

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, 26 February 2024**

FROM: 3.45 – 5.00 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
	Alicia Lemmer Appointed by the Auckland University of Technology Student Association
	Renata Blair Appointed by Council
	Leo Foliaki Appointed by Council
	Marama Royal Appointed by Council
	Welby Ings Elected by the Academic Staff of the Auckland University of Technology
	Lani Thomson Elected by the Professional Staff of the Auckland University of Technology

PART A

OPEN AGENDA



COUNCIL PART A OPEN AGENDA

Council Agenda Part A (Open Agenda)

Monday 26 February 2024 at 3.45 pm to be held in the Council Room, Level 7, WA Building, AUT City Campus

Karakia		
Mihi – Chancellor		
1. Welcome, Apologies and approval of agenda	The Chancellor moves that apologies be noted and that Council approve the assignment of agenda items to Part A and Part B of the Council agenda.	
2. Declaration/Recording of any Interests	2. The attention of Members is 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.	The Chancellor moves that the declarations if any be noted and the action taken be endorsed .
3. Constitutional Matters, Conferment of Degrees, and Policy	3.1 Noting Chancellor delegation – Granting, Rescinding, Revoking and Amending Qualifications – December 2023.	The Chancellor moves that the following be approved : <ul style="list-style-type: none"> • See item 3.1
4. Council Meetings	4.1 Council Meeting Draft Minutes Part A Draft Minutes (Part A), 4 December 2023 4.2 Matters arising from the Minutes Part A of the Council Meeting, 4 December 2023 not elsewhere on the agenda.	The Chancellor moves that the Minutes Part A of the Council Meeting held on, 4 December 2023 be taken as read and confirmed .
5. Vice-Chancellor’s Report	5. Vice-Chancellor’s Report.	The Chancellor moves that the Vice-Chancellor’s Report be received .
6. Chancellor’s Report	6. Chancellor’s Report.	The Chancellor moves that the Chancellor’s Report be received .

7. Reports from Boards, Committees and Working Groups to Council	7. Reports and Minutes from the Academic Board, 27 November 2023	The Chancellor moves that Reports and Minutes from the Academic Board , 27 November 2023 be received .
8. Health, Safety, and Wellbeing Report	8. Health, Safety & Wellbeing Report for January 2024	The Chancellor moves that the Health, Safety and Wellbeing Report for January 2024 be received .
9. Te Tiriti	9. No report.	
10. Strategic Reports	10. No report.	
11. Student Success	11. No report	
12. Correspondence referred by the Chancellor	12. No correspondence	
13. Other matters arising for decision or noting	13. Update from AUTSA.	The Chancellor moves that the Update from AUTSA be received
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, L Williams, A Vujnovich and R Nottingham 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 4 December 2023	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)

22. Other Business	9(2)(a)	7(2)(a)
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PART A OPEN AGENDA ITEM	3.1
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Council Agenda Paper

Subject: Granting, Rescinding, Revoking and Amending Qualifications – December 2023

Date: 9 December 2023

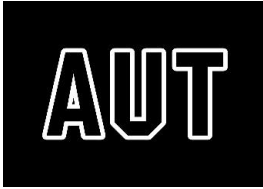
RECOMMENDATION:

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 2023:

- 1. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SUMMER GRADUATION ON 12 - 13 DECEMBER.*
 - 2. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SUMMER OFFSHORE CYCLE ON 13 DECEMBER.*
 - 3. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 DECEMBER MONTHLY AND CERTIFICATE OF PROFICIENCY (COP) CERTIFICATE CYCLE ON 12 DECEMBER.*
 - 4. REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE 2023 SUMMER GRADUATION ON 12 - 13 DECEMBER.*
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The schedules are in Supplementary Papers.



PART A	4.1
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: Minutes of Part A of the Council Meeting held on 4 December 2023

Date: 8 December 2023

Author: A Vujnovich

RECOMMENDATION:

THAT THE MINUTES PART A OF THE COUNCIL MEETING HELD ON 4 DECEMBER 2023 BE CONFIRMED AS A TRUE AND CORRECT RECORD.



MINUTES

Council Meeting

Meeting held 4 December 2023 at 3.30 pm

Council Room, City Campus, Wellesley Street, Auckland

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- PRESENT:** R Campbell (Chair), D Salesa, J Smith (via Teams), P Treacy; L Foliaki (via Teams); S Wendt; S Turner; W Ings, L Thomson.
- SECRETARY:** A Vujnovich, Council Secretary
R Nottingham, Minute Taker
- IN ATTENDANCE:** W Lawson (Deputy Vice-Chancellor Academic); L Williams (Chief Financial Officer and AVC Finance and Infrastructure); S Davies (Group Director – People & Culture)- Item 8.1; J Matapo (Pro Vice Chancellor (Pacific) - Item 10.1.
- IN APOLOGY:** M Royal, S Youssef, R Blair.
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PART A OPEN AGENDA

The meeting was opened with a karakia led by the Vice Chancellor.

1 WELCOME, APOLOGIES AND APPROVAL OF AGENDA ITEMS

Resolved

1. THAT AN APOLOGY FOR ABSENCE FROM M ROYAL, R BLAIR AND S YOUSSEF BE RECEIVED;
2. 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

THAT THE DECLARATIONS BE NOTED AND THE ACTIONS TAKEN BE ENDORSED.

3 CONSTITUTIONAL MATTER, CONFERMENT OF DEGREES AND POLICY

3.1 Granting, Rescinding, Revoking and Amending Qualifications – November 2023

Received

Memorandum for Granting of Qualifications – November 2023

Resolved

THAT COUNCIL NOTED 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:

NOVEMBER 2023:

- 1. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SHANGHAI OFFSHORE CYCLE ON 16 NOVEMBER.*
- 2. GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 NOVEMBER MONTHLY CERTIFICATE CYCLE ON 16 NOVEMBER.*
- 3. RESCIND THE QUALIFICATION FOR THE STUDENT 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 Council meeting held on 30 October 2023

Resolved

THAT THE MINUTES (PART A) OF THE COUNCIL MEETING HELD ON 30 OCTOBER 2023 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 Council meeting of 30 October 2023 not elsewhere on the agenda.

5 VICE CHANCELLOR'S REPORT

Received

Vice Chancellor's Report

Noted in discussion

- Positive Vice Chancellors group meeting with the new tertiary education Minister, sustainable funding and support for international students were raised as priorities by the group;
- First year's fees free policy likely to change to final year free, regardless of length of programme;
- Tertiary funding changes unlikely in next 24 months but a higher education review was expected;
- Further meetings planned with new Ministers for health, research and innovation;
- Shortlisting candidates for new Government Relations Manager candidate to support this engagement;
- Focus on enabling online enrolment for students to enhance student experience, noting TEC information requirements were a constraint;
- Whether there was opportunity to lobby for reduced regulatory burden on institutions.

Resolved

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

6 CHANCELLOR'S REPORT

No report

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

7.1 Academic Board Reports and Minutes, 30 October 2023

Received

Academic Board Reports and Minutes, 30 October 2023

Resolved

THAT THE ACADEMIC BOARD REPORTS AND MINUTES OF THE MEETINGS HELD ON 30 OCTOBER 2023 BE RECEIVED.

8 HEALTH, SAFETY AND WELLBEING REPORTS

8.1 Health, Safety and Wellbeing Reports, October 2023

Received

Health, Safety and Wellbeing Reports, October 2023

Noted in discussion

- The new Director Health Safety & Wellbeing had been appointed and will start in January 2024.

Resolved

THAT THE HEALTH SAFETY AND WELLBEING REPORT FOR OCTOBER 2023 BE RECEIVED.

9 TE TIRITI REPORT

No report.

10 STRATEGIC REPORTS

10.1 Pacific at AUT

Received

Report on Pacific at AUT

Noted in Discussion

- Breadth of the Pro Vice Chancellor Pacific role included supporting Pacific students to pursue pathways to higher education, Pacific-focussed research and building internal Pacific capability;
- AUT had a distinctive Pacific profile and was the preferred New Zealand university for many cohorts of Pacific students, noting many were part-time;
- An updated approach to UniPrep including greater support during transition in first year of University, outcomes of which would be evaluated;
- Importance of continuing to invest in and scale UniPrep to support students into AUT, particularly those from lower decile schools who had been more affected by Covid;
- Management to consider actions that could encourage and enable more male Pacific students to study at AUT;
- Supported the increase in Pacific academic promotions and work to strengthen relationships with AUT alumni in the Pacific;
- New Pacific at AUT plan would be presented to Council in 2024, and will align with core strategies including Ki Uta Ki Tai and Rautaki Rangahau (Research Strategy);
- Supported the nurturing and systematic approach to this workstream and passed on Council's acknowledgement and thanks to the team.

Resolved

THAT THE REPORT ON PACIFIC AT AUT BE RECEIVED

10.2. Update on External Engagement for Imagine AUT

Received

Update on External Engagement for Imagine AUT

Noted in Discussion

- AUT's engagement with industry was one of its differentiators so opportunities to develop personal relationships at Chief Executive level with major employers should be pursued.

Resolved

THAT THE COUNCIL RECEIVE THE UPDATE ON THE PROPOSED APPROACH TO ENGAGING EXTERNALLY ON OUR DRAFT STRATEGY

11 STUDENT SUCCESS

No report

12 CORRESPONDENCE REFERRED BY THE CHANCELLOR

Received

Letter from the Hon. Jan Tinetti approving the change to the Constitution of AUT

Resolved

THAT COUNCIL:

1. *RECEIVE THE LETTER FROM THE HON. JAN TINETTI MINISTER OF EDUCATION SENT BY EMAIL ON 10 NOVEMBER 2023 NOTIFYING COUNCIL THAT THE NOTICE OF THE CHANGE TO THE CONSTITUTION OF THE AUCKLAND UNIVERSITY OF TECHNOLOGY COMPLIES WITH THE REQUIREMENTS OF SECTION 276 OF THE EDUCATION AND TRAINING ACT 2020;*
2. *NOTE THE HON MINISTER'S APPROVAL OF THE CHANGE AS REQUIRED BY SCHEDULE 11 (2) OF THE EDUCATION AND TRAINING ACT 2020; AND*
3. *NOTE THE NOTIFICATION BY PUBLICATION OF THE SIGNED GAZETTE NOTICE ON 13 NOVEMBER 2023 FOR THE COMMENCEMENT DATE OF THE AMENDED CONSTITUTION ON 1 DECEMBER 2023.*

13 OTHER MATTERS FOR DECISION OR NOTING

13.1 Update from AUTSA

No report

13.2 Amending the Terms of Reference for AUTEK

Received

Amending The Terms Of Reference For AUTEK

Resolved

THAT COUNCIL AMEND THE TERMS OF REFERENCE FOR AUTEK TO ESTABLISH AN APPOINTEE FROM THE PRO VICE CHANCELLOR PACIFIC

14 GENERAL BUSINESS AND ITEMS MOVED FROM PART B TO PART A

None.

RESOLUTION TO EXCLUDE THE PUBLIC

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, L Williams, A Vujnovich and R Nottingham 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. Minutes Part B of the Special Council meeting - 30 October 2023	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)
20.1 Draft Minutes of Finance and Audit Committee, 20 November 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)
20.1 Draft Minutes of People and Culture Committee, 20 November 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	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)

NO.	COUNCIL MEETING RAISED	ACTION	WHO	TARGET DATE STATUS/
01	29 May 2023	8.1. Health, Safety & Wellbeing Reports, <ul style="list-style-type: none"> It was noted that health and safety reporting is often through different divisions of the University and not necessarily, through the health and safety division. The estates and health and safety reporting platforms in particular, require integration, and an update will be provided to Council. Update: October 2023. <u>Update October 23: Date deferred to April 2024 to allow arrival of new Health, Safety & Wellbeing Director.</u> 	Director Health, Safety & Wellbeing –	Deferred to April 2024
02		9. Te Tiriti Report <ul style="list-style-type: none"> A Te Tiriti workshop will be scheduled for Council (Note: related to action #7 below). 	Valance Smith - Kaihautu Tiriti	April 2024
03	25 September 2023	10.1 Report on the Research Plan – Rautaki Rangahau - 2023 – 2028 <ul style="list-style-type: none"> Management to provide Council with an update on progress of the Research Plan at six-monthly intervals. 	Mark Orams – DVC Research	April 2024
04		11. Student Success <ul style="list-style-type: none"> Management to provide information and metrics on student experience in the next update on Ki Uta Ki Tai to Council. 	Wendy Lawson – DVC Academic	December 2023
05	30 October 2023	4.2 Matters Arising <ul style="list-style-type: none"> Management to work with Council members to develop programme for a Council retreat in early 2024, potentially at North or South Campus. 	Council Secretary	Actioned Retreat 29 February 2024
07		9 Te Tiriti Report <ul style="list-style-type: none"> Management to develop and diarise Te Aronui training sessions for Council members, dates to be scheduled as soon as possible. (Note: related to action #2 above). 	Valance Smith - Kaihautu Tiriti	June – July 2024
10	4 December 2023	10.1 Pacific at AUT <ul style="list-style-type: none"> Pacific at AUT plan to be presented to Council in 2024 	Jacoba Matapo – PVC Pacific	September 2024



PART A	5
OPEN AGENDA ITEM	

Council Agenda Paper

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

Date: **26 February 2024**

RECOMMENDATION:

THAT THE VICE CHANCELLOR'S REPORT BE RECEIVED

AUT has had a busy start to the year with admissions, university transition initiatives and orientation being the focus of activities in preparation for semester 1 beginning 26 February 2024.

There are early strong positive signals for domestic and international admissions and enrolment in 2024. We must be cautious, given equivalent full-time students (EFTS) numbers can't be confirmed until the middle of March.

Thanks in part to improved course completion rates at the end of 2023, we also see a positive increase in returning students – a number that dropped significantly last year. I'd like to thank the various teams across AUT who contribute to this work – often during times of the year when most people are enjoying summer holidays.

We have an exciting year ahead as we continue to consult and develop a new strategy for AUT to take us forward. This strategy replaces *AUT Directions to 2025*, and is being developed through the [Imagine AUT](#) process.

HIGHLIGHTS

- Admissions and student support remain the focus of university activities as we prepare for the return of students for semester 1, which starts on 26 February. [Orientation](#) took place from 19 to 23 February across AUT's three campuses.
- Two schools in the Faculty of Culture and Society (CSOC), the School of Language and Culture and the School of Social Sciences and Public Policy have merged to create the School of Social Sciences and Humanities.
- AUT academics had 12 of their 14 proposals funded, which amounts to approximately \$5.87 million, in the latest [Health Research Council \(HRC\) funding](#) round.
- AUT celebrates ten years of [UniPrep](#) this year. The programme took place on 20 January and finished on 23 February. Over 2,500 students have come through the programme since it began.
- Members of TIASA have ratified the terms of a new Collective Agreement covering Allied/Professional staff.

- This month is Auckland Pride, celebrating our Takatāpui and Rainbow communities through dozens of events. AUT is proud to support Big Gay Out for the ninth year in a row.
- As part of staff engagement, a 200 strong team of AUT staff will take part in the annual Round the Bays competition on the 3 March.

PRIORITY 1: TE TIRITI O WAITANGI

1.1 Aronui Ora

The Better Business Case for Aronui Ora (Building Cultural Capability programme) was approved by the Vice-Chancellor's Executive on 12 February. Planning has begun to roll out the programme for a new staff intake in semester 2, 2024. The pilot programme, which began in semester 2 2023, consisted of 70 full-time equivalent (FTE) staff and concludes in May-June 2024. The satisfaction rating thus far is 8.5/10.

1.2 Mana whenua engagement

Senior leaders met with leadership from Te Kawerau a Maki in February 2024 to foster relationships and reaffirm our commitment to Te Kawerau a Maki as one of the iwi with mana whenua interest upon which our North Campus is located. The kōrero shared at this hui will provide the basis for an eventual MOU. Senior leaders will meet with Ngāti Paoa leadership later this month to affirm this relationship. Towards the end of 2023, senior leaders met with Grant Kemble, Chief Executive of Whai Māia, Ngāti Whātua o Orākei.

1.3 Leadership

Kaihautū Tiriti (Tiriti Strategist) Dr Valance Smith will take paternity leave from 26 February to 22 June. Head Librarian Kim Tairi will be standing in at .2 FTE, providing strategic leadership of Te Aronui. Kim has been working closely with Dr Smith to ensure a smooth handover.

PRIORITY 2: EXCELLENCE AND EQUITY IN EDUCATION AND RESEARCH

2.1 Learning and Teaching

Work was carried out last year to develop assessment principles that form the basis of an assessment policy for the University. While the University currently has a number of documents that provide guidance about assessment, this work will create a single policy and procedures that will apply across the University. The development of the principles, draft policy and procedures was instigated by the Deputy Vice-Chancellor Academic and led by the Director of Academic Quality and Acting Pro Vice-Chancellor Learning and Teaching with valuable input from Associate Deans Academic and Office of Learning, Teaching and Educational Design (LTED).

In addition, the work on the principles and draft policy was undertaken with guidance so that both the process and the outcome align with Te Aronui. This aspect of the work was led by Teriu Lemon, who holds a kaiwhakamanawa role in LTED and who led the wide consultation with Māori staff. The principles, draft policy and procedure are now out for consultation with faculties. The policy is student centred and designed to encourage meaningful, manageable and fair assessment. Once the policy and procedures are approved implementation will occur over the next year which will provide an opportunity for professional development across the University in good assessment practice and enhancing understanding of how Te Aronui applies in assessment.

2.2 Research Funding

Research funding activities for January 2024

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)	\$22,960,559M (est. as at 31/12/2022)
2023 (unweighted, unaudited)	\$25,193,122 (est. as at 31/12/2023)

External funding activity

MBIE	<p>Submissions</p> <ul style="list-style-type: none"> Te Kāhui Poipoi Rangahau (TKPR) Research Office is working with the AUT researchers, external reviewers, and writers on the 2024 Research Programme application.
HRC	<p>Submissions</p> <ul style="list-style-type: none"> There was no submission for January 2024. <p>Results</p> <ul style="list-style-type: none"> 2023 Health Delivery Project Full Proposal: 4 of the 5 AUT-led applications were successful (funding totalling \$5.5m). 2023 Health Delivery Research Activation Grant 2: 7 of 8 AUT-led applications (funding totalling \$208k) were successful. 2023 Health Delivery Research Career Development Award 2: The 1 AUT application was successful (funding of \$154k).
Government	<p>Results</p> <ul style="list-style-type: none"> Ministry of Justice NZ Crime & Victims Research Fund: The 2 AUT applications from BEL were successful. Ministry of Health Gambling Harm Research Programme: AUT was successful with 4 of 11 applications (funding totalling \$900k). Now in the process of negotiation with the Ministry to finalise the projects and contracts.
National Collaborations	<p>Results</p> <ul style="list-style-type: none"> 80K extra funding from Bioheritage National Science Challenge. 1 Te Niwa Scholarship
International	<p>Submissions</p> <ul style="list-style-type: none"> 2 Horizon Europe applications (Valery Feigin and Matt Raskovics as partner organisations)
Industry	<p>Submissions</p> <ul style="list-style-type: none"> TKPR, along with the researchers, are in discussion with a few companies, such as Air New Zealand, Kiwi Rail, Iron Clad, etc., on industry-based projects.

2.3 Graduate Research School

- 28% increase in PhD applications compared to the same time last year (source Uni Assist).
- 228 PhD admissions as of the end of 2023.
- Part-time study options for doctoral programmes are now available.
- Researcher Development Framework: a project is underway to develop an Aotearoa-specific researcher development framework to meet the needs of New Zealand researchers.

- AI for postgraduate research purposes has been published in the 2024 Postgraduate Handbook.
- A new website to support research participants' recruitment is almost complete, with final testing underway.

2.4 School merger

Two schools in the Faculty of Culture and Society (CSOC), the School of Language and Culture and the School of Social Sciences and Public Policy, have merged to create the School of Social Sciences and Humanities. The new school has been operational since January with Professor Tim Maloney as its Head and Associate Professor Stephanie Rossouw as Deputy Head.

Student impact has been minimal, though the merger has the potential to strengthen current teaching programmes and provide a greater diversity of choice in the future, including collaborations with other faculties and schools.

There have been no reductions in full-time equivalent (FTE) academic or professional staff positions as a result of the merger of the School of Language and Culture and the School of Social Sciences and Public Policy.

PRIORITY 3: ENVIRONMENTAL AND FINANCIAL SUSTAINABILITY

3.1 Financial Performance (detail in Appendix 2)

Overall, the year-to-date (YTD) variance to budget of \$4.1M reflects the impact of higher international enrolments offsetting the impact of lower revenue from domestic enrolments, higher one-off income and lower staffing and other operating costs.

3.2 Student enrolment update (detail in Appendix 1)

In 2023, Domestic enrolments continued to decline over 2022, but by contrast, international enrolments recovered and showed growth over 2022.

- **Overall, AUT achieved 99% of its total (domestic and international) 2023 budget**, compared to 95% of the 2022 budget by the end of the year.
 - This improvement in progress towards the total EFTS budget was due to a lower domestic target and improved international intake.
- **Domestic EFTS** were down in both new and returning EFTS, compared to the 2022-year end EFTS.
 - Last year, much of the new to programme EFTS growth was in DECT, while returning EFTS were down in all faculties.
- **International EFTS** exceeded the 2023 budget target, as a result of a large increase in new to programme International Full Fee EFTS, compared to the 2022-year end EFTS.
 - China remained AUT's largest source of new to programme International Full Fee EFTS, followed by India, Vietnam, Canada and South Korea.

	Domestic SAC		International		Total	
	2023	2022	2023	2022	2023	2022

YTD EFTS	15,555	16,643	2,447	1,785	18,002	18,428
% of target	95%	94%	147%	110%	99%	95%

Bullet points:

Year to Date **Domestic SAC** enrolments (2023, compared to the same time in 2022):

- Total: down -7% (-1,088 EFTS)
- New to Programme: down -4% (-274 EFTS)
- Returning: down -8% (-814 EFTS)

Year to Date **International Full Fee** enrolments (2023, compared to the same time in 2022):

- Total: up 37% (+662 EFTS)
- New to Programme: up 122% (+768 EFTS)
- Returning: down -9% (-106 EFTS)

Year to Date **Māori Domestic SAC** enrolments (2023, compared to the same time in 2022):

- Total: down -9% (-176 EFTS)
- New to Programme: down -12% (-96 EFTS)
- Returning: down -7% (-80 EFTS)

Year to Date **Pacific Domestic SAC** enrolments (2023, compared to the same time in 2022):

- Total: down -11% (-313 EFTS)
- New to Programme: down -11% (-140 EFTS)
- Returning: down -11% (-173 EFTS)

Year to Date **Pre-Degree** enrolments (2023, compared to the same time in 2022):

- Total: up 8% (+66 EFTS)
- New to Programme: up 19% (+120 EFTS)
- Returning: down -26% (-54 EFTS)

Year to Date **Undergraduate** enrolments (2023, compared to the same time in 2022):

- Total: down -6% (-839 EFTS)
- New to Programme: down -2% (-79 EFTS)
- Returning: down -8% (-760 EFTS)

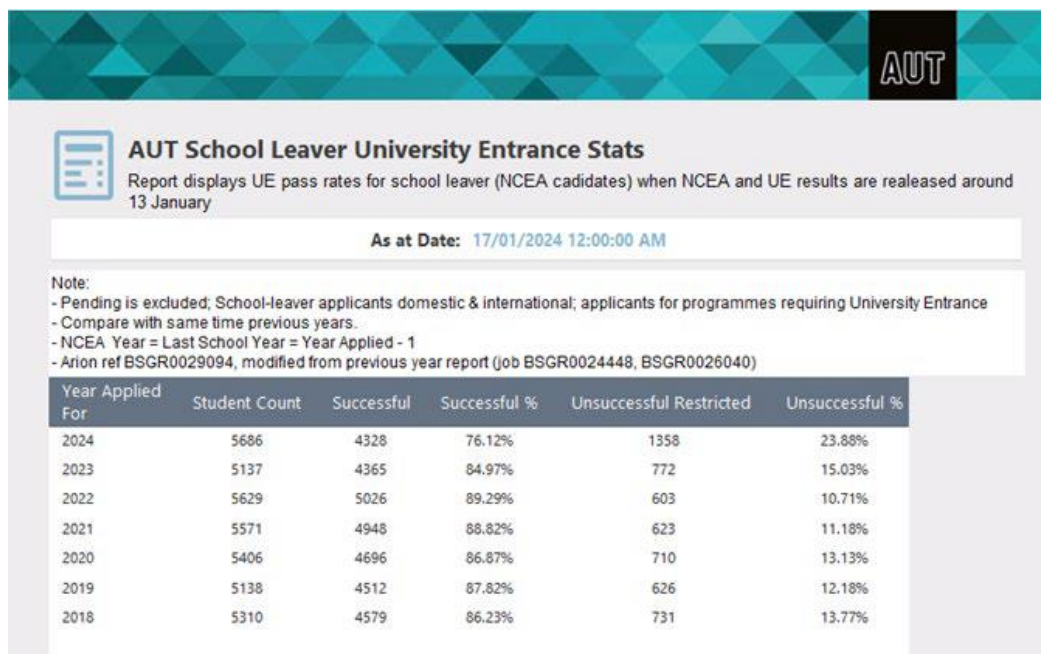
Year to Date **Postgraduate** enrolments (2023, compared to the same time in 2022):

- Total: up 12% (+404 EFTS)
- New to Programme: up 37% (+486 EFTS)
- Returning: down -4% (-82 EFTS)

3.3 Admissions

AUT's Admissions team has been managing record numbers of applications. The team successfully processed the release of NCEA and CIE results and achieved same-day turnaround times to issue Offers of Place for school leavers. Those applicants who did not achieve NCEA were offered an alternative programme pathway.

The University Entrance success rate dropped significantly from previous years, as illustrated below. This trend was confirmed with the reporting of the national figures.



3.4 University key performance indicators (detail in Appendix 3)

3.5 Marketing and Recruitment

Highlights: Activity report December 2023/January 2024:

Recruitment:

- Strong performance: database growth, web form enquiries, and enquiry platform usage are all up year-on-year.
- The Stay on Track event was a major success, generating applications and valuable learnings.

Marketing:

- Social media engagement is up despite the quiet period.
- Successful Always-On Campaigns for postgraduate and undergraduate programmes.
- Semester 1 outdoor advertising reaching millions.
- Parents' Campaign and video library initiatives resonated with audiences.

International Marketing:

- The China campaign generated leads at a good cost.
- Events and virtual internships held in India.
- Always-on Google Search campaigns launched in new markets.
- Promoting Manaaki New Zealand Scholarships for 2025.

Enquiries and Advisory

- There was an increase across all four other enquiry platforms over the December-January period when compared with the same period the year before.

- Phone calls were up almost 50% for January year on year.
- Continuous increase in Course Counselling (1:1 consults).

3.6 Places and Spaces

During this period, the Estates Group was focused on the following key activities:

- Planning and execution of Summer Operations Period activities.
- Project delivery including A1 Project and Summer 23/24 Minor Capital Works and Capital Asset Renewal Projects.
- Implementation and go-live of the Integrated Workplace Management System (IWMS) using the Plan on product.
- Completion of the Emergency Management & Business Continuity Review.
- Campus preparation for Semester 1 2024.
- End of year finance reporting.
- Lease-related activities for WY and WR Buildings.
- Delivery of a large number of conferences and events.

A1 Project

- Good progress was made on the A1 construction site over the summer break period.
- Construction remained 46 days behind programme but on budget.
- Fitout works were on the main critical path programme.
- Practical completion is forecast for 17 Apr 24.
- AUT implementation planning was well underway and staff migration remained on target for June 2024.

3.7 Environmental Sustainability

- Work has begun on developing a sustainability/climate programme through the new Transformation Office.
- Green Impact (a sustainability behaviour change programme) has been revamped for staff and students in 2024.
- Work continues with compiling AUT's CO2 emissions for 2023.
- Work continues progressing sustainability projects that reduce single-use plastic, energy and transport-related emissions.

3.8 Staff diversity statistics (January 2024)

Staff by Occupation

Staff diversity is based on AUT's permanent/fixed-term workforce on the final day of the reporting month (excludes hourly paid and temps on campus staff).

As at	Academic	%	Professional	%
31 January 2024	1,017	48.0%	1,103	52.0%

Ethnicity Calculation

Sequential prioritisation is used here as defined by Census NZ – Stats.govt.nz

1. Māori

- 2. Pacific
- 3. Asian
- 4. Middle Eastern / Latin American / African (MELAA)
- 5. Other
- 6. European
- 7. NZ European / Pākehā
- 8. No Declaration / Blank

Staff Ethnicity

Personal information, such as gender, ethnicity and disability, supports a number of key initiatives across the university, including Gender & Ethnic Pay Gap Reporting, PBRF, SDR with MOE and the Disability Action Plan. For current ethnicity calculations, People & Culture (P&C) applies the Stats New Zealand ethnicity prioritisation method. However, this does not fully recognise the diversity of our workforce.

As at the end of January 2024, 95% of our workforce has provided one ethnicity, and 5% have provided more than one ethnicity (up to four are accommodated). Given the criticality and usefulness of the data to support many statutory and diversity initiatives, encouraging staff to review and provide additional ethnicities would be of benefit and is an initiative in P&C's 2024 roadmap. Additionally, New Zealand European and European categories need to be more clearly articulated to allow staff to associate their self-identified ethnicity more accurately. Improving the accuracy and the quality of our ethnicity data will allow AUT to consider Stats NZ's total ethnicity response method in the future.

Staff by Prioritised Ethnicity

Ethnicity	Academic	%
Maori	157	7.4%
Pacific	135	6.4%
Asian	507	23.9%
MELAA	87	4.1%
Other	114	5.4%
European	1,011	47.7%
Not Declared	109	5.1%
Total	2,120	100.0%

Staff by Prioritised Ethnicity and Occupation

Ethnicity	Academic	%	Professional	%
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Maori	87	55.4%	70	44.6%
Pacific	42	31.1%	93	68.9%
Asian	180	35.5%	327	64.5%
MELAA	49	56.3%	38	43.7%
Other	54	47.4%	60	52.6%
European	553	54.7%	457	45.3%
Not Declared	52	47.7%	57%	52.3%
Total	1,017	48.0%	1,103	52.0%

Staff by Occupation and Prioritised Ethnicity

Ethnicity	Academic	%	Professional	%
Maori	87	8.6%	70	6.3%
Pacific	42	4.1%	93	8.4%
Asian	180	17.7%	327	29.6%
MELAA	49	4.8%	38	3.4%
Other	54	5.3%	60	5.4%
European	553	54.4%	457	14.5%
Not Declared	52	5.1%	57%	5.2%
Total	1,017	100%	1,103	100%

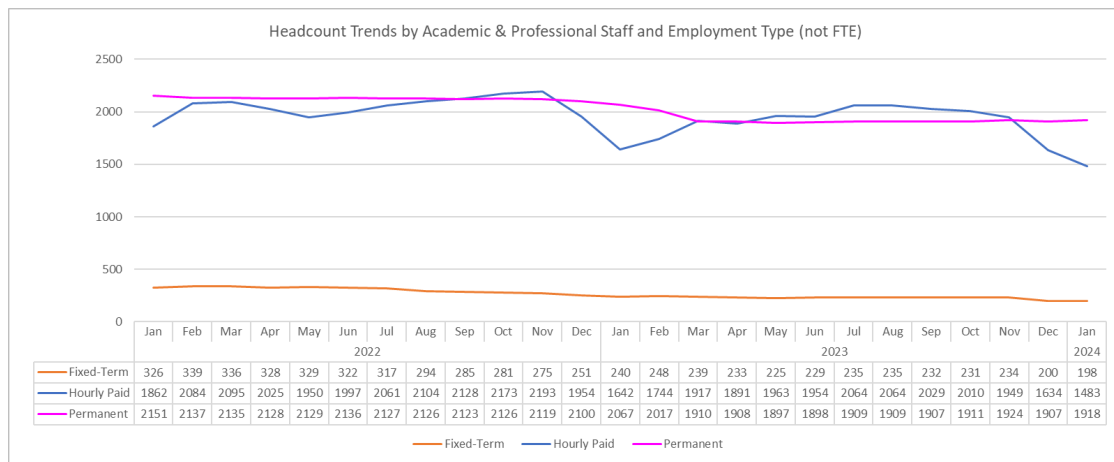
Staff by Gender and Occupation

Gender	Academic	%	Professional	%
Female	600	45.3%	724	54.7%
Male	409	52.4%	371	47.6%
Gender Diverse	5	41.7%	7	58.3%
Not Disclosed	3	75.0%	1	25.0%
Grand Total	1,017	48.0%	1,103	

3.9 People and Culture

- TIASA Union have ratified the terms of settlement. This is significant for both AUT's bargaining team and TIASA Union as we have been able to bring about some changes to the provisions contained in the agreement which is a stand-alone agreement that does not apply to professional staff who are members of the TEU. Our confidential briefing session with People and Culture on the changes to the TIASA collective agreement was well received.
- This month, we released the 2024 staff development opportunities. We have seen a high volume of registrations, with the Neurodiversity Deep Dive workshops being the most popular; all three workshops are now fully booked. We have also seen several People Leaders connect to book team-building sessions for their teams to start the year.

3.10 Headcount



Trends are based on average headcount per month

- **Permanent Staff:** Overall headcount has reduced by 10.75% (218) staff from January 2023 to January 2024. This was an intended outcome of the Financial Recovery Programme and careful headcount/financial management over the 2023 financial year.
- **Fixed-Term Staff:** Engaged typically for Research Projects, fixed-term staff have also steadily declined with a marginal decrease between December 2023 and January 2024. However, compared to January in the two previous years, we see a 27% and 22% decrease, respectively. Fixed-term engagements fluctuate throughout the year, likely reflecting when funding is agreed upon.
- **Hourly Paid Staff:** Follows a similar trend to previous years, with a drop-off leading into summer operations and re-commencement in January. However, year on year January shows a downward trend of hourly paid staff. This is likely a reflection of the fact that faculties are reverting to previous practices of ceasing employment between engagements rather than exploring the two-year agreements.

3.11 AUT Foundation

- For the period (year-to-date) ending 31 January 2024. AUT has received a total of \$111,038 from 79 donors.
- \$39,172.50 for 4 scholarships from Eric & Kathy Hertz (USA)
- \$15,000 from the Estate of Ernest Hyam Davis & The Ted & Mollie Carr Endow Trust for Student Support Fund

PRIORITY 4: STUDENT SUCCESS

4.1 UniPrep

UniPrep took place from 22 January to 23 February at South Campus. This year marks a decade of delivering the tertiary transition programme with over 2500 alumni who have participated in the programme since its inception, with many students coming from South and West Auckland.

External stakeholders, including philanthropists and politicians, were invited to a breakfast at South Campus during the opening of UniPrep to discuss opportunities around the programme's future.

4.2 Orientation

7,083 new AUT students have been invited to attend a pōwhiri and student orientation from 19-23 February. Applications to enrol at AUT for Semester One 2024 continue daily, so invites are generated regularly to include all "late enrolments".

4.3 AUT International

Events were promoted via email campaigns to Indian alumni and potential students coinciding with the Pro Vice-Chancellor International's December market visit. Events included:

- AUT Alumni Event at NZ High Commission New Delhi (10 December)
- AUT Open Days - Mumbai (30 Nov), New Delhi (9 Dec).

An AUT delegation travelled to India in February 2024 as part of an Education NZ tour involving visits to universities, partner meetings and an alumni event at the High Commissioner's residence in New Delhi as well as a QS Summit in Chennai. In addition, the group hosted AUT alumni events in Bengaluru and Chennai.

PRIORITY 5: MATURING UNIVERSITY SYSTEMS AND PROCESSES

5.1 Learning and Teaching

Dr Nell Mann has been appointed as the Director of altLAB, the University's central learning and teaching support unit. Nell has been leading the group in an acting capacity since the departure of the previous head, Associate Professor Ben Kehrwald, in the middle of last year.

We are also in the process of changing the name of altLAB to Office of Learning, Teaching and Educational Design (LTED). This is to make it clearer what the function of the unit is.

5.2 Organisational Health Indicators

e-MAP

As we head into January, we expect to see 2023 e-MAPs being completed and 2024 e-MAPs being started. The overall count will fluctuate as departing staff e-MAPs are removed. For 2023, 75.2% of academics (previously reported 76.5%) and 79.6% (previously reported 82.3%) of professional staff engaged in the process.

Appendix 1: Enrolments

2023 EFTS Progress to Target Monitoring Report
Year to Date Compared to Target and Equivalent Date Last Year

Programme EFTS as at 30 Dec 2023

Student Achievement Component EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	2	0	0	1	1	0
Actual	15,553	2,595	2,058	4,657	6,126	91
Total Pending and Actual	15,555	2,595	2,058	4,658	6,127	91

2023 Target	16,460	2,755	2,403	4,621	6,540	104
Progress to Target (%)	95%	94%	86%	101%	94%	87%
EFTS needed to reach 100%	905	159	345	-37	413	13
Ahead or behind on this time last year:	Behind by	Behind by	Behind by	Ahead by	Behind by	Behind by
	1,088	320	446	117	384	45
Progress to Target, this time last year (%)	94%	91%	91%	96%	97%	70%
EFTS needed to reach Target this time last year	1,048	290	260	183	220	57
Achieved from this time last year to year end	-1	0	0	0	0	0

International Full-Fee EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	1	0	0	0	0	0
Actual	2,447	785	481	883	287	7
Total Pending and Actual	2,447	785	481	883	287	7

2023 Target	1,663	615	283	565	200	
Progress to Target (%)	147%	128%	170%	156%	144%	∞
EFTS needed to reach 100%	-784	-171	-198	-318	-87	-7
Ahead or behind on this time last year:	Ahead by	Ahead by	Ahead by	Ahead by	Ahead by	Ahead by
	662	112	138	340	75	5
Progress to Target, this time last year (%)	110%	93%	141%	116%	141%	174%
EFTS needed to reach Target this time last year	-168	53	-101	-77	-62	-1
Achieved from this time last year to year end	-1	-1	0	0	0	0

AUT South Campus	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	0	0	0	0	0	0
Actual	1,809	225	205	43	1,310	2
Total Pending and Actual	1,809	225	205	43	1,311	2
2023 Target	1,665	4	241	44	1,331	8
Progress to Target (%)	109%	5387%	85%	96%	98%	31%
EFTS needed to reach 100%	-144	-221	36	2	21	5
Ahead or behind on this time last year:	Behind by	Behind by	Behind by	Behind by	Ahead by	Behind by
	121	46	59	15	5	5
Progress to Target, this time last year (%)	78%	62%	94%	59%	83%	43%
EFTS needed to reach Target this time last year	550	165	16	39	270	10
Achieved from this time last year to year end	0	0	0	0	0	0

Pre-Degree Total EFTS	Total
Pending	0
Actual	901
Total Pending and Actual	901
Ahead or behind on this time last year: Ahead by 66	

Undergraduate Total EFTS	Total
Pending	2
Actual	13,867
Total Pending and Actual	13,870
Ahead or behind on this time last year: Behind by 839	

Postgraduate Total EFTS	Total
Pending	3
Actual	3,799
Total Pending and Actual	3,802
Ahead or behind on this time last year: Ahead by 404	

Doctoral	771
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Māori Domestic SAC EFTS	Total
Pending	0
Actual	1,707
Total Pending and Actual	1,707
Ahead or behind on this time last year: Behind by 176	

Pacific Domestic SAC EFTS	Total
Pending	1
Actual	2,537
Total Pending and Actual	2,538
Ahead or behind on this time last year: Behind by 313	

Please Note:

- In 2022, 75 SDR SAC Budget EFTS were not assigned to an academic faculty. As a result, the total budget is 75 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 – Full year 2023

Financial Performance – Full year 2023

Financial Performance Statement	Actual 2023 vs Budget				
	2023 YTD Actual '000	2023 YTD Budget '000	2023 Variance '000	Variance %	Variance Comment
Student Derived Income	349,263	338,402	10,861	3.2%	Favourable
Other Income	83,709	80,175	3,533	4.4%	Favourable
Total External Income	432,972	418,577	14,395	3.4%	Favourable
Salary Expenditure	241,720	242,486	766	0.3%	Favourable
Other costs	131,887	120,891	(10,996)	(9.1%)	Unfavourable
Surplus Before Interest & Depreciation	59,365	55,201	4,164	7.5%	Favourable
Total Interest Expense	1,271	3,152	1,882	59.7%	Favourable
Surplus before Depreciation	58,094	52,048	6,046	11.6%	Favourable
Depreciation	47,793	45,860	(1,933)	(4.2%)	Unfavourable
Net (Deficit)/Surplus	10,301	6,188	4,113	66.5%	Favourable
Ytd Consumed Domestic MOE EFTS	15,552	16,456	(904)	(5.5%)	Unfavourable
Ytd Consumed International EFTS	2,394	1,663	731	43.9%	Favourable
Interest Expenditure (bank loan)	705	2,697	1,993	73.9%	Favourable

- Student-derived income is \$10.8M ahead of budget. While domestic student enrolments are behind budget, these have been offset by higher international students. Revenue delivers a better result, with international revenues being \$23M ahead of budget and offset by reduced government funding and tuition fees for domestic students being \$12.5M behind budget.
- Other external revenue is \$3.5M ahead of budget due to \$1.0M one-off recoveries mainly from Estates insurance claim for WG fire and EECA grant for decarbonization initiative, PBRF & research income \$0.7M more than budget, RGA and other external fee Income \$2.8M more than budget, \$2.0M more other income, and \$1.5M more interest received than planned. These have been offset by non-operating loss on disposal of Property, Plant & Equipment \$3.6M, and \$1.2M less sales from campus commercial activities.
- Net Salary costs are \$0.8M below budget, wherein \$4.0M savings from unfilled vacant staff positions and \$2.3M positive annual leave movements are offset by the \$6.8M budget gap created when the FRP staff notices were withdrawn.
- Other costs are \$11.1M over budget due to reclassification of Library information resources to opex \$4.7M, additional Agency Commission \$3.9M due to more international students than budget, Software \$1.5M over budget due to Cloud costs, repairs & maintenance of buildings \$2.0M over budget due to write-off of planned maintenance projects, and Direct student support \$4.3M ahead of budget. This is mostly offset by lower Research R&D of \$5.6M.
- Interest expense is \$2.0M lower than budget due to a lower level of debt.
- Depreciation costs are \$2.0M over budget due to impairment of Library digital resources and accelerated depreciation applied to PPE that are planned to be written off in 2024.

- Overall, the year-to-date (YTD) variance to budget of \$4.1M reflects the impact of higher international enrolments offsetting the impact of lower revenue from domestic enrolments, higher one-off income and lower staffing and other operating costs.

Appendix 3: University key performance indicators – Progress report

KPI Summary 2023

The following table presents results for the University's KPIs for 2023. Results shaded in grey are still provisional at this stage; final results are anticipated shortly.

KPI	Description	Target 2023	Actual 2023	Actual 2022	Result
1	Proportion of students who are satisfied with their programme of study	82%	79%	78%	Not achieved
2	Proportion of students who are satisfied with teaching quality	83%	81%	81%	Not achieved
3	Proportion bachelors graduates who completed work-integrated learning while studying	90%	92%	91%	Achieved
4	Proportion of available graduates who are working full time	81%	88%	84%	Achieved
5	Course completion rate for students from areas with high deprivation scores	78%	76%	70%	Not achieved
6	Number of quality-assured research outputs	Annual increase	1,814	2,130	Not achieved
7	Proportion of research-active academic staff	Annual increase	57%	62%	Not achieved
8	Value of new research contracts signed	Annual increase	\$15.3M	\$27.6M	Not achieved
9	Proportion of research outputs with an international co-author	Annual increase	56%	58%	Not achieved
10	Ranking amongst New Zealand universities for field citation ratio	Top-four	Third	Second	Achieved
11	Number of media articles using AUT staff as expert voices or highlighting AUT research	>1,000	1,439	1,244	Achieved
12	Number of Māori graduates from bachelors degrees	Annual increase	324	308	Achieved
13	Number of Māori students in research programmes	Annual increase	138	144	Not achieved
14	Number of Pacific graduates from bachelors degrees	Annual increase	437	432	Achieved
15	Number of Pacific students in research programmes	Annual increase	77	92	Not achieved
16	Number of EFTS at South Campus	Annual increase	1,864	1,985	Not achieved



PART A	6
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: Chancellor's Report

Date: 26 February 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE CHANCELLOR'S VERBAL REPORT



PART A OPEN AGENDA ITEM	7
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Council Agenda Paper

Subject: Report from Academic Board

Date: 15 January 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE ACADEMIC BOARD REPORTS AND MINUTES OF THE MEETING HELD ON 27 NOVEMBER 2023

The minutes are in supplementary papers.

Academic Board Report to Council

Meeting held 27 November 2023

Strategic Matters and Policy Developments

- **Imagine AUT**

The Vice-Chancellor noted that analytical work continues to be undertaken following the various engagement opportunities that are part of the preparation of the new strategy. Meetings with external stakeholders will occur in the new year.

Committees of Academic Board

- Academic Board approved the closure of one minor and one specialisation from Semester One 2024:
 - Design Thinking minor in the Bachelor of Design, Faculty of Design and Creative Technologies
 - Applied Conservation specialisation in the Master of Science (Research), Master of Science, Postgraduate Diploma in Science, Bachelor of Science (Honours), Faculty of Health and Environmental Sciences
- Academic Board approved notification of the deletion of one qualification to CUAP:
 - Master of Sport and Exercise (240-point qualification, replaced by a 180-point qualification), Faculty of Health and Environmental Sciences

Other - nil

Part A OPEN AGENDA ITEM	8
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Council Agenda Paper

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

Date: 12 February 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE HEALTH, SAFETY AND WELLBEING REPORT FOR JANUARY 2024

People & Culture

Health, Safety and Wellbeing

Monthly Report

January 2024

Health, Safety & Wellbeing

HSW Executive Summary

The purpose of this report is to provide an overview of the work undertaken by the Health, Safety and Wellbeing (HSW) Team for the last month including to briefly describe results of a system review and the work programme for the first quarter of 2024.

This report differs in layout and form from previous reports, but it is expected that future reports will more closely align with our revised governance and management accountabilities and responsibilities.

The HSW review covered the following key areas:

- Statutory and regulatory compliance
- HSW accountability and responsibilities frameworks
- Policy and procedural alignment

The intent is that those issues arising from the above review will be addressed initially, in a paper to the People and Culture (P and C) Committee meeting in April '24 with more extensive consultation with the broader Council, SLT and Executive members to follow.

The HSW Work Programme was developed at the end of last year as part of the larger People and Culture Plan for 2024. While the key outcomes are set, it is likely that the conclusions from the review will affect how we achieve the desired outcomes. In particular, the due diligence framework will likely determine who will be responsible for what and how that is reflected in reporting and subsequent oversight.

Health, Safety and Wellbeing Review

Compliance and Regulatory arrangements

The HSW Team reviewed the organisations HSW compliance with the Health and Safety at Work Act 2015, Health and Safety at Work (General Risk and Workplace Management) Regulations 2016, Health and Safety at Work (Worker Engagement and Participation and Representation) Regulations 2016 and the Health and Safety at Work Hazardous Substances Regulations 2017 as the primary statutory and regulatory instruments.

The process for review involved individual scanning of each document, identification of any specific requirement placed on AUT, checking for corresponding internal policy, procedures or protocols that assures compliance through allocation of accountability/responsibility on the organisations behalf and how it will be met. Notable during this process was the lack of an overarching programme of reporting that provides assurance to those responsible or accountable, including those with individual or organisational liabilities, that compliance has been achieved.

Overall, the spread of current policies, protocols and procedures was comprehensive and detailed. While there were several gaps in alignment with regulatory requirements, addressing this is seen as a matter of system development rather than the need for a total re-write. Of additional concern were the need for more clearly defined Due Diligence arrangements and, a more consultative process for the implementation/rollout of policies, procedures and protocols to ensure they are adequately embedded and suitably resourced.

Assurance

There are a range of resources available within the AUT HSW system for the audit of selected activities or to check arrangements against relevant ISO Standards for Occupational Health and Safety. They are well developed but like many of the procedures and protocols, they require impetus and direction

from the leadership to set priorities, resultant expectations and directives through the planning process to make it work.

The establishment and implementation of a compliance programme (required under the Health and Safety at Work Act 2015 s. 44. (4) (e)) with regular reporting to leaders to confirm the efficacy of those systems, is critical for Officers to confirm they're meeting their, and the organisations responsibilities.

Governance and leadership

The Health and Safety at Work Act 2015 (HSWA) on introduction, made several significant changes affecting accountability for ensuring organisations and the people who have the most influence on their operations ensure the safety of those engaged in work on behalf of the entity. At the governance level, ensuring appropriate systems for oversight is seen (by the Act) as an individual (Officers) responsibility while the effective implementation of those systems by the management team is considered an Organisational responsibility. Effectively implementing this arrangement is proving challenging for many organisations including AUT.

The charging of Whakaari Management Limited under s. 36, 37 & 44 of HSWA following the White Island eruptions in 2019 has led to discussions on organisational and individual responsibilities and how they are to be considered both in charges laid by the regulator and how they are considered by the Court.

A draft Due Diligence Framework is in development for consideration in April to address these areas.

Policies, Protocols and Procedures

Typically, the process for ensuring compliance with regulatory requirements is to develop a supporting policy to document the organisations commitment. The allocation of individual or organisational accountability to ensure the process occurs, including the allocation of resourcing to support the activity and an assurance process to capture the evidence of completion would round out the activity. Key to all of the above would be a consultative process that ensures that those with responsibilities or accountabilities are both aware and capable of carrying them out.

As mentioned earlier the range of policies and protocols is very comprehensive but It appears at this stage, that many developed in the last 12-18 months have not as yet been consulted. Implementation therefore cannot be assured. Governance and leadership arrangements will therefore need to be followed up with prioritisation of a number of key policies and procedures for effective consultation and implementation.

HSW 2024 Work Programme – Quarter 1

The HSW Team are focussed on five key areas of work for the first quarter of the 2024 year:

- Addressing due diligence arrangements to ensure clear responsibility and accountability at the governance level
- Alignment of AUT HSW resources in support of the Estates function reinforcing a single point of accountability across the organisation
- Development of agreed HSW key stakeholder relationship plans with faculties and schools.
- Development of a framework to address psychosocial harm that aligns with international best practice.
- Review HSW reporting including arrangements for escalation of serious/significant incidents to ensure effectiveness and timeliness.

Estates HSW Alignment

Consultation is occurring currently with the Estates Team on how HSW activities are effectively managed in the Estates space. It appears that there may be a number of policies and procedures that have effectively been developed as standalone arrangements outside of the broader arrangements for AUT. While it may be understandable given the more operational nature of the estates portfolio there are a number of very good reasons why this is not a desirable situation for AUT including the need for consistent application of policies across the entire organisation.

Stakeholder Engagement Plans

While the HSW Team have taken a portfolio approach to supporting AUT faculties and schools in the past. This has predominantly meant faculties/schools had an individual that they could call for support. The intent is that each portfolio holder will develop, in conjunction with the relevant faculty or school, an agreed stakeholder engagement plan that sets objectives and supporting work expectations for the academic year. Until such stage as the governance and leadership arrangements are made clearer the expectations on stakeholder engagement plans are expected to be achievable but meaningful. Work on those for the HSW team will commence with the E-maps process and will extend through the first quarter.

Psychosocial Harm

Significant discussion has occurred toward the end of last year (post FRP) with regard to the effects of psychosocial harm. The earlier review into bullying and harassment at AUT and the current Court Case around online threats to Academic staff at the University of Auckland all combine to solidify if not clarify the need for an appropriate framework for addressing psychosocial harm.

The HSW Team have reviewed several approaches at developing a framework including ISO 45003 Psychological Health and Safety at Work, the Australian Work Health and Safety Regulations 2011 updated in 2023 to prescribe how employers must identify and manage Psychosocial risks at work to the supporting Safe Work Australia Codes of Practice: Managing Psychosocial Hazards at Work. The intent at this stage is to produce a draft Framework by July '24.

Reporting and Escalation

The current incident recording system Noggin/Shield is not readily able to escalate incidents for notification. Incident criteria and escalation protocols to ensure all of those that might need to know get the message are not easily configurable.

Funds have been allocated this year to configure the risk management processes in Noggin/Shield to better record risks in the workplace and share that information as best we can but incident escalations are likely to be manually carried out at this stage. Some discussion will be required in the coming month on both criteria and levels/processes for notification.

HSW Reporting Data

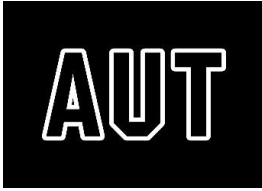
The reporting of HSW data for AUT is being reviewed to establish what metrics might best suit AUT's needs at the Governance, Executive, Faculty and other levels. It is understood that the need for trend data has been discussed recently at Council but both the institute of Directors and Health and Safety Business Leaders Forum have made recommendations as to what data might be of more value.

Whether we should be reporting HSW programme performance data as opposed to HSW Work Plan outcomes or more likely, a mix of both, will be determined through consultation over the next three months.

Summary

The draft Due Diligence Framework paper is due mid-February for initial consultation with the Vice Chancellor and other key stakeholders prior to the April P and C Committee meeting. It is likely that feedback to the early draft will inform the priority and timings for the 2024 Work Plan. This will be reflected in next month's and following reports with intent being to have settled into a more routine system of reporting by June.

Fred Henare
Director HSW



PART A	13
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: Update from the President of AUTSA

Date: 26 February 2024

RECOMMENDATION:

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA
