

## **AGENDA PAPERS**

# **NOTICE OF COUNCIL MEETING**

**Notice is Hereby Given that a Meeting of the Council of Auckland  
University of Technology will be held:**

**Council Room, Level 7, WA Building, AUT City Campus  
On: Monday, 27 February 2023**

**FROM: 3.45 – 6.00 PM**

**Andrea Vujnovich  
COUNCIL SECRETARY**



## AUCKLAND UNIVERSITY OF TECHNOLOGY COUNCIL

**Chancellor**

**Rob Campbell**  
Appointed by Council

**Pro-Chancellor**

**Sussan Turner**  
Appointed by the Minister of Education

**Members**

**Professor Damon Salesa**  
Vice-Chancellor of the Auckland University of Technology

**Peter Treacy**  
Appointed by the Minister of Education

**Janine Smith**  
Appointed by the Minister of Education

**Sina Wendt**  
Appointed by the Minister of Education

**Sara Youssef**  
Appointed by the Auckland University of Technology Student Association

**Corrie Cook**  
Elected by the Professional Staff of the Auckland University of Technology

**Renata Blair**  
Appointed by Council

**Leo Foliaki**  
Appointed by Council

**Marama Royal**  
Appointed by Council

# PART A

# OPEN AGENDA



COUNCIL PART A OPEN AGENDA

**Council Agenda Part A (Open Agenda)**

**Monday 27 February 2023 at 3.45 pm to be held in the Council Room, Level 7, WA Building, AUT City Campus**

Karakia		
Mihi – Chancellor		
<b>1. WELCOME, APOLOGIES AND APPROVAL OF AGENDA</b>	The <b>Chancellor moves</b> that apologies be <b>noted</b> and that <b>Council approve</b> the assignment of agenda items to Part A and Part B of the Council agenda.	
<b>2. DECLARATION/RECORDING OF ANY INTERESTS</b>	The attention of Members is drawn to the <b>Conflicts of Interest Policy and the need to disclose any interest in an item on the Agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.</b>	The <b>Chancellor moves</b> that the declarations, if any be noted and the action taken be <b>endorsed</b> .
<b>3. CONSTITUTIONAL MATTER, CONFERMENT OF DEGREES AND POLICY</b>	<b>3.1. Noting Chancellor delegation – Granting, Rescinding, Revoking and Amending Qualifications – December 2022 and February 2023</b>	The <b>Chancellor moves</b> that the following be <b>approved</b> : <ul style="list-style-type: none"> <li>• See item 3.1</li> </ul>
<b>4. COUNCIL MEETINGS</b>	<b>4.1 Council Draft Minutes (Part A), 5 December 2022</b>  <b>4.2 Matters arising from the Minutes (Part A), 5 December 2022 not elsewhere on the Agenda</b>	The <b>Chancellor moves</b> that the Minutes (Part A), 5 December 2022 be taken as <b>read</b> and <b>confirmed</b> .
<b>5. VICE-CHANCELLOR’S REPORT</b>	<b>5. Vice-Chancellor’s Report</b>	The <b>Chancellor moves</b> that the <b>Vice-Chancellor’s Report</b> be received.
<b>6. CHANCELLOR’S REPORT</b>	<b>6. Chancellor’s Report</b>	The <b>Chancellor moves</b> that the <b>Chancellor’s Report</b> be received.
<b>7. REPORTS FROM BOARDS, COMMITTEES AND WORKING GROUPS TO COUNCIL</b>	<b>7.1 Reports and Minutes from the Academic Board, 28 November 2022</b>	The <b>Chancellor moves</b> that <b>Reports</b> and <b>Minutes</b> from the <b>Academic Board, 28 November 2022</b> be received.
<b>8. HEALTH, SAFETY AND WELLBEING REPORT</b>	<b>8. Health, Safety and Wellbeing Reports– December 2022 and January 2023</b>	The <b>Chancellor moves</b> that the <b>Health, Safety and Wellbeing Reports for December 2022 and January 2023</b> be received.
<b>9. TE TIRITI</b>	<b>No report</b>	

<b>10. STRATEGIC REPORT</b>	<b>No report</b>	
<b>11. STUDENT SUCCESS</b>	<b>No report</b>	
<b>12. CORRESPONDENCE REFERRED BY THE CHANCELLOR</b>		
<b>13. OTHER MATTERS FOR DECISION OR NOTING</b>	<b>9.1 Update from AUTSA</b>	The <b>Chancellor moves</b> that the <b>Update from AUTSA be received.</b>
<b>14. ITEMS MOVED FROM PART B OF THE AGENDA TO PART A AND GENERAL BUSINESS</b>		

**PUBLIC EXCLUSIONS**

The Chancellor moved that the public be now excluded from Part B of this meeting, and that the following matters be discussed without public disclosure. This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and section 9 of the Official Information Act, as the case may require, which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting **AND THAT** A Vujnovich, L Williams, and W Lawson, be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of the matters to be discussed in the proceedings while the public are excluded. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to these matters because they relate to aspects of the administration of AUT for which those persons are responsible.

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter. The public conduct of each item below would be likely to result in the disclosure of information for which good reason for withholding would exist under section 9 of the OIA identified below.	Ground(s) under section 48(1) LGOIMA for the passing of this resolution
15. Council Meeting Part B of the meeting held on 5 December 2022	s 9(2)(b)(ii), s 9(2)(i), 9(2)(k)	7(2)(f)(i), 7(2)(h), 7(2)(i), 7(2)(j)
16. Report from AUT Ventures	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
17. Report from AUT Millennium	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
18. Report from AUT Ethics Committee	s 9(2)(a), 9(2)(b)(ii), s 9(2)(i), 9(2)(g)(i)	s7(2)(a), 7(2)(c), 7(2)(j), 7(2)(F)(i), 7(2)(f)(ii)
20. Draft Minutes of Finance and Audit Committee held on 20 February 2023	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
22. Other Business	9(2)(a)	7(2)(a)



Part A OPEN AGENDA ITEM	3.1
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## Council Agenda Paper

Subject: **GRANTING, RESCINDING, REVOKING AND AMENDING QUALIFICATIONS – DECEMBER 2022 AND FEBRUARY 2023**

Date: 19 February 2023

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### **RECOMMENDATION:**

*THAT COUNCIL NOTE THAT THE CHANCELLOR HAS EXERCISED A DELEGATION UNDER THE COUNCIL DELEGATION POLICY AND IN ACCORDANCE WITH THE GENERAL ACADEMIC STATUTE AND SECTION 283 OF THE EDUCATION AND TRAINING ACT 2020 TO:*

#### *DECEMBER 2022*

- 1. REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE 2022 SUMMER COMPLETION CYCLE ON 22 DECEMBER 2022.*
- 2. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 SUMMER COMPLETION CYCLE ON 22 DECEMBER 2022;*
- 3. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 SUMMER OFFSHORE GRANTING CYCLE ON 22 DECEMBER 2022;*
- 4. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 DECEMBER MONTHLY CERTIFICATE CYCLE ON 22 DECEMBER 2022; AND*
- 5. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 DECEMBER CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 22 DECEMBER 2022.*

#### *FEBRUARY 2023*

- 6. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 FEBRUARY MONTHLY CERTIFICATE CYCLE ON 16 FEBRUARY.*
- 7. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 FEBRUARY CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 16 FEBRUARY.*

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The schedules are in supplementary papers.

<b>PART A</b>	<b>4.1</b>
<b>OPEN AGENDA ITEM</b>	

## **Council Agenda Paper**

Subject: **MINUTES PART A OF THE COUNCIL MEETING HELD ON 5 DECEMBER 2022**

Date: 8 December 2022

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**RECOMMENDATION:**

*THAT THE MINUTES PART A OF THE COUNCIL MEETING HELD ON 5 DECEMBER 2022 BE CONFIRMED AS A TRUE AND CORRECT RECORD.*

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CONFIDENTIAL



## MINUTES

### **Council Meeting**

Meeting held 5 December 2022 commencing 3.30 pm  
Council Room, Level 7, WA Building, AUT City

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**PRESENT:** R Campbell (Chair); D Salesa; R Blair; C Cook; L Foliaki; E Pio; M Royal; J Smith; P Treacy; S Wendt and S Youssef (in Teams)

**SECRETARY:** A Vujnovich, Council Secretary

**IN ATTENDANCE:** For Parts A and B: W Lawson (Deputy Vice Chancellor- Academic) and L Williams (CFO).  
For Part A, item 10.1: Professor Pare Keiha, Pro Vice Chancellor for Māori Advancement, Colleen Leauanae, Manager Projects and Strategic Initiatives, Hariata Mareroa Te Kaiwhakahaere and Associate Professor Georgina Stewart, Te Ara Poutama.  
For Part B, item 8: D Pinchen (Director, Health Safety & Wellbeing).

**APOLOGY:** S Turner

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#### **PART A OPEN AGENDA**

Renata Blair acknowledged the recent passing of Sir Toby Curtis KNZM. Council recognised the significant contributions of Tā Toby Curtis, as a great rangatira of AUT, an educator and a Māori leader. Sir Toby was committed to the success of Māori students at AUT and was instrumental in the development and establishment of Ngā Wai o Horotiu marae at AUT and led Māori staff and the establishment of the first Māori faculty in Aotearoa - Te Ara Poutama.

The meeting opened with a karakia.

#### **1 WELCOME, APOLOGIES AND APPROVAL OF AGENDA ITEMS**

*THAT AN APOLOGY FOR ABSENCE FROM S TURNER BE RECEIVED.*

Resolved

*THAT THE ASSIGNMENT OF AGENDA ITEMS TO PART A AND PART B OF THE COUNCIL AGENDA BE APPROVED.*

#### **2 DECLARATION/RECORDING OF INTERESTS**

The attention of Members was drawn to the Conflicts of Interest Policy and the need to disclose any interest in an item on the agenda of the meeting as set out in Schedule 11, Clause 8 of the Education and Training Act 2020.

Resolved

*TO NOTE THE DECLARATION FROM PRESIDENT OF AUTSA SARA YOUSEF REGARDING HER APPOINTMENT AS AN INTERN AT EY AND ANY ACTIONS TAKEN BE ENDORSED.*



**3 CONSTITUTIONAL MATTER, CONFERMENT OF DEGREES AND POLICY**

**3.1 Granting, Rescinding, Revoking and Amending Qualifications – June, July, August, September, October and November 2022**

Received

Memoranda and Schedules for Granting, Rescinding, Revoking and Amending Qualifications – June, July, August, September, October and November 2022

Resolved

*THAT COUNCIL NOTE THAT THE CHANCELLOR HAS EXERCISED A DELEGATION UNDER THE COUNCIL DELEGATION POLICY AND IN ACCORDANCE WITH THE GENERAL ACADEMIC STATUTE AND SECTION 283 OF THE EDUCATION AND TRAINING ACT 2020 TO:*

*JUNE AND JULY*

- I. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE WINTER 2022 MONTHLY CORPORATE GRANTING ON 28 JULY 2022.*
- II. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE JULY 2022 MONTHLY CERTIFICATE AND COP QUALIFICATION CYCLE ON 28 JULY 2022.*
- III. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 WINTER OFFSHORE GRANTING ON 28 JULY 2022.*
- IV. GRANT QUALIFICATION TO THE GRADUAND ON THE ATTACHED SCHEDULE FOR THE JUNE SPECIAL GRANTING ON 21 JUNE 2022.*
- V. REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE 2022 WINTER COMPLETION ON 28 JULY 2022.*

*AUGUST, SEPTEMBER AND OCTOBER*

- V.I. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2022 SEPTEMBER CORPORATE GRADUATION ON 19-21 SEPTEMBER 2022;*
- V.II. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE AUGUST 2022 MONTHLY CERTIFICATE AND COP QUALIFICATION CYCLE ON 16 AUGUST 2022;*
- V.III. REVOKE THE QUALIFICATION FOR THE STUDENT ON THE ATTACHED SCHEDULE AHEAD OF THE 2022 SEPTEMBER CORPORATE GRADUATION ON 19-21 SEPTEMBER 2022; AND*
- IX. RESCIND THE QUALIFICATION FOR THE STUDENT IN THE ATTACHED SCHEDULE.*
- X. AWARD THE QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE SEPTEMBER 2022 MONTHLY CERTIFICATE AND COP QUALIFICATION CYCLE ON 15 SEPTEMBER.*
- XI. AWARD THE QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE OCTOBER 2022 MONTHLY CERTIFICATE AND COP QUALIFICATION CYCLE ON 13 OCTOBER 2022.*

*NOVEMBER*

- XII. AWARD THE QUALIFICATIONS TO THE GRADUANDS IN THE ATTACHED SCHEDULES FOR THE NOVEMBER 2022 MONTHLY CERTIFICATE CYCLE AND THE MONTHLY CORPORATE – SPECIAL CYCLE BOTH ON 17 NOVEMBER; AND*
- XIII. THE QUALIFICATIONS BE AMENDED FOR THE INDIVIDUALS IN THE ATTACHED SCHEDULE.*

**4 COUNCIL MEETINGS AND MINUTES OF PREVIOUS MEETING(S)**

**4.1 Minutes of the previous meeting**

Received

Draft Minutes (Part A), of the Special Council meeting held on 2 September 2022

Resolved

*THAT THE MINUTES (PART A) OF THE SPECIAL COUNCIL MEETING HELD ON 2 SEPTEMBER 2022 BE TAKEN AS READ AND CONFIRMED AS A TRUE AND CORRECT RECORD*

**4.2 Matters Arising**

There were no matters arising from the Minutes (Part A), of the Special Council meeting held on 2 September 2022 not elsewhere on the agenda. A number of matters are now closed and will be reviewed and removed.

**5 VICE CHANCELLOR'S REPORT**

Received

Vice Chancellor's Report

Noted in discussion

- The University financial position is under pressure due to the decrease in student enrolments which in currently available forecasts, will be at 2013 levels.
- The COVID pandemic is not over and presents ongoing challenges. The pandemic has caused an educational crisis in New Zealand where an 8-year-old child will have lost learning over the period of the pandemic and these are critical learning years. The loss of learning is significant and will cause a generational impact that will be experienced by AUT well into the future.
- Our young people are also experiencing a significant impact on their wellbeing. In response, AUT will ensure there are equitable pathways for entry to AUT. However, in the current economic environment the financial impacts imposed on a student engaging in study present an ongoing challenge.
- The development of Ki Uta ki Tai has been impacted by the financial recovery programme, however, is underway. The Long Term Academic and Capital plan will focus on where we teach, what we teach and how we teach, to address the challenge of access to university education presented to many communities. Council will be asked to engage in the Academic and Capital plan which has at its centre, the academic mission and the strategy for the University.
- Other challenges lie outside of the University, including the upcoming election cycle. The rising costs of inflation impacts the University's business model as many students haven't come from school, many live in households most exposed to increases in the cost of living, and many are first generation university students. There are also challenges in current thinking regarding the boundaries of academic freedom and freedom of expression as well as the questioning of the value of a university education which is global.
- AUT requires as a priority, to practice and value sustainability as part of its culture and its delivery. We are confident as the second-best university in New Zealand (according to the recent rankings) and believe we are the right university for our students. However, AUT requires additional resource to fully deliver Ki Uta ki Tai to its student community, a community that differs to the communities of other universities.
- There are global challenges for university education which has resulted in many closings. There are increasing revenue questions, which require revenue grown outside of the traditional EFTS, SAC funding model.

Resolved

*THAT THE VICE-CHANCELLOR'S REPORT TO COUNCIL BE RECEIVED.*

**6 CHANCELLOR'S REPORT**

Received

The Chancellor's Report

Noted in discussion

- The Vice Chancellor acknowledged the Chancellor's support and the support of Council during this difficult time for the University.

**7 PART A – REPORTS FROM BOARD, COMMITTEES AND WORKING GROUPS OF COUNCIL**

**7.1 Academic Board Reports and Minutes, 25 July, 29 August 2022, 3 October and 31 October 2022**

Received

Academic Board Reports and Minutes, 25 July, 29 August, 3 October and 31 October 2022

Noted in discussion

- Some AUT programmes will not be offered in the future, and these will be formally considered by Academic Board.
- A strategic issue is what is the best size and mix of provision of AUT's academic programmes.

Resolved

*THAT THE ACADEMIC BOARD REPORT AND MINUTES OF THE MEETINGS HELD ON 25 JULY, 29 AUGUST, 3 OCTOBER AND 31 OCTOBER BE RECEIVED.*

**7.2 People and Culture Draft Minutes, 21 November 2022**

Received

Academic Board Reports and Minutes, 25 July, 29 August, 3 October and 31 October 2022

Noted in discussion

- All areas of the University must engage with the HSW plan.

Resolved

*THAT COUNCIL RECEIVE THE DRAFT MINUTES OF THE PEOPLE AND CULTURE COMMITTEE MEETING HELD ON 21 NOVEMBER 2022.*

**8 HEALTH, SAFETY AND WELLBEING REPORTS**

**8.1 Health, Safety and Wellbeing Reports July, August, September and October 2022**

Received

Health, Safety and Wellbeing Reports, July, August, September and October 2022

Noted in discussion

- The HSW team will increase its internal due diligence when undertaking AUT events on campus. There has been an increase in HSW knowledge and awareness amongst staff which has resulted in an increase in the rate of incident reporting which appears as an anomaly in the incident report. However, an increase in reporting is a good indicator. When the new web-based system is implemented, reporting and time frames for follow up remedial actions will be documented and reporting will improve.
- A walk around of the BMC Division was undertaken by Council's People and Culture Committee on level 12 of Oracle building and this was useful for the Committee and staff of BMC. More "walk arounds" by Council members are required to increase the profile of HSW amongst staff.
- The HSW team doesn't have visibility over HSW with the A1 building project which is the responsibility of the contractor Naylor Love (NL). Council is responsible for HSW and more work is required to integrate the HSW reports provided by NL to the University's HSW team. The Vice Chancellor will meet with the Estates team on this matter shortly.
- Two areas of the University have not engaged with the HSW plan, however, have now agreed to integrate and participate in the University HSW plan.

Resolved

*THAT THE HEALTH, SAFETY AND WELLBEING REPORTS FOR JULY, AUGUST, SEPTEMBER AND OCTOBER 2022 BE RECEIVED*

**9 TE TIRITI REPORT**

No Report

**10 STRATEGIC REPORTS**

**10.1 Report from Professor Pare Keiha (PVC Māori Advancement)**

Received

Presentation from Professor Pare Keiha (PVC for Māori Advancement), Colleen Leauanae, Manager Projects and Strategic Initiatives, Hariata Mareroa Te Kaiwhakahaere and Associate Professor Georgina Stewart, Te Ara Poutama

Noted in discussion

- The demographics indicate Māori students comprise 11% of students, with 83% at undergraduate level and 12 % at postgraduate level. Of those enrolments 70% are female.
- There was a 1.2 % decrease in enrolments in 2022 which was the lowest decrease compared to other ethnicities. Nearly 44% are enrolled in the Faculty of Health and Environmental Sciences.
- In 2022, social anxiety was an ongoing issue for students because of the extended lockdowns in Auckland and the feeling of social isolation that caused difficulty in reengaging with peers with the return to campus study. Academic anxiety is also an issue with changes in assessment during COVID which has now reverted, and time management has been negatively impacted. Resilience and coping mechanisms are also impacted.
- The focus of Titahi Ki Tua is on whānau as part of the significant environment. The challenge of low resistance is the consequence of being overwhelmed with the demands of tertiary study. The focus in 2022 was on Te Kākano (reset), Kaupapa (Foundation), Tūturu (Authentic), Whanaungatanga (Community), Wānanga (Marae) and Ki Tua (beyond).
- The Eke Tangaroa programme for Māori and Pacific early career academics (ECA) was inspired by desire to progress AUT's PhD graduates to an academic career at AUT. All AUT students can then observe Māori and Pacific role models in all dimensions of academic work being teaching, research and leadership. In 2017-2020, 24 ECAs were appointed and 13 are still with AUT. In 2021, 5 ECAs were appointed and in 2022, 8 ECAs were appointed. The workshops include career planning, and Marsden fast-starts.
- In order to attract Māori students AUT needs to attract Māori academics to respond to the needs of Māori people.
- More work needs to be done to improve AUT's success in advancing the aspirations of Māori in tertiary study including an increase in Māori student enrolments and increasing the use of Te Reo Māori. The work in Eke Tangaroa and other initiatives is a good start, however, the University needs to truly integrate biculturalism in its core values and in its provision. The issue for AUT is many of its Māori student enrolments are in health studies and this needs to extend to all areas of the University's provision.
- There is a large cohort of Māori living in impoverished areas of Auckland and throughout New Zealand where access to study is limited. This is because of financial factors and the traditional timetabled provision of education, which prevents students from engaging if they have other demands such as family and employment.

Resolved

*THAT VERBAL REPORT FROM PROFESSOR PARE KEIHA (PVC MĀORI DEVELOPMENT) BE RECEIVED*

**11 STUDENT SUCCESS**

No Report

**12 CORRESPONDENCE REFERRED BY THE CHANCELLOR**

No Correspondence

**13 OTHER MATTERS FOR DECISION OR NOTING**

**13.1 Update from AUTSA**

Received

Verbal Update from Sara Youssef (President of AUTSA)

Noted in discussion

- The President described her increased workload in the last couple of weeks due to the increase in student concern about the Financial Recovery programme.
- Many students are seeking advocacy due to supervisors leaving the University and are finding information difficult to access and/or understand.
- There is an established process in place for alternative supervision arrangement for students when a supervisor leaves the University, which happens from time to time, and the University will provide directions to students on these alternative supervision arrangements if they are impacted. As decisions have been finalised only recently, the faculty postgraduate teams will now manage impacted students on an individual, case by case basis.
- Further communications will be sent to postgraduate students clarifying postgraduate supervision.

Resolved

*THAT THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA BE RECEIVED.*

**13.2 Council and Committee Meeting Schedule -2023**

Received

Council and Committee Meeting Schedule -2023

Resolved

*THAT THE COUNCIL AND COMMITTEE MEETING SCHEDULE 2023 BE RECEIVED AND APPROVED.*

**14 ITEMS MOVED FROM PART B OF THE AGENDA TO PART A AND GENERAL BUSINESS**

**PUBLIC EXCLUSIONS**

The Chancellor moved that the public be now excluded from Part B of this meeting, and that the following matters be discussed without public disclosure. This resolution is made in reliance on section 48(1)(a) of the Local Government Official Information and Meetings Act 1987 and section 9 of the Official Information Act, as the case may require, which would be prejudiced by the holding of the whole or relevant part of the proceedings of the meeting **AND THAT** W Lawson and A Vujnovich be permitted to remain at this meeting, after the public has been excluded, because of their knowledge of the matters to be discussed in the proceedings while the public are excluded. This knowledge, which will be of assistance in relation to the matters to be discussed, is relevant to these matters because they relate to aspects of the administration of AUT for which those persons are responsible.

General subject of each matter to be considered	Reason for passing this resolution in relation to each matter. The public conduct of each item below would be likely to result in the disclosure of information for which good reason for withholding would exist under section 9 of the OIA identified below.	Ground(s) under section 48(1) LGOIMA for the passing of this resolution
15. Council Minutes Part B of the Special Council meeting held on 2 September 2022	s 9(2)(b)(ii), s 9(2)(i), 9(2)(k)	7(2)(f)(i), 7(2)(h), 7(2)(i), 7(2)(j)
16. Report from AUT Ventures	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
17. Report from AUT Millennium	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
18. Report from AUT Ethics Committee	s 9(2)(a), 9(2)(b)(ii), s 9(2)(i), 9(2)(g)(i)	s7(2)(a), 7(2)(c), 7(2)(j), 7(2)(F)(i), 7(2)(f)(ii)
20. Draft Minutes of Finance and Audit Committee held on 19 September and 21 November 2022	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)
20.1 Council Executive Committee Minutes of the meeting held on 2 August 2022 and draft Minutes of the meeting held on 29 August 2022	s 9(2)(b)(ii), s 9(2)(g)(i) and s 9(2)(k)	7(2)(f)(i), 7(2)(h), 7(2)(i), 7(2)(j)
22- Other Business 22.1 Ratification 22.2 Approval - Lease 22.3 Approval -Agreement	s 9(2)(b)(ii), s 9(2)(i) and s 9(2)(k)	s7(2)(b), 7(2)(h), 7(2)(i), 7(2)(j)

Item 4.2 Matters Arising from the Minutes Part A

COUNCIL AGENDA ITEM	ACTION	Who	Status
22 February 2021	<b>5. Vice Chancellor's Report</b> <ul style="list-style-type: none"> <li>In 2021, a Council meeting will be hosted in AUT's whareniui.</li> </ul>	Tumuaki / Dean Te Ara Poutama	Open
31 May 2021	<b>3.3. Equal Opportunities Policy</b> <ul style="list-style-type: none"> <li>The Treaty of Waitangi should be referenced in the policy or alternatively, expressed in a Council Charter.</li> <li>A paper will be drafted in regard to a policy on Te Titiri and each Council policy should be reviewed at each Annual General meeting.</li> </ul>	Tumuaki / Dean Te Ara Poutama	Council Charter – ongoing  Fourth Quarter 2021
30 August 2021	<b>6.2 Te Tiriti o Waitangi</b> <ul style="list-style-type: none"> <li>The Chancellor working with the Vice-Chancellor will bring a proposal back to Council.</li> </ul>	Vice Chancellor's Office	Ongoing - 2022
25 July 2022	<b>5. Vice Chancellor's Report</b> <ul style="list-style-type: none"> <li>The upskilling of Council members in Te Tiriti should be undertaken over the next 12-24 months and Marama Royal and Renata Blair can assist and support Council with this.</li> </ul>	Council	Ongoing



<b>PART A</b>	<b>5</b>
<b>OPEN AGENDA ITEM</b>	

## Council Agenda Paper

Subject: **VICE-CHANCELLOR'S REPORT**

Date: **27 February 2023**

**RECOMMENDATION:**

*THAT THE VICE CHANCELLOR'S REPORT BE RECEIVED*

The beginning of this year has been saddened by the loss of our Dean of the Faculty of Health and Environmental Sciences, Professor Fiona Brooks, the recent earthquakes in Türkiye (Turkey) and Syria, Cyclone Gabrielle, and the severe weather events and floodings that have impacted our students, staff, communities, city, and country. This has been a difficult period for many, and I would like to acknowledge the effect this has had on AUT, our staff and students.

AUT embarked on a change proposal with academic staff in 2022 (Group 1). This led to legal proceedings initiated by the TEU and following those proceedings an agreement has been reached with the TEU regarding the Academic Change proposal for Group 1 (dated 6 September 2022), which has now been withdrawn. Staff who have had their notice of termination withdrawn remain employed. In addition, a significant number of academic staff have opted for voluntary severance. If further change is contemplated for academic staffing, no change proposal will be issued before the start of Semester 2, 2023. Change proposals for Groups 3 and 4 are unaffected by this agreement and 32 staff have been made redundant, with an additional 25 vacant positions confirmed as surplus to requirements for these groups. Final determinations on the change proposals for the Estates team and centralised Research function will be shared on the 30 March 2023.

Significant staff savings have been achieved. However, the financial situation facing our university remains a challenging one, with reduced student enrolments and increasing costs. There were substantial falls in domestic student enrolment across the university sector in 2022, and 2023 looks no less challenging on this front. Work is underway to strengthen our external reputation and to build strong engagement with staff across the university.

**HIGHLIGHTS**

- Associate Professor Jacoba Matapo from the Faculty of Culture and Society has been appointed Pro Vice-Chancellor Pacific Advancement.
- Professor Michael Petterson is acting Dean of the Faculty of Health and Environmental Sciences. Work has started on finding a new leader for the faculty.
- People and Culture Group Director Beth Bundy has resigned, and a recruitment process to find a replacement is underway. Dawn Shanta is currently Acting Group Director.



- AUT's commitment to gender equality has been formally recognised by gaining Advanced Gender Tick accreditation.
  - 91% of students in our tertiary transition programme UniPrep successfully completed a level 5 literacy paper. 199 students took part in the programme this summer, and staff across AUT who have contributed to the programme were invited to a graduation ceremony at the AUT South Campus on the 10 February 2023.
  - A gift from the McCall MacBain Foundation has been received to deliver a leadership and mentoring programme for current students from economically deprived areas over two years.
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## **PRIORITY 1: TE TIRITI O WAITANGI**

### **1.1 Te Tiriti Response Framework**

The Tērā Te Haeata Tiriti Response Framework project team are preparing communications and engagement plans and activities ahead of consultation with whānau Māori, staff and students commencing in March. The Steering and Reference Groups have made their final suggestions on the framework, which is now ready to be progressed to consultation. Tangata Whenua will see the next iteration of the Framework before it goes out for consultation, and the Framework will advance to Council in April.

### **1.2 Māori Advancement**

The Office of Māori Advancement, Tītahi ki Tua (TKT), and AMP New Zealand Wealth Management, supported by AUT Talenthub and Student Employability, have finalised details for a paid internship programme to start in Semester two at AMP New Zealand. The mutual benefits for both AMP and TKT will be invaluable as we continue to pave our way forward. We continue to build on our relationship with AMP to embed a deeper connection with Māori culture, values, and language.

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## **PRIORITY 2: EXCELLENCE AND EQUITY IN EDUCATION AND RESEARCH**

### **2.1 Research**

High-level planning to support AUT's submission for the 2026 PBRF Quality Evaluation is progressing with the Academic Working Group. The Sector Reference Group released consultation paper 8 "Panels Assessment Criteria" and proposed tie-point descriptors on 30 September 2022. Prof Kath McPherson has drafted a response, currently being reviewed by the Academic Working Group. Nominations for Panel Co-Chairs and initial Panel Members opened on 25 October and closed on 22 November 2022.

### **2.2 Māori Research**

Tui Tawera has been appointed Research Engagement Manager (Māori) in the University Research Office (URO). Plans are underway to launch a Te Reo Māori name for the office, Te Kāhui Poipoi Rangahau in March.

### **New MBIE Funds**

The RSI Minister, Ayesha Verrall, has [announced four new initiatives](#) mainly for Māori research purposes, with one fund also supporting Pacific Peoples ([MBIE](#)). He Tipu Ka Hua will have up to \$6m pa for a maximum of three Māori-led research programmes/platforms through to five years. He Aka Ka Toro will have \$4m pa to help Māori organisations build capacity to engage with the RSI system. Ngā Puanga Pūtaiao Fellowships (still in development, with Royal Society Te Apārangi) will have fellowships for early-to-mid-career Māori and Pacific

researchers, with a STEM priority. Te Ara Pōtiki (still in development) will provide around 22 internships in overseas startups for Māori entrepreneurs and technologists.

### 2.3 PBRF Quality Evaluation

The TEC released the Sector Reference Group Consultation Paper 9: Technical Matters/Detailed EP structure and submission requirements. This paper proposes changes to the Platform of Research Contextual Summary, and a minor change to the core research output submission process. It also contains an illustrative EP template – the first TEC has released for the 2026 QE. Feedback is welcomed on the proposals, guidance wording, and EP structure. The internal deadline for feedback is 20 February 2023.

### 2.4 Research Funding

ERI	Source - TechOne
2017 (unweighted)	\$11.458M
2017 (weighted)	\$13.955M
2018 (unweighted)	\$15.089M
2018 (weighted)	\$16.699M
2019 (unweighted)	\$15.3M
2020 (unweighted)	\$13.47M (est. as at 30/11/2020)
2021 (unweighted, unaudited)	\$17.30M (est. as at 31/12/2021)
2022 (unweighted, unaudited)	\$18,279,920M (est. as at 01/11/2022)

*Note: Unweighted means that ERI is not weighted according to TEC guidelines e.g. 1x for NZ government contestable funds; 1.5x for overseas; 2x for NZ non-government*

### 2.5 Graduate Research School

- Of the 132 active PhD students who have commenced offshore, 73 PhD students have relocated to New Zealand as of 31 January 2023.
- PhD applications have increased this year. There are currently 1025 applications compared to 632 at the same time last year, (source Uni Assist). That difference might be slightly smaller if we take into account that we changed the process for doctoral enquiries mid-year last year.
- There is a slow start for PhD admissions, with only 17 students admitted as of 7 February. Only one of them is a domestic student.
- There are 81 LOA students this year compared to 55 last year. The rise may be owing to students, whose supervisors were affected by FRP with a consequential LOA approved for the period of disruption.
- Conversion rate from admission to enrolment for international students is now 48% (for 2021 admission year). Up from the 2020 admission year, with 31%.
- Tuia page has been established to guide supervisors on the [postgraduate research skills](#) support available to their supervisees. New Tuia pages are also being released to support supervisors with different stages of PG supervision.

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## PRIORITY 3: ENVIRONMENTAL AND FINANCIAL SUSTAINABILITY

### 3.1 Financial Performance (detail in Appendix 2)

YTD December 2022 reflects a net deficit from operations of \$5.2M, which is \$13.9M behind budget driven by lower student enrolments and a provision for the financial recovery plan.

All TEC financial covenants, except for the net surplus ratio, were met in 2022. Earlier in the year, TEC had been alerted of the potential risk to the net surplus ratio target.

### 3.2 Student enrolment update (detail of 2022 full year summary in Appendix 1)

The downturn in domestic enrolments was not unique to AUT; final 2022 enrolment numbers across the University subsector show that all New Zealand universities (except Lincoln) experienced a downturn last year – particularly universities based in the North Island.

	Domestic SAC		International		Total	
	2022	2021	2022	2021	2022	2021
YTD EFTS	16,643	17,329	1,785	2,172	18,428	19,501
% of target	94%	100%	110%	117%	95%	102%

**Bullet points:**

Year to Date **Domestic SAC** enrolments (2022, compared to the same time in 2021):

- Total: down -4% (-687 EFTS)
- New to Programme: down -10% (-696 EFTS)
- Returning: up 0% (+9 EFTS)

Year to Date **International Full Fee** enrolments (2022, compared to the same time in 2021):

- Total: down -18% (-387 EFTS)
- New to Programme: down -20% (-157 EFTS)
- Returning: down -17% (-230 EFTS)

Year to Date **Māori Domestic SAC** enrolments (2022, compared to the same time in 2021):

- Total: down -1% (-26 EFTS)
- New to Programme: down -13% (-116 EFTS)
- Returning: up 9% (+90 EFTS)

Year to Date **Pacific Domestic SAC** enrolments (2022, compared to the same time in 2021):

- Total: down -3% (-90 EFTS)
- New to Programme: down -5% (-68 EFTS)
- Returning: down -1% (-22 EFTS)

Year to Date **Pre-Degree** enrolments (2022, compared to the same time in 2021):

- Total: down -18% (-207 EFTS)
- New to Programme: down -24% (-223 EFTS)
- Returning: up 8% (+16 EFTS)

Year to Date **Undergraduate** enrolments (2022, compared to the same time in 2021):

- Total: down -3% (-514 EFTS)
- New to Programme: down -6% (-361 EFTS)
- Returning: down -2% (-153 EFTS)

Year to Date **Postgraduate** enrolments (2022, compared to the same time in 2021):

Total: down -8% (-311 EFTS)

New to Programme: down -19% (-306 EFTS)

Returning: down 0% (-5 EFTS)

### **3.3 University key performance indicators (Details in Appendix 3)**

AUT's performance was mixed in 2022. There were some pleasing gains in research, including an extra \$9 million in new research contracts over 2021 and an increased proportion of staff involved in research, along with maintaining second place in the sub-sector for field citation ratio (a measure of peer esteem). Student-wise, the number of Māori students in research programmes increased and the graduate employment rate returned to pre-COVID norms.

However, student satisfaction with programmes and teaching declined sharply from previous years. The reasons for this decline are being analysed at present and will be discussed in the Annual Report. Success rates for students from lower socio-economic backgrounds also fell significantly from previous years, likely as a result of sustained COVID-related disruptions, both to actual study in Semester one and more generally to preparation for university. Enrolments at South Campus also continued their downward trend.

### **3.4 Brand and Marketing**

#### **Domestic marketing**

November 2022 – January 2023 has been a continued focus on supporting the Semester one intake for 2023. Key projects include undergraduate and postgraduate advertising campaigns, and conversion activity support (via direct mail to 'reactivate' existing leads and marketing for conversion events like Stay on Track). The Semester one marketing campaign started October 2022 in support of recruitment activity. The campaign runs through to the start of Semester one 2023 focussing on awareness and preference for studying AUT. The campaign features digital advertising on all key social channels (Oct – Feb), out of home advertising across bus sides and digital street furniture (bus shelters) throughout Auckland, and radio advertising from 6 February.

#### **International Marketing**

- Search Engine Optimisation campaign in China to increase [autuni.cn](http://autuni.cn) page rank and increase traffic onto site from 2,000/month to 20,000/month. Site has now been indexed by Baidu and is receiving organic traffic.
- AUT [Douyin](https://www.douyin.com/) (TikTok) channel launched in Nov, 955 following. First NZ university to launch in market.
- International Scholarships campaign promoting International Students Accommodation Scholarships, South East Asia/South Asia Excellence Awards and CSOC scholarship ran in China, India, South East Asia, Latin America.
- Asia PPC campaign promoting targeted programmes in Malaysia/Vietnam Jan 16- Mar 16 2023.
- Prototype [India Landing Page](#) developed.
- [International Prospectus](#), [International Fees Flyer](#).

#### **Communications**

Key corporate communications focus on the AUT Financial Recovery Programme and issues management. Annual Report KPI of 1,000 plus media items regarding research or featuring our experts was achieved in 2022.

### **3.5 Places and spaces**

During the reporting period, the Estates Group was focused on the following key areas:

- Delivery of summer opex and capex works programme.
- Finalisation of Estates FRP change proposal.
- Completion of tasks from the Estates Business Plan 2022.
- A1 Project implementation and delivery of PM/MCW programme.
- Active management of all property and services-related risks within resource constraints.
- AX End of Lease/Lease Renewal project implementation.

- Christchurch facility lease and design development.

### Capital Projects

Most Estates projects were progressing as planned; their budget and full year spend is summarised below.

Capex Category	Budget 2022	2022 Actual Spending
Software & Time critical projects	303,800	14,599
PM & Minor Capital Works	9,202,272	7,469,634
Major Capital Works	28,617,326	35,560,720
<b>Total Capex for Estate group</b>	<b>38,123,398</b>	<b>43,044,953</b>

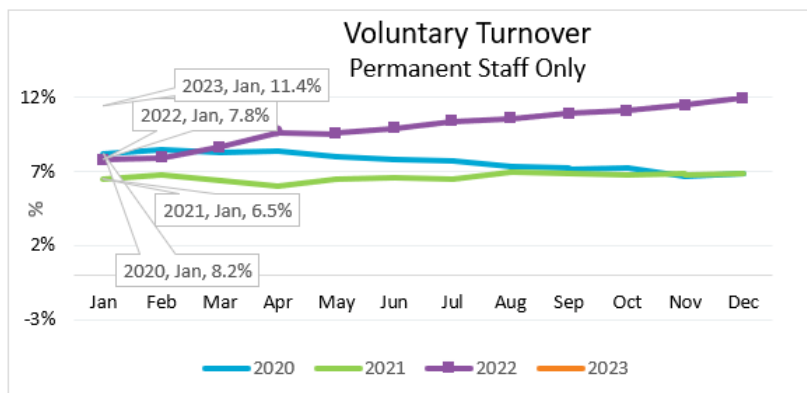
The overspend resulted from the accounting of two progress payment claims (Nov & Dec), approximately \$5.06M, for A1 construction contracts; the cashflow impact will follow in 2023.

### 3.6 Staff diversity statistics (January 2023)

Staff count				Occupation			
2,038 FTE				Academic 991.3 (48.6%)		Professional 1,047.4 (51.5%)	
Gender				Annual Turnover Rate			
Female	59.2%	Gender diverse	0.4%	7.2%		14.7%	
Male	39.5%	Not disclosed	0.9%				
Ethnicity							
Academic (48.6%)				Professional (51.5%)			
NZ European	46.5%	Other	4.5%	NZ European	38.0%	Other	4.4%
Asian	16.8%	Undeclared	7.3%	Asian	27.9%	Undeclared	9.1
European	8.0%	Middle Eastern	2.3%	European	4.4%	Middle Eastern	1.2%
Māori	7.7%	Latin American	1.3%	Māori	5.8%	Latin American	1.0%
Pacific	4.1%	African	1.3%	Pacific	7.5%	African	0.7%

Of the University leadership, 55.0% of roles are held by men, and 44.8% are held by women. 13 leadership roles are held by Māori and Pacific women, and 10 leadership roles are held by Māori and Pacific men.

### 3.7 People and Culture – Voluntary Turnover



- Voluntary turnover has increased to 11.4% in January 2023, which is 3.6% higher than in January 2022.
- Voluntary turnover of permanent academic staff has increased to 7.0% in January 2023 which is 2.3% higher than January 2022.

- Voluntary turnover of permanent professional staff has increased to 15.6% in January 2023 which is 5.0% higher than January 2022.

### 3.8 Student Accommodation

Student Accommodation Applications remain steady, however we are experiencing an increasing number of cancellations at Akoranga Student Village. There are several students with no programme offers that we expect may cancel in the upcoming weeks. Below is the total number of applications as at 15 February 2023:

Accommodation	Total Rooms	Total Applications	Tentative or offered	Reserved (accepted & paid)	Total rooms taken	Rooms Free
WSA	481	547	23	418	441	40
ASV	198	217	4	145	149	49

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## PRIORITY 4: STUDENT SUCCESS

### 4.1 Graduation

The Records and Graduation team concluded the 2022 academic year by granting qualifications to successful graduates in the Summer Completion cycle on 22 December 2022, and the digital parchments and academic transcripts were issued to those graduates through My eEquals on the same day.

- 3,689 qualifications were granted which included 75 non-corporate Certificate and Diploma qualifications.
- 86 qualifications were granted under our offshore articulation agreements with Universities in Vietnam and China for the BCIS, BSc (Chemistry) and Master of Applied Finance programmes.
- 627 AKCOP qualifications

Dates for the 2023 graduation ceremonies have been confirmed as 30-31 March 2023 at the Spark Arena in Auckland. Communication activities to graduates who have indicated their attendance In Person will commence in February including those who are expected to complete over the summer school.

The Orientation team is also supporting AUT Māori with the communications efforts to invite our new Māori students and their whānau to AUTaia, our Māori student orientation. An invite was sent on 1 February 2023 with a link to register. A follow up is scheduled in the week leading up to the event. Additionally, a staff engagement plan has been put together to increase awareness.

### 4.2 Learning and Teaching

Innovations like ChatGPT provide a good opportunity for academic staff to reflect on their assessment practices. This fits well with the overarching priority for Learning and Teaching in 2023, which was agreed by senior learning teaching leaders in January. This is to develop and implement agreed AUT principles of good teaching practice. In doing so we will be building on the work that was undertaken to implement Canvas, where good practice principles were implemented in relation to the development of resources on Canvas for all courses. This year we will be widening that work to embrace all teaching practices including a particular focus on assessment practice. This is part of the ongoing enhancement of our teaching to give students exceptional learning experiences

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## PRIORITY 5: MATURING UNIVERSITY SYSTEMS AND PROCESSES

### 5.1 Independent Review progress update (details in Appendix 4)

Most of the recommendations from the Independent Review project have now been implemented. Since the last update in September some actions have had to be re-prioritised to accommodate activity related to the

financial recovery work and other internal pressures. However, this implementation remains a priority and aims to be completed in 2023 as detailed below in 1) project plan Gantt chart, 2) a table with our work to date and upcoming actions as they relate to the QC's recommendations, 3) next steps, and 4) Appendix- response to recommendation 31.

## **5.2 Admissions**

The Admissions team has been dealing with high volumes of emails and applications received during AUT's closedown period, and there has been a significant increase in general admissions related to the NCEA file upload, UNIPREP, and support of the Stay on Track initiative. Overall, the processing of NCEA and CIE results went well, and we achieved our objectives. Staff resources were allocated to support the Stay on Track programme, and the ability to offer alternative programme advice and issue offers of places immediately contributed to securing students for AUT.

## **5.3 Visa Management**

Visa Compliance activities continued for students enrolled in the 2022 Summer School period. All students currently enrolled in this intake have valid visas with the authority to study. Visa Management operational planning also commenced for 2023 with communication to students expected to commence in February.

## Appendix 1: Enrolments

### 2022 EFTS Progress to Target Monitoring Report

Year to Date Compared to Target and Equivalent Date Last Year

Programme EFTS as at 30 Feb 2022

Student Achievement Component EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	1	0	0	0	0	0
Actual	16,642	2,915	2,503	4,540	6,510	136
<b>Total Pending and Actual</b>	<b>16,643</b>	<b>2,915</b>	<b>2,503</b>	<b>4,540</b>	<b>6,511</b>	<b>136</b>
<b>2022 Target</b>	<b>17,691</b>	3,205	2,764	4,723	6,731	193
Progress to Target (%)	94%	91%	91%	96%	97%	70%
EFTS needed to reach 100%	1,048	290	260	183	220	57
Ahead or behind on this time last year:	Behind by 687	Behind by 224	Behind by 291	Behind by 184	Ahead by 130	Behind by 48
Progress to Target, this time last year (%)	100%	98%	97%	99%	103%	105%
EFTS needed to reach Target this time last year	7	49	90	72	-188	-9
Achieved from this time last year to year end	-7	-1	0	-1	-4	0

International Full-Fee EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	1	1	0	0	0	0
Actual	1,784	673	343	543	213	2
<b>Total Pending and Actual</b>	<b>1,785</b>	<b>674</b>	<b>343</b>	<b>543</b>	<b>213</b>	<b>2</b>
<b>2022 Target</b>	<b>1,617</b>	727	243	466	151	1
Progress to Target (%)	110%	93%	141%	116%	141%	174%
EFTS needed to reach 100%	-168	53	-101	-77	-62	-1
Ahead or behind on this time last year:	Behind by 387	Behind by 192	Behind by 30	Behind by 125	Behind by 40	Behind by 2
Progress to Target, this time last year (%)	116%	130%	132%	101%	105%	12073%
EFTS needed to reach Target this time last year	-294	-201	-91	-9	-12	-5
Achieved from this time last year to year end	-2	-1	0	0	0	0

AUT South Campus	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	0	0	0	0	0	0



Actual	1,931	271	263	58	1,305	8
<b>Total Pending and Actual</b>	<b>1,931</b>	<b>271</b>	<b>263</b>	<b>58</b>	<b>1,305</b>	<b>8</b>
<b>2022 Target</b>	<b>2,481</b>	436	279	97	1,575	18
Progress to Target (%)	<b>78%</b>	62%	94%	59%	83%	43%
EFTS needed to reach 100%	<b>550</b>	165	16	39	270	10
Ahead or behind on this time last year:	Behind by	Behind by	Behind by	Behind by	Behind by	Behind by
	<b>227</b>	<b>42</b>	<b>17</b>	<b>65</b>	<b>42</b>	<b>6</b>
Progress to Target, this time last year (%)	<b>86%</b>	92%	82%	54%	90%	105%
EFTS needed to reach Target this time last year	<b>359</b>	29	61	106	143	-1
Achieved from this time last year to year end	<b>-1</b>	0	0	0	0	0

Pre-Degree Total EFTS	Total
Pending	0
Actual	934
<b>Total Pending and Actual</b>	<b>934</b>
Ahead or behind on this time last year:	Behind by 207

Undergraduate Total EFTS	Total
Pending	3
Actual	14,706
<b>Total Pending and Actual</b>	<b>14,709</b>
Ahead or behind on this time last year:	Behind by 514

Postgraduate Total EFTS	Total
Pending	4
Actual	3,394
<b>Total Pending and Actual</b>	<b>3,398</b>
Ahead or behind on this time last year:	Behind by 311
<b>Doctoral</b>	<b>798</b>

Māori Domestic SAC EFTS	Total
Pending	0
Actual	1,876
<b>Total Pending and Actual</b>	<b>1,876</b>

Ahead or behind on this time last year: Behind by 26

Pacific Domestic SAC EFTS	Total
Pending	0
Actual	2,852
<b>Total Pending and Actual</b>	<b>2,853</b>

Ahead or behind on this time last year: Behind by 90

**Please Note:**

- In 2021, 101 SDR SAC Budget EFTS were not assigned to an academic faculty. As a result, the total budget is 101 greater than the sum of the faculty totals for tables presenting Domestic – SAC Funded, South (SAC) and University totals.
- Returning to programme EFTS defined as all EFTS consumed by students enrolled in the same programme code in a previous calendar year, regardless of progress through programme. EFTS consumed by students who enrolled in any Bachelor of Health Science programme (any programme code ending in '3680') in a previous calendar year and then enrolled in a related programme are also considered to be returning. All other EFTS classified as 'New'.
- Budget EFTS pertaining to South Campus have been identified using the following working definition: Where the teaching school name includes the word 'Manukau', 'Manku', 'South', or 'South', OR the teaching school code is 'VK', 'RO', or 'KO', the Budget EFTS are assumed to relate to South Campus.
- (\*) Please note that the 2016 South SAC EFTS target of 1,514 represents the University's internal operating budget, as set by central Finance, rather than the 2016 TEC South Campus target provided in the Funding Letter (1,827).

## Appendix 2: Financial Performance – Current Year

### Financial Performance – Current Year

As at 31 December 2022 (refer item 5.1)

\$000s	Year to Date (\$000s)		
	Actual	Budget	Variance
Income	414,977	421,567	(6,590)
Expense	418,323	410,084	(8,239)
<b>(Deficit)/Surplus before interest</b>	<b>(3,346)</b>	<b>11,483</b>	<b>(14,829)</b>
Interest	1,841	2,764	923
<b>Net (deficit)/surplus</b>	<b>(5,187)</b>	<b>8,719</b>	<b>(13,906)</b>

*Comment*

YTD December 2022 reflects a net deficit from operations of \$5.2M, which is \$13.9M behind budget driven by lower student enrolments and a provision for the financial recovery plan.

TEC Financial Covenants	2022 Year-end Result		
	FY Actual	TEC	Outcome
Max commercial debt borrowings \$000s	\$40,000	\$220,000	On target
Max aggregate financing \$000s	\$51,741	\$243,000	On target
Max Debt / Debt + Equity Ratio	5%	30%	On target
Max Debt / Net Cash Flow Ratio	0.71	3.00	On target
Max Debt / Total Revenue Ratio	12%	55%	On target
Min Net Surplus Ratio	(1.2%)	>0.0%	Off target
Min Cash Flow from Operation Ratio	120%	113%	On target
Min Interest Cover Ratio	(1.82)	Suspended until 2026	
Min Liquidity Ratio	53%	2%	On target

*Comment*

All TEC financial covenants, except for the net surplus ratio, were met in 2022.

Earlier in the year, TEC had been alerted of the potential risk to the net surplus ratio target.

**Financial Performance 2022 YTD Compared to 2021 YTD**

<b>\$000s</b>	<b>Year to Date (\$000s)</b>		
	<b>2022</b>	<b>2021</b>	<b>Variance</b>
Income	414,977	423,494	(8,517)
Expense	420,164	410,628	(9,536)
<b>Net (deficit)/surplus</b>	<b>(5,187)</b>	<b>12,866</b>	<b>(18,053)</b>

Lower **year-to-date income** compared to the same period last year is driven by lower student enrolments.

Higher **year-to-date expense** compared to the same period last year is driven by higher salary costs due to a provision for financial recovery plan.

Overall, the **year-to-date net (deficit)/surplus** is \$18.0M lower than the same last year reflects the net impact of lower student enrolments and higher operation costs in 2022.

### Appendix 3: University key performance indicators – Progress report

#### KPI Summary 2022

The following table presents results for the University's KPIs for 2022. Results shaded in grey are still provisional at this stage; final results are anticipated shortly.

KPI	Description	Target 2022	Actual 2022	Actual 2021	Result
1	Proportion of students who are satisfied with their programme of study	81.5%	78%	82%	Not achieved
2	Proportion of students who are satisfied with teaching quality	83%	81%	83%	Not achieved
3	Proportion bachelors graduates who completed work-integrated learning while studying	90%	91%	92%	Achieved
4	Proportion of available graduates who are working full time	81%	84%	81%	Achieved
5	Course completion rate for students from areas with high deprivation scores	77%	68%	77%	Not achieved
6	Number of quality-assured research outputs	Annual increase	2,054	2,048	Achieved
7	Proportion of research-active academic staff	Annual increase	61%	57%	Achieved
8	Value of new research contracts signed	Annual increase	\$27.6M	\$18.6M	Achieved
9	Proportion of research outputs with an international co-author	Annual increase	58%	59%	Not achieved
10	Ranking amongst New Zealand universities for field citation ratio	Top-four	Second	Second	Achieved
11	Number of media articles using AUT staff as expert voices or highlighting AUT research	>1,000	1,244	1,475	Achieved
12	Number of Māori graduates from bachelors degrees	Annual increase	308	305	Achieved
13	Number of Māori students in research programmes	Annual increase	144	113	Achieved
14	Number of Pacific graduates from bachelors degrees	Annual increase	432	440	Not achieved
15	Number of Pacific students in research programmes	Annual increase	92	93	Not achieved
16	Number of EFTS at South Campus	Annual increase	1,985	2,223	Not achieved

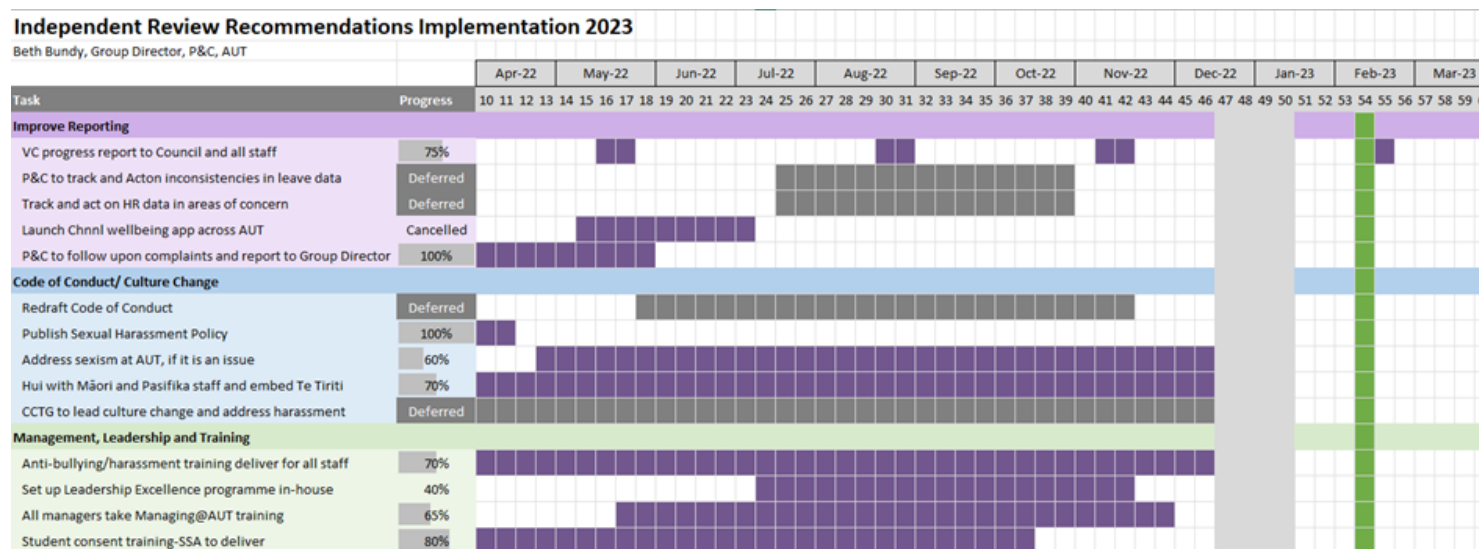
## Appendix 4: Independent Review – Progress report

### Independent Review implementation progress update

#### February 2023

Most of the recommendations from the Independent Review project have now been implemented. Since the last update in September some actions have had to be re-prioritised to accommodate activity related to the financial recovery work and other internal pressures. However this implementation remains a priority and aims to be completed in 2023 as detailed below in 1) project plan Gantt chart, 2) a table with our work to date and upcoming actions as they relate to the QC's recommendations, 3) next steps, and 4) Appendix- response to recommendation 31.

#### 1) Project plan Gantt chart:



#### 2) Work to date and upcoming actions

In 2022 we are focused on adding value by further addressing the QC Recommendations noted below, which are sorted by theme.

Theme	Recommendation	Work to date	Upcoming actions	Current Status of Activity
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Improve reporting	3. VC Report to Council/ AUT on progress against the Review's recommendations 6-monthly, then annually	This marks the eighth progress report to Council. All staff have also been regularly updated on our progress via TUIA, emails and video chats.		Reports are being provided to both Council and the P&C Committee. Activity is regularly updated on internal channels to update staff.
	8. Ensure leave is properly recorded and taken	P&C tracks leave balances and managers are responsible for ensuring leave is taken.	P&C is investigating this issue further and will address any inconsistencies found.	Work on this initiative was re-prioritised to enable processing of redundancies in Q4 2022
	30. Track HR data, identify and act on trends	P&C tracks and acts on data in key areas of concern.	The scope of this work is being widened to identify and act on trends across AUT.	Work on this initiative was re-prioritised to enable processing of redundancies in Q4 2022
	31. P&C to follow up with all complainants and report to Group Director P&C	A process was devised for following up on complaints. The 24 complaints made from 1 October to 31 January 2023 have been analysed and recommendations made.	The process has been implemented, and regular reports are being made to the Group Director P&C. Recommendations will be implemented.	Details of the complaints, follow-up with individual staff and recommendations are detailed in the appended report.
	32. Invest in Chnnl, P&C to investigate issues raised	The Chnnl trial was a success, with managers reporting it helped them support staff during lockdown. However other tools besides Chnnl are being assessed.	EARS and HSW will look into other tools to meet this need.	A review of usage and consideration of its purpose from the review recommendations have indicated other tools are more appropriately responding to this.
Code of Conduct/ Culture change	4. Redraft Code of Conduct and Sexual Harassment (SH) Policy	SH policy was drafted, consulted and published on TUIA.		Work on this initiative has been subsumed into the wider Te Tiriti project and is expected to occur in Q3 2023

	<p>21. Extend Values pin to recognise excellent behaviour</p>	<p>A review, led by OMA, began on AUT's Values in Action. A toolkit was developed for leaders and staff and webinars on how to integrate values-led behaviour into the e-MAP conversation, and training was provided for New Leaders@AUT.</p>	<p>The eMAP form will be updated this year, pending availability of the ICT Dev team. The Values Pin is being assessed.</p>	<p>The Vice Chancellors Office are initiating a review of the University Excellence Awards and associated activity. This review will provide the appropriate opportunity to consider how the Values Pin Award might form part of the wider University's strategic reward and recognition activity.</p>
	<p>24. CCTG to lead culture change and address harassment</p>	<p>CCTG began work on key areas including Accountability, Action planning, Policy review, Surveys and Data, and Values. It created a Journey Map for culture change.</p>	<p>CCTG will continue to progress its work plan, aligned with its Terms of Reference, by investigating issues, identifying recommended solutions, and sharing those with relevant groups including the VC.</p>	<p>The paper confirming the contribution of the CCTG to date and proposing the model for the future has been deferred to Q2 2023.</p>
	<p>35. Address sexism at AUT, if it is an issue</p>	<p>The Gender Tick submission is complete. An assessment of the gender pay gap at AUT has been done.</p>	<p>To participate in the Mind the Gap initiative, informed by the Public Service Commission's new Te Orowaru Pay Equity Assessment. Kate is progressing a Gender Tick framework.</p>	<p>AUT achieved the Gender Tick 4 November 2022. The gender pay gap report has been completed and shared externally.</p>
	<p>36. Hui with Māori and Pasifika staff and embed Te Tiriti at AUT</p>	<p>Office of Māori Advancement led work to determine how we build cultural capability and improve training around living our values and Te Tiriti. A funding proposal has gone</p>	<p>OMA/ VCO will continue to lead this work. To review Te Ara Whiti document and how we can apply it at AUT. P&amp;C is poised to support training development and</p>	<p>The University Te Tiriti Strategy is on course for completion by the end of 2023. The P&amp;C Business Plan has confirmed the anticipated resource requirements for</p>



		to SLT, to train all staff in AUT values, values-behaviours, and Te Tiriti.	delivery around Te Tiriti if funding is approved by SLT.	delivery of programme to build organisational capability and individual competency from 2023.
Management, Leadership and Training	19. Student Consent training	SSA developed the student consent programme and began rolling it out students in AUT Accommodation.	SSA to roll out the programme to all new students during 2022, as part of their induction.	SSA delivered an initial programme to all residential students in 2022. This training is now a compulsory component of induction for all students.
	20. Leadership & Management Training; set up Leadership & Excellence programme	Following covid delays, these programmes are back up and running.	P&C will continue to deliver Leadership and Management training including Catalyst, Leadership Excellence, and People Leaders Essentials training throughout 2022.	Leadership and excellence programs are operating across management levels at AUT. Each program has a module on addressing bullying and harassment.
	27. Bullying and harassment/ conduct training for all staff	Following covid delays, these courses are back on and being delivered in person. The EARS team have completed Train the Trainer, to enable delivery to transfer to internal resource.	Anti- Bullying and Harassment training will continue.  This training will be reconfigured by EARS and L&D to be delivered in conjunction with orientation of new staff from 2023.	The senior leadership modelled this behaviour in 2022 by being the first group to undergo the training. We have had 349 People Leaders attend the training so far, and 192 have attended the all-staff sessions.
	28. All managers to take Managing@AUT training	Following covid delays, these courses are back on and being delivered in person. All outstanding attendees have been scheduled to attend and SLT have been advised of	Managing@AUT training will continue throughout 2023. We have also introduced the New Leader workshop.	All leadership and management development includes modules on people management and having difficult conversations. AUT's senior leadership team led the way by participating in

		those who have not yet attended.		training on bullying and harassment.
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### 3) NEXT STEPS

The Vice-Chancellor asked for a review of all the activity to respond to the Independent Review undertaken to date to ensure our activity is leading the way. A Project Manager has been engaged to assist the team who have contributed to this work to review and compare our response to that undertaken by other Universities. The team have initially identified two universities (one local and one in Australia) against which we are now benchmarking our activity. Initial research has been carried out and preliminary recommendations supplied to the Vice-Chancellor. Implementation has been deferred to Q2 2023

### 4) Appendix- Report in response to Recommendation 31

**AUT Council – February 2023**  
**Following up with staff who have raised complaints (QC Recommendation 31)**

**Introduction**

In February 2021, AUT published the Independent Review into harassment and sexual harassment at AUT. The report contained recommendations on how People and Culture could improve the complaints process. The first of a new set of reports was provided to Council in March 2021. This is the third report in the series.

**Purpose**

The purpose of this paper is to provide AUT Council with an overview of the complaints and the follow-up process undertaken by People & Culture to ensure that the behaviour/issues have been resolved over the period from 1 October to 31 January 2023.

As per recommendation 31 in the report.

"I recommend that P&C should be responsible for the follow up with staff who have raised complaints dealt with at all levels of the complaint system after 3 to 6 months to check that the behaviour/issues have resolved. If not, this must be reported to the Group Director of P&C, who will have responsibility for devising a plan to resolve ongoing issues."

**Commentary**

This quarter we have experienced a significant increase in employees by passing our early resolution procedures and engaging counsel. Over half of these cases can be attributed to staff challenging the academic and professional staff change processes, specifically, why their position has been proposed as surplus. There have also been two groups of professional staff that have raised concerns about those in leadership positions and the impact that this has had on team culture and working relationships.

We have received no student complaints against academic staff over this quarter.

### **Current Status**

To better understand the types of employment relationship problems for our people, we have analysed the 24 cases that made up our Employment Relations Team complaints caseload from 1 October to 31 January 2023.

Our caseload was made up of thirteen academic staff, ten professional staff, one from an ex-staff member of academic staff.

### **Informal Complaints – Category 1**

EARS represented a group of professional staff that had concerns about a manager's leadership style and the impact that this had on team culture and working relationships. In response to the employee's concerns, the Employment Relations Team initiated an independent workplace review. We have since received the independent report, accepted all the findings and work is underway on the implementation plan.

**Recommendation:** That the EARS service be responsible for following up on all informal complaints.

### **Formal Complaints – Category 2**

We received 2 complaints.

1 Academic staff member raised concerns about their allocated teaching for Semester one and that the department could not accommodate their request to reduce their FTE to 0.4. The Employee chose not to engage in our early resolution procedures and tendered their resignation.

1 Academic staff raised concerns about safety in the workplace following the breakdown of a personal relationship with a colleague. We negotiated terms of exit with the other party to ensure the safety of the staff member.

**Recommendation:** The employment relations team have an ongoing dialogue with the line manager(s) on work allocation and safety concerns of the individual.

### **Personal Grievances – Category 3**

The ER team dealt with 16 personal grievances. Nine were from academic staff, eight were from current and one from former staff members. There were seven personal grievances from professional staff.

Six academic staff and one Professional staff have raised personal grievances in response to the academic change process all are ongoing.

One academic staff member raised a grievance on the legitimacy of their fixed-term appointment. The Employment Relations Team is holding a training session with the Heads of Departments in the School on Fixed Term Appointments.

One academic staff member has raised a personal grievance in response to the outcome of their application for promotion. We are continuing to engage with the employee and their union representatives on options for professional development.

One ex-academic member of staff has raised a personal grievance claiming disadvantage as a result of media inquiries into their employment status with the university. Discussions on options for resolution are on going with their representative.

Four of the grievances in response to the professional change process have been resolved on mutually acceptable terms.

Two of the grievances from professional staff regarding the behaviour of their line managers are ongoing.

**Recommendation:** Due to the sensitive and confidential nature of personal grievances and the fact the complainant will often be represented by external legal counsel we advise against any follow-up.

### **Student Complaints – Category 4**

No student complaints were received this quarter.

**Recommendation** – That the 'Student Conduct Officer (in Student Services) follows up with the complainant.



PART A	6
OPEN AGENDA ITEM	

**Council Agenda Paper**

Subject: **CHANCELLOR'S REPORT**

Date: 27 February 2023

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**RECOMMENDATION:**

*THAT COUNCIL RECEIVE THE CHANCELLOR'S REPORT*

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Part A OPEN AGENDA ITEM	7.1
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## Council Agenda Paper

Subject: **REPORT FROM ACADEMIC BOARD**

Date: 10 December 2022

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**RECOMMENDATION:**

*THAT COUNCIL RECEIVE THE ACADEMIC BOARD REPORT AND MINUTES OF THE MEETING HELD ON 28 NOVEMBER 2022*

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The minutes are in supplementary papers.

## Academic Board Report to Council

Meeting held 28 November 2022

### Strategic Matters and Policy Developments

- **International Plan 2022-2025**  
An overview of the International Plan 2022-2025 was provided. It will support marketing, recruitment, study abroad, exchange partnerships, international relations, research and internationalisation broadly across the University.
- **AUT's Financial Recovery Update**  
The Vice-Chancellor provided an update on the next phase of the recovery plan including proposals for changes to Groups 3 and 4 and final notifications affecting Group 1.

### Committees of Academic Board

- Academic Board approved the closure to new enrolments into the following four majors and five minors as well as related pathways in associated programmes from 1 January 2023:

#### **Bachelor of Arts**

##### **Majors:**

Chinese Studies  
English and New Media Studies  
Japanese Studies  
Conflict Resolution

##### **Minors:**

Chinese Studies  
English and New Media Studies  
Japanese Studies  
Asian Studies  
Language Teaching

#### **Graduate Certificate in Arts, Graduate Diploma in Arts Pathways:**

Chinese Studies  
English and New Media Studies  
Japanese Studies  
Conflict Resolution

#### **Diploma in Arts Pathways:**

Chinese  
English and New Media Studies  
Japanese

<b>Part A</b> <b>OPEN AGENDA ITEM</b>	<b>8</b>
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## **Council Agenda Paper**

Subject: **HEALTH, SAFETY & WELLBEING REPORTS**

Date: 12 February 2023

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**RECOMMENDATION:**

*THAT COUNCIL RECEIVE THE HEALTH, SAFETY AND WELLBEING REPORTS FOR DECEMBER 2022 AND JANUARY 2023*

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## Monthly Health, Safety & Wellbeing Summary December 2022 & January 2023

### Highlights - Online risk management platform

We are pleased to announce that the new HSW digital platform, "SHIELD", was launched in January 2023. People Leaders can now log into [SHIELD](#) to review events submitted by their teams and manage their HSW reviews. We encourage you to take advantage of the SHIELD [guide](#), [training](#) resources, and [knowledge base](#) articles to learn more about accessing and using SHIELD. Your [dedicated HSW Team member](#) will be in touch to introduce you to the system and help you close out any open investigation reports you may have from the old system.

### Risks - Lone Working

As we begin to restart our operations and teaching and learning are due to begin, People Leaders should remind their staff of the Lone Working requirements under the [Remote and Isolated Work Procedure](#); these are minimum standards across the University. Your [risk assessment](#) should include a control which ensures the Security Team is notified on the day of any staff working on campus by themselves outside of regular business hours. The HSW team have developed a [Safety-5 briefing note](#) to help People Leaders and our community understand what is needed to keep our people safe when planning lone working.

### Performance (Lagging Indicators)

Twenty-five events were recorded overall for December 2022 and January 2023, an increase of eleven from December 2021 to January 2022. Nine of these are categorised as accidents (an event that resulted in injury/ill health), compared to four from December 2021 to January 2022.

#### Accidents

Seven of the nine accidents required First Aid, and one needed no treatment. One accident was categorised as a restricted work case – Injury/Illness that prevents you from performing one or more routine job functions, or you are kept from working an entire workday - not including the day of injury/onset

#### Restricted Work Case

While a staff member was concentrating on painting a wall in a staircase area (WO building), they positioned their right foot incorrectly and damaged the ligament of the inner upper thigh on their right foot. Consequently, there is now inflammation and swelling around the damaged area.

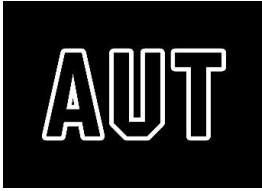
#### Year-on-year HSW incident/accident/event comparison

2022 saw a moderate increase in the number of reported events, which rose by 40 to 393, compared to 2021, which saw 353. This increase is primarily due to our community becoming more vigilant with the need to report undesired circumstances proactively. Events generally (near misses, incidents and accidents) also increased from 158 to 185. This is likely coupled with more awareness of the reporting procedure and the ease of reporting.

The number of reported events shows an increase of eleven in the comparative periods of December 2021 to January 2022 (14 events recorded) and December 2022 to January 2023 (25 events recorded). More undesired circumstances have been reported (14 compared to 6 in the December to January period 2021 to 2022). There are significant changes in the severity of the injuries (7 x first aid cases and one restricted work case) compared to (2 x first aid cases and 1 x lost time injury) from December 2021 to January 2022.

### Projects Update – current Focus

The 2023 HSW project plan will be published in March.



<b>PART A</b>	<b>13.1</b>
<b>OPEN AGENDA ITEM</b>	

## Council Agenda Paper

Subject: **UPDATE FROM AUTSA**

Date: 27 February 2023

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**RECOMMENDATION:**

*THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA*

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