Waiariki Institute of Technology has an MOU.

**3.5** Encourage collaboration and co-operation with other providers with respect to the provision of CPD activities whenever such activities are demonstrably able to benefit Waiariki Institute of Technology and/or other agencies and providers.

### **4. Responsibility**

**4.1** Responsibility for the identification, planning and provision of staff development is threefold:

- i) All line managers;
- ii) Each member of staff (as an individual responsibility);
- iii) The Senior Management Team (SMT) but especially the Directors of Programmes.

**4.2** All line managers are responsible for working with their staff in the identification and implementation of their developmental needs to enhance their performance and effectiveness. They are responsible for ensuring that organisational and strategically identified needs are addressed. In addition, the role of managers includes the monitoring and evaluation of staff development that is undertaken.

**4.3** Staff development is most effective when an individual negotiates responsibility for his/her

own development and takes an active part in its planning and evaluation. Benefits which accrue to an individual's performance as a consequence of development and training activities should be noted by them and taken into account during the annual staff development and appraisal discussion.

**4.4** Staff will be encouraged to become involved not only in professional development activities, but also in the design and delivery of such activities.

**4.5** Some staff may, from time-to-time, therefore, assume an explicit responsibility for developing and delivering CPD activities. These opportunities will be published throughout the organisation in order to provide a guide to CPD opportunities.

## **5. Implementation**

The implementation of this policy will be carried out through the allocation of resources to the Directors of Programmes who will facilitate the development of proposals and plans for CPD as well as the evaluation of such activities.

### **5.1 Resources**

**5.1.1** Expenditure on staff development will be specifically identified as a budget line. The direct cost of staff development will be identified in the budgets of programmes and departments across all Waiariki Institute of Technology campuses and programmes.

**5.1.2** Accountability for the proper use of budgets will lie with the Directorate of Programmes and members of the Senior Management Team (SMT).

**5.1.3** The Council/s of Waiariki Institute of Technology will ensure that adequate resources are provided for staff development, and that staff development is effectively planned for and managed.

### **5.2 Planning**

**5.2.1** Academic Leaders and Senior Managers are expected to maintain plans for staff development that will address the following needs:

- i) The induction of new staff and their initial training;
- ii) The continuing professional development of staff related to the specific demands of their job;
- iii) Personal skills and career development.

**5.2.2** Each Programme Director and Senior Manager will prepare plans covering the development of their staff, and will review these on an annual basis with the Director of Programmes or their nominee. The plans and their implementation must be demonstrably equitable and open to audit. Annually submitted plans will be presented, in summary form, to the Council.

**5.2.3** Plans will be informed by priorities and objectives documented in the Strategic Plan and the TEC organisational profile as well as by the personal development needs of staff as identified in annual staff development and appraisal discussions.

**5.2.4** The SMT will discuss and review the continuing professional development

priorities for the Institute as a whole and a Skills Needs Analysis will be undertaken in a timely manner in order to inform operational planning and CPD delivery.

**5.2.5** Accordingly, staff development plans will assist Waiariki Institute of Technology in achieving its strategic objectives, and will also add support to new directions and initiatives.

### **5.3** Delivery

**5.3.1** The Directors of Programmes, Programme Directors and Senior Managers will work with relevant staff and/or development providers to establish a programme of staff development activities based on needs identified in the planning process. Staff development providers may include Waiariki Institute of Technology staff, staff from agencies with which Waiariki Institute of Technology enjoys a degree of co-operation or an MOU, and external consultants.

**5.3.2** Consultation will take place between the Directors of Programmes (or their nominees), Programme Directors and Senior Managers in order to establish a programme of valid, responsive and challenging workshops, courses and activities which will be developed in accordance with the strategic priorities of Waiariki Institute of Technology.

### **5.4** Monitoring and Evaluation

**5.4.1** Information regarding staff development activity and expenditure must be recorded to enable the Institute to engage in effective staff development planning and to meet its obligation to respond to requests for information from external bodies such as NZQA.

**5.4.2** All staff development activities will be evaluated for their effectiveness and for the extent to which they have contributed to enhanced performance.

**5.4.3** Evaluation will track both personal and the organisational factors and feedback will be used to inform the annual CPD plan and budget.

**5.4.4** Individual staff will be asked to maintain records of all CPD activities with which, and in which, they have been involved.

**5.4.5** Annual staff development and appraisal discussion will include consideration of CPD activities, their effectiveness and how they have contributed to personal development. It is important to confirm whether or not previously identified CPD needs have been met. Feedback will inform the annual planning process for both individuals and the Waiariki Institute of Technology.

**5.4.6** The Directors of Programmes, Programme Directors and Senior Managers will maintain records and will report annually on the planning and expenditure relating to staff development. The annual report should report on the percentage of total budget spent on staff development, and the time engaged upon staff development activities.

**5.4.7** Aggregated reports, will contribute to the review of the annual CPD plan and the Skills Needs Analysis.

**5.4.8** The resultant documentation will be presented by the Directors of Programmes to

the Council.

Approved by the Council:

Date:

Signature of Chair:

Date:

Person responsible for this policy: HR Director and DCE Maori

Proposed review date: October 2010

**Appendix A, Addendum A** Continuing Professional Development Policy: Guidance on personal records of development activity

*This appendix should be read in conjunction with the policy on Continuing Professional Development (CPD) for all staff at Waiariki Institute of Technology as approved by the Council in ???.*

1. All staff are requested to maintain a personal record of their continuing professional development (CPD) and to make that record available to their appraiser at their annual staff development and appraisal discussion and at other times, upon request, to their line manager.
2. The record should include:
  - i) A record of the date, time and duration of each CPD event undertaken and of the extent of time taken in preparatory and/or follow-up work required;
  - ii) Brief details should be recorded of the nature and content and purpose of each CPD event undertaken both within and outside of Waiariki Institute of Technology;
  - iii) In each case, a record should be supplied of financial support, if any, that was provided by the institution and, if other sources of support were provided (including self), the source of that financial support;
  - iv) In each case, a note as to whether the decision to undertake the event, training session or course was self-initiated or at the request of the line manager; and
  - v) In each case, a personal evaluation of the benefit, value and effectiveness of the event, training session or course to the individual and the section of Waiariki Institute of Technology to which the individual is attached.

## **Appendix A, Addendum B** Continuing Professional Development Policy: The Allocation of Financial Support

*This appendix should be read in conjunction with the policy on Continuing Professional Development (CPD) for all staff at Waiariki Institute of Technology as approved by the Council in ????.*

- 1.** Waiariki Institute of Technology may, at its discretion, elect to support CPD activities in which staff can participate. Such support may be financial and/or may involve time release and may be given either partially or fully. Support may be provided before, during or after an event and may be contingent upon criteria such as successful completion, the furnishing of receipts, the presentation of a report, etc.
- 2.** Support may be given:
  - i) Where the Senior Management or Directors of Waiariki Institute of Technology determine that a CPD programme is valid and consistent with the needs of the organisation;
  - ii) When an individual staff member has completed a course of study and has provided evidence that they have completed that course of study.
  - iii) Where a staff member has been invited to give a presentation at a conference, workshop or course.
  - iv) When a line manager requests discretionary support for a one-off event that is perceived to be of benefit to staff and the Institute.
- 3.** When support is given, it becomes an expectation that the person receiving the support will share reflections about their CPD experience in a timely and appropriate manner using appropriate Institute fora and or media.

## **Appendix A, Addendum C** Continuing Professional Development Policy: Participation at Conferences, Symposia and Workshops

*This appendix should be read in conjunction with the policy on Continuing Professional Development (CPD) for all staff at Waiariki Institute of Technology as approved by the Council in 20??.*

1. Staff from Waiariki Institute of Technology are encouraged to contribute to, and to participate in conferences, symposia and workshops. Where staff members have been invited to be a key-note speaker at a major conference, and they do so as a Waiariki Institute of Technology staff member, they can anticipate considerable support from the organisation. Support may be provided before, during or after an event and can either supplement support provided by a conference organising committee or may be additional to resources allocated by conference organisers.
2. Support may also be provided at varying levels:
  - i) Where a staff member has had a refereed conference paper accepted;
  - ii) Where a staff member has had an offer accepted to present at a conference;
  - iii) Where a staff member wishes to attend a conference.
3. It is anticipated that more support will be given to staff who have received refereed acceptance to present than will be provided for those who are presenting non-refereed materials; attendees who are not presenting may also be supported but the level of the support provided for them will be contingent upon a range of factors including strategic relevance, the learning needs of the intending conference participant and the financial circumstances of the organisation and of the individual.
4. All staff who receive assistance from Waiariki Institute of Technology to attend a conference, symposium or workshop as a contributor will present their paper to a staff seminar prior to attending the CPD event for which they are being supported.
5. After they have returned from a CPD event, all staff who have received assistance from Waiariki Institute of Technology in order to be able to attend a conference, symposium or workshop, will present a brief report during an appropriate level staff meeting about the event they have attended. That report will be presented to the line manager during the appraisal interview in accordance with the CPD regulations of Waiariki Institute of Technology.

**Appendix B: Sample template for advancing research planning.**

*Again, this document was developed for a (different) PTE some time ago. Once again, the intellectual property resides with me and I am happy to discuss the use of that material.*

<b>Waiariki Institute of Technology RESEARCH DEVELOPMENT PLAN 200?</b>					
<b>Guiding Values</b> <ol style="list-style-type: none"> <li>1. Waiariki Institute of Technology is a research based learning organisation;</li> <li>2. Waiariki Institute of Technology, therefore, demonstrates an active commitment not only to educational research that informs educational practice but also to research that is informed by educational practice;.</li> <li>3. To that extent, Waiariki Institute of Technology recognises that the continuing professional development of staff is pivotal to the development of an active research culture within which ongoing educational research is a given;</li> <li>4. Such ongoing development manifests a range of forms including the provision of support for staff completing studies towards higher degrees, enabling participation in whole-of-staff workshops, actively negotiating individual research development plans and facilitating informal research development through mentoring, guidance and enabling opportunities for individual and collaborative development through participation in research;</li> <li>5. Moreover, Waiariki Institute of Technology recognises that performance appraisal is an important construct for identifying ongoing continuing professional development needs;</li> <li>6. Equally, however, Waiariki Institute of Technology knows that both perceived and expressed learning needs are salient in maintaining a learning culture which is central to sustaining a research organisation.</li> </ol>		<b>Overview of Goals</b> <ol style="list-style-type: none"> <li>1. To develop an active and effective research culture at Waiariki Institute of Technology;</li> <li>2. To provide a range of strategies so that staff at Waiariki Institute of Technology learn to become effective educational researchers</li> <li>3. To plan and undertake a range of research projects that enable Waiariki Institute of Technology staff to work individually and/or collaboratively on generating quality research outputs.</li> </ol>			
		<b>Overview of Resources</b> <ol style="list-style-type: none"> <li>1. The primary resource for Research Development at Waiariki Institute of Technology are the people, each of who are sometimes learners, sometimes teachers;</li> <li>2. Waiariki Institute of Technology has organisational (committee) resources including the Research, the Library and the Academic Committee each of whom provide professional research and staff development guidance;</li> <li>3. Waiariki Institute of Technology also has a Council who, aside from providing governance, should be committed to supporting the securing of funds for research;</li> <li>4. Waiariki Institute of Technology has a growing library and is a developing suite of research software. The expansion of these resources is regularly informed by appropriate committees;</li> <li>5. There is a modest budget (\$??,000.00) for research and development.</li> </ol>			
Goal Number One	Objectives	Proposed Actions	Time	Person	Costs
To develop an active and effective research culture at Waiariki Institute	1. To ensure that relevant research fostering committees are formed	<ul style="list-style-type: none"> <li>• To continue with regular Research Committee Meetings;</li> </ul>	Ongoing		N/A

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of Technology,	<p>&amp;/or maintained;</p> <p>2. To disseminate current research information about research in progress within Waiariki Institute of Technology S and elsewhere;</p> <p>3. To introduce a (twice per semester) research forum for the Waiariki Institute of Technology Community</p>	<ul style="list-style-type: none"> <li>To establish a Library Committee and to form a Research Approval and Ethics Committee;</li> <li>To provide research news items for newsletters;</li> <li>To list accessions in Newsletters;</li> <li>To continue to provide journal update data for staff.</li> </ul>	<p>Ongoing</p> <p>Per term</p> <p>Per term</p>		<p>N/A</p> <p>N/A</p> <p>N/A</p> <p>N/A</p>
<b>Goal Number Two</b>	<b>Objectives</b>	<b>Proposed Actions</b>	<b>Time</b>	<b>Person</b>	<b>Costs</b>
To provide a range of strategies so that staff at Waiariki Institute of Technology learn to become effective educational researchers.	<ul style="list-style-type: none"> <li>To encourage participation in research development activities spanning: <ul style="list-style-type: none"> <li>Academic staff by school;</li> <li>Individual staff;</li> <li>To provide guidance about suitable postgraduate courses;</li> </ul> </li> <li>To have staff assume leadership and process expertise in individual areas</li> </ul>	<ul style="list-style-type: none"> <li>To complete three staff research retreats (Qualitative research, writing workshop, Quantitative research)</li> <li>Staff meet individually with their Research Supervisor</li> <li>Staff become software leaders: <ul style="list-style-type: none"> <li>EndNote (??)</li> <li>SPSS (??)</li> <li>Inspiration (??)</li> <li>NVivo (??)</li> <li>Mind Manager (??)</li> <li>Illuminatus Opus (??)</li> <li>Excel (??)</li> <li>Page-maker (??)</li> <li>Power-point (??)</li> </ul> </li> </ul>	<p>??</p> <p>Once / semester</p> <p>??</p> <p>Ongoing</p> <p>??</p>	<p>??</p> <p>??</p> <p>??</p> <p>??</p> <p>??</p>	Staff may have funding allocated to them for attendance at outside courses. This can be approved upon application to the research committee.
<b>Goal Number Three</b>	<b>Objectives</b>	<b>Proposed Actions</b>	<b>Time</b>	<b>Person</b>	<b>Costs</b>
To plan and undertake a range of research projects that enable Waiariki Institute of Technology staff to work individually and/or collaboratively on generating quality research outputs.	<p>Other specific goals need to be added here.??</p> <p>To have staff contribute to scholastic journals and to deliver outputs at research conferences.</p> <p>To produce a report of research</p>	<ul style="list-style-type: none"> <li>Develop a project plan and seek funding plus liaise with TEC;</li> <li>Develop Project plans and time-lines for each staff member <ul style="list-style-type: none"> <li><u>?x Number of</u> (PhD proposals)</li> </ul> </li> </ul>	<p>??</p> <p>??</p>	<p>??</p> <p>??</p>	Staff may have funding allocated to them by the research committee

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	outputs for 200?.	<ul style="list-style-type: none"> <li>• Plan and launch a the new Waiariki Institute of Technology Applied Education Journal;</li> <li>• Prepare papers for peer review and subsequent delivery at Waiariki Institute of Technology Research Forum;</li> <li>• Prepare research outputs report</li> </ul>	??	for research projects and/or for conference attendance provided that they will be delivering a completed paper.
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