AUT

AGENDA PAPERS

NOTICE
SPECIAL COUNCIL MEETING

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

**Council Room, Level 7, WA Building, AUT City Campus
On: Monday, 30 October 2023**

FROM: 3.30 – 6.00PM

**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
	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

AUT

COUNCIL PART A OPEN AGENDA

Council Agenda Part A (Open Agenda)

Monday 30 October at 3.30pm 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 Amendment to Constitution	The **Chancellor moves** that the following be **approved:** • See item 3.1
4. Council Meetings	4.1 Council Meeting Draft Minutes Part A, 25 September 2023. 4.2 Matters arising from the Minutes Part A of the Council Meeting, 25 September 2023 not elsewhere on the agenda.	The **Chancellor moves** that the Minutes Part A of the Council Meeting held on, 25 September 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. Report and Minutes from the Academic Board, 25 September 2023.	The **Chancellor moves** that Report and Minutes from the Academic Board, 25 September 2023 be **received –** see item 7.
8. Health, Safety, and Wellbeing Reports	8. Health, Safety & Wellbeing Report for September 2023.	The **Chancellor moves** that the Health, Safety and Wellbeing Report for September 2023 be **received.**
9. Te Tiriti	9. No report.	
10. Strategic Report	10. Update on Imagine AUT	The **Chancellor moves** that the Update on Imagine AUT be **received.**
11. Student Success	11. No report.	
12. Correspondence referred by the Chancellor	12. Letter from the TEC – Ministerial Appointments Falling Due in 2024 dated 22 September 2023	The **Chancellor moves** that the letter from the TEC be **received.**
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 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 Minutes Part B of the meeting - 25 September 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)(b) and 9(2)(i)	7(2)(b) and 7(2)(h)

AUT

| PART A | 3.1 |
| OPEN AGENDA ITEM | |

Council Agenda Paper

Subject: **Amendment to Constitution**

Date: **13 October 2023**

RECOMMENDATION:

THAT COUNCIL:
1. *APPROVE THE AMENDMENTS TO THE CONSTITUTION WHICH COMPLY WITH THE REQUIREMENTS OF SECTION 276 OF THE EDUCATION AND TRAINING ACT 2020; AND*
2. *IN ACCORDANCE WITH SCHEDULE 11 CLAUSE 2(1) OF THE EDUCATION AND TRAINING ACT 2020 RECOMMEND TO THE MINISTER FOR EDUCATION THAT THE CONSTITUTION BE AMENDED BY NOTICE PUBLISHED IN THE GAZETTE.*

Background

The current Constitution states that a council member may be appointed for a maximum of three terms, each of four years in duration. This doesn't allow for a situation where a Council member's term has come to an end before four years has been served as each subsequent appointment, is a new term and only 3 terms, regardless of the duration of each, can be served.

The proposed amendment does not specify the number of terms and instead that a maximum of 12 years be served.

Under Schedule 11 Clause 2(1) of the Education and Training Act the Council is able to recommend to the Minister that the constitution be amended in a manner that complies with the requirements of section 276 of the Education and Training Act 2020 and the Minister must, by notice published in the Gazette, amend the constitution in accordance with the recommendation. The only amendment (other than updating to the current legislation) is:

4   Appointments to the Council, other than of the Vice-Chancellor, shall be for not less than one year and not more than four years. The maximum number of occasions on which a person, other than the Vice-Chancellor, may be appointed as a member of the Council is the number that, for that person, ensures that the total period for which they are a member of the Council does not exceed 12 years.

Previously:

4   Subject to section 173 of the Education Act 1989, no member other than the Vice Chancellor, shall have more than three consecutive terms or any one term of more than four years

The Constitution with amendments in tracked changes is in the supplementary papers.

AUT CONSTITUTION

Council Composition

Amendment to the Constitution of Auckland University of Technology

Pursuant to section 276 and schedule 11 clause 2(1) of the Education and Training Act 2020 the Minister hereby gives the following notice.

1   Notice

   (1)   This notice may be cited as the Amendment to the Constitution of the Council of the Auckland University of Technology.

   (2)   This notice comes into force on 1 December 2023.

2   The Council of the Auckland University of Technology shall be constituted as follows:

   (a)   Four members appointed by the Minister by written notice to the Council;

   (b)   The Vice Chancellor of the Auckland University of Technology;

   (c)   One permanent member of the general staff of the Auckland University of Technology elected by the permanent members of that staff;

   (d)   One permanent member of the academic staff of the Auckland University of Technology elected by the permanent members of that staff;

   (e)   One member who is a student of the Auckland University of Technology appointed by the association of students recognised by the Council of the Auckland University of Technology; and

   (f)   Four members appointed by the Auckland University of Technology Council by resolution, in accordance with its statutes.

3   Pursuant to Section 278 of the Education and Training Act 2020, Council shall consider the following matters when making appointments:

   (a)   the ethnic and socio-economic diversity of the communities served by the Auckland University of Technology;

   (b)   the fact that approximately half the population of New Zealand is male and half the population is female; and

   (c)   that at least one member of the Council is Māori.

4   Appointments to the Council, other than of the Vice-Chancellor, shall be for not less than one year and not more than four years. The maximum number of occasions on which a person, other than the Vice-Chancellor, may be appointed as a member of the Council is the number that, for that person, ensures that the total period for which they are a member of the Council does not exceed 12 years.

5   No act or proceeding of the Auckland University of Technology Council, or of any committee of the council, shall be invalidated as a result of:

   (a)   a defect in the appointment of a member of the council or committee; or

   (b)   a defect in the nomination of a member of the council or committee for appointment as a member of the council; or

(c) a defect in the election of a member of the council, or committee for appointment as a member of the council; or

(b) a disqualification of a member of council or of any committee of the council; or

(c) a defect in the convening of a meeting; or

(d) a vacancy or vacancies in the membership of the council, or of any committee of the council.

Dated at Wellington this **[   ]**.

JAN TINETTI, Minister of Education

AUT

| PART A | 4.1 |
| OPEN AGENDA ITEM | |

Council Agenda Paper

Subject: **Minutes of Part A of the Council Meeting held on 25 September 2023**

Date: **6 October 2023**

Author: **A Vujnovich**

RECOMMENDATION:

THAT THE MINUTES PART A OF THE COUNCIL MEETING HELD ON 25 SEPTEMBER 2023 BE CONFIRMED AS A TRUE AND CORRECT RECORD.

MINUTES

Council Meeting

Meeting held 25 September 2023 at 3.30 pm
Council Room, City Campus, Wellesley Street, Auckland

PRESENT: R Campbell (Chair); D Salesa, J Smith; P Treacy (via Teams); L Foliaki ; M Royal; S Youssef (via Teams); 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); B Bignell (Acting Director Health, Safety & Wellbeing) – Item 8.1; M Orams (Deputy Vice-Chancellor Research) – Item 10.1; A Dowd (Acting Chief Information Officer) – Item 10.2; F Reid (Pro Vice Chancellor Learning and Teaching) – Item 10.2; R Sinha (Deputy Head of School, Engineering Computers and Mathematical Sciences) – Item 10.2

IN APOLOGY: S Wendt; S Turner; R Blair.

PART A OPEN AGENDA
M Royal opened the meeting with a karakia.

1   **WELCOME, APOLOGIES AND APPROVAL OF AGENDA ITEMS**
The Chancellor:
- Welcomed Lani Thomson to the Council as the elected allied staff representative.

Resolved
1. *THAT AN APOLOGY FOR ABSENCE FROM S WENDT, R BLAIR AND S TURNER 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 – August and September 2023
    <u>Received</u>
    Memorandum for Granting of Qualifications – August and September 2023

    <u>Resolved</u>
    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:
    AUGUST:
    1. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 AUGUST CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 17 AUGUST;*
    2. *AMEND THE QUALIFICATON FOR THE STUDENT ON THE ATTACHED SCHEDULE.*
    SEPTEMBER:
    1. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SEPTEMBER MONTHLY CORPORATE CYCLE ON 14 SEPTEMBER;*
    2. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SEPTEMBER MONTHLY CERTIFICATE CYCLE ON 14 SEPTEMBER;*
    3. *GRANT QUALIFICATIONS TO THE GRADUANDS ON THE ATTACHED SCHEDULE FOR THE 2023 SEPTEMBER CERTIFICATE OF PROFICIENCY (COP) CYCLE ON 14 SEPTEMBER;*
    4. *REVOKE QUALIFICATIONS FOR THE STUDENTS ON THE ATTACHED SCHEDULE AHEAD OF THE SEPTEMBER MONTHLY CORPORATE CYCLE ON 14 SEPTEMBER.*

3.2   Re-appointment of Renata Blair to Council

    <u>Received</u>
    Recommendation from Nominations Committee

    <u>Resolved</u>
    THAT IN ACCORDANCE WITH PARAGRAPH 2(F) OF THE CONSTITUTION AND PARAGRAPH 4(F) OF COUNCIL MEMBERS APPOINTMENT STATUTE COUNCIL REAPPOINT RENATA TUHIRANGI GEOFFREY BLAIR TO COUNCIL FOR A PERIOD OF FOUR YEARS FROM 31 JANUARY 2024 TO 30 JANUARY 2028.

4   COUNCIL MEETINGS AND MINUTES OF PREVIOUS MEETING(S)
4.1   Minutes of the previous meeting
    <u>Received</u>
    Draft Minutes (Part A), of the Council meeting held on 31 July 2023

    <u>Resolved</u>
    THAT THE MINUTES (PART A) OF THE COUNCIL MEETING HELD ON 31 JULY 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 31 July 2023 not elsewhere on the agenda.

At this point in the meeting, the Chair closed the Part A meeting and opened the Part B meeting to discuss item 22 of the Part B agenda. Following conclusion of that Part B item, the Part B meeting was closed and the Chair re-opened Part A meeting.

5   VICE CHANCELLOR'S REPORT
    <u>Received</u>
    Vice Chancellor's Report

Noted in discussion
- Good overall staff engagement with Imagine AUT providing valuable insights for the strategy;
- Policy on and leveraging opportunities for naming of buildings;
- Successful inaugural research week.

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, 31 July and 28 August 2023
Received
Academic Board Reports and Minutes, 31 July and 28 August 2023

Resolved
THAT THE ACADEMIC BOARD REPORTS AND MINUTES OF THE MEETINGS HELD ON 31 JULY AND 28 AUGUST 2023 BE RECEIVED.

8   HEALTH, SAFETY AND WELLBEING REPORTS
8.1   Health, Safety and Wellbeing Reports, July and August 2023
Received
Health, Safety and Wellbeing Reports, July and August 2023

Noted in discussion
- New director assessing overall University risk profile and optimising use of existing system;
- Separate investigations by AUT and Te Whatu Ora underway following student on secondment incident and opportunities identified to improve issue escalation and communication processes.

Resolved
THAT THE HEALTH SAFETY AND WELLBEING REPORTS FOR JULY AND AUGUST 2023 BE RECEIVED.

9   TE TIRITI REPORT
No report.

Action: Management to provide an update on this workstream at the next Council meeting.

10   STRATEGIC REPORTS
10.1 Report on the Research Plan – Rautaki Rangahau - 2023 – 2028
Received
Report on the Research Plan – Rautaki Rangahau - 2023 – 2028

Noted in Discussion
- Major goals included integration of Te Aronui and nurturing growth of researchers, research and cultural capability;
- Plan would be funded via repurposing central PBRF funds with provision considered adequate to meet objectives;

- Timing of achievement of objectives was split between the current and proceeding financial year;
- Approach to identifying organisational research themes, with research impact at the core, and likely to leverage areas of existing strength and those that can deliver change to communities;
- Focus on externally focussed research revenue to help sustain research support;
- Intellectual leadership needed to be exercised to ensure buy-in of faculties;
- Importance of developing greater number of Maori researchers, supporting matauranga Maori and seeking out opportunities to partner with iwi and roopu Maori on research projects;
- Requested update on Research Plan progress in due course.

Action: Management to provide Council with an update on progress of the Research Plan at appropriate point(s).

Resolved
THAT THE RESEARCH PLAN - RAUTAKI RANGAHAU – 2023 – 2028 FROM PROFESSOR MARK ORAMS DEPUTY VICE CHANCELLOR – RESEARCH BE RECEIVED

10.2 Council Focus Session - Artificial Intelligence in the University Sector

Verbal Update
- University adopting a cross-disciplinary, human-centred approach to Artificial Intelligence (AI);
- Generative AI offered opportunities to enhance student experiences such as personalised learning and automation of mundane tasks for staff and potentially increase research reach;
- Generative AI posed data privacy risks with education of staff and students critical to responsible and safe use of AI and an assessment policy was being developed to increase good practice;
- Development of AI outpaced detection, and would be pervasive, so a proactive and agile approach was needed.

Noted in Discussion
- Students' learning should be at the heart of the University's approach to AI, with AI complementing human interactions ;
- Thoughtful approach needed as to how the University differentiates itself with and adopts AI, given AI ubiquity;
- Supported a speedy and enabling response to the role of AI in the University which should be reflected the strategy being developed;
- Potential to develop AI principles of use pending a fuller plan, noting need to reduce risk of breach of privacy and intellectual property rights;
- Engagement of staff and reducing fear of effects of AI was essential if new pedagogical and service models were to be introduced;
- Risk of AI providing misinformation and how to trust data and its provenance.

Resolved
THAT THE PRESENTATION ON ARTIFICIAL INTELLIGENCE IN THE UNIVERSITY SECTOR BE RECEIVED

10.3 Update on Imagine AUT
Received
Update on Imagine AUT

Noted in Discussion
- Imagine AUT remained on track to deliver the new strategy as scheduled.
- Discussions ongoing over the attributes and approach needed to be a university of technology.

Resolved

THAT THE UPDATE ON IMAGINE AUT, OUR PROCESS FOR DEVELOPING OUR NEW STRATEGY BE RECEIVED

11   STUDENT SUCCESS

Received

Update on Ki Uta Ki Tai Student Success

Noted in Discussion
- Updates on programme outcomes with establishment of a steering group to monitor progress;
- How the student voice should be reflected in steering or reference groups;
- Focus on student success as defined by the students themselves, with parameters to be developed;
- University has taken a whole of organisation approach to student success, requiring broad coordination but expected to sustain better outcomes;
- Whether student employment should be a metric of success given the University's strong history in this regard;
- Student experience links to student success so need to ensure metrics developed to track this;
- A whanau focus on recruitment needed as reflected in increase in parents attending AUT Live.

Actions:

Management to provide information and metrics on student experience in the next update on Ki Uta Ki Tai to Council.

Management to consider how the student voice be represented in steering or reference groups.

Resolved

THAT THE UPDATE ON KI UTA KI TAI – STUDENT SUCCESS BE RECEIVED

12   CORRESPONDENCE REFERRED BY THE CHANCELLOR

The Chair noted that correspondence had been received from the Ministry of Education regarding the process to re-appoint relevant members of the Council.

13   OTHER MATTERS FOR DECISION OR NOTING

Received notice from MOE re nominated members whose terms are nearly up what Chancellor and Secretary will liaise

13.1   Update from AUTSA

Verbal Update
- The incoming AUTSA President would be confirmed shortly and be asked to attend the next Council meeting as part of induction;
- Focus on the class representative system and seeking additional funding for University clubs.

Resolved

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

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. Council Meeting Minutes Part B of the meeting - 31 July 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)
19.1 Draft Minutes of Honours Committee, 31 July 2023	s 9(2)(a), s 9(2)(g)(i)	s7(2)(a), 7(2)(f)(i)
19.2 Draft Minutes of Finance and Audit Committee, 18 September 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)
22.1 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)

Item 4.2 Matters Arising from the Minutes Part A

COUNCIL AGENDA ITEM	ACTION	WHO	STATUS
31 May 2021	**3.3. Equal Opportunities Policy** • The Treaty of Waitangi should be referenced in the policy or alternatively, expressed in a Council Charter. • A paper will be drafted regarding a policy on Te Tiriti and each Council policy should be reviewed at each Annual General meeting.	Tumuaki / Dean Te Ara Poutama	Council Charter - Ongoing Fourth Quarter 2021
29 May 2023	**5. Vice Chancellor's Report** • A new steering committee will be chaired by DVC - Research Mark Orams, to further the Sustainability Plan and give effect to our sustainability goals, including policies and programmes that promote sustainable practice. An update on the Plan will be provided to Council.	DVC - Research Mark Orams	December 2023
	8.1. Health, Safety & Wellbeing Reports, • 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.	Director Health, Safety & Wellbeing –	31 July 2023
	9. Te Tiriti Report • A Te Tiriti workshop will be scheduled for Council.	Valance Smith - Kaihautu Tiriti	Date in Planning
25 September 2023	**9. Te Tiriti Report** • Management to provide an update on this workstream at the next Council meeting.	Valance Smith - Kaihautu Tiriti	December 2023
	10.1 Report on the Research Plan – Rautaki Rangahau - 2023 – 2028 • Management to provide Council with an update on progress of the Research Plan at quarterly or six-monthly intervals.	Mark Orams – DVC Research	
	11. Student Success • 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

PART A **OPEN AGENDA ITEM**	**5**

Council Agenda Paper

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

Date: **30 October 2023**

RECOMMENDATION:

THAT THE VICE CHANCELLOR'S REPORT BE RECEIVED

Our focus internally has been the development of AUT's new strategy through the process called Imagine AUT. Consultation with staff and students continues with a significant number of opportunities, events and initiatives in person and online having taken place. The feedback to date has been valuable, with a range of ideas and perspectives providing a rich base to work with. Planning has begun on the next phase of engagement with other key stakeholders.

HIGHLIGHTS

- Professor Brett Cowan will join AUT in 2024 as the new Dean for the Faculty of Health and Environmental Sciences. Brett joins us from the Crown Research Institute, Environmental Science and Research (ESR) where he has served as Chief Scientist and General Manager Research, Head of Commercialisation and Māori Economy.
- The new Group Director People and Culture Stephen Davies has joined the Executive Leadership Committee and team this month.
- AUT celebrated Mahuru Māori last month (September) – with a public event being hosted on campus called Rere Vibes organised by Pōu Māori and the Office of Māori Advancement.
- A Diwali celebration and a diversity event called AUT Worldwide also took place.
- AUT staff and students have received acknowledgement at several award ceremonies:
  - AUT staff and students won 45 pins at the 2023 Best Awards – 15 Gold, 10 Silver and 19 Bronze.
  - The AUT Blue Awards also returned this year with 31 Sports and 6 Art, Culture and Design winners picking up awards on the night.
  - AUT also took home awards at the Aotearoa Business Research Translation Competition, with winners in the Early Career Research, Māori and Pacific Research and Established Career Research categories.
  - ICT Services received an Excellence Award for Technology Delivery at the national Tertiary ICT Conference.
- Recently AUT's culinary arts students had the very special opportunity to prepare a delicious three-course meal for 150 guests at a charity gala dinner.

- A Te Pae Tata leadership discussion took place on October 24 discussing '<u>The Changing Face of Auckland</u>'. This conversation sought to understand our changing demographics, the issues facing our rohe (region), what these changes and challenges mean for our university and the role we play.

PRIORITY 1: TE TIRITI O WAITANGI

1.1   Te Aronui Update

Tiriti Strategist and Te Aronui lead Dr Valance Smith is currently in the midst of the Aronui Ora pilot programme. This initiative involves a series of workshops aimed at guiding staff in incorporating Te Aronui into their core responsibilities. The workshops encompass Tiriti training, a deeper exploration of Māori values (pono, tika, aroha), Māori principles, collaborative projects to implement the framework, and the development of confidence in te reo and tikanga. The feedback gathered from this pilot program will play a pivotal role in shaping the evolution of the Aronui Ora program.

Additionally, a business case is being prepared for the rollout of Aronui Ora in 2024, with plans to present it to the Vice-Chancellor's Executive Committee in the coming month. Simultaneously, a Te Aronui Toolkit is under development to assist staff in implementing Te Aronui.

In response to the Te Aronui initiative, Dr Valance is drafting a comprehensive te reo Māori policy that will include a series of cascading policies and has facilitated several meetings with senior Māori leaders and language experts to inform this. The policy development process is expected to involve broader input from whānau Māori, with a draft set to be presented to the Executive Committee in February 2024.

1.2   Update on Deputy Vice-Chancellor Māori

Following an extended period of consultation, the Review Panel has now fully considered all submissions for Te Aronui – a proposal to establish a new Deputy Vice-Chancellor Māori role and I have accepted their recommendation to establish this role.

 Feedback received highlighted the process undertaken in this proposal, and I have taken this feedback on board. As part of accepting the recommendation to proceed, I have set out that the next steps be co-created with a small group of senior Māori leaders, supported by others in the University, who will be invited to form a rōpū to scope the new role, to give guidance on key responsibilities for the role and to provide recommendations for recruitment and selection.

Professor Pare Keiha has agreed to serve as my Special Advisor as this process enters its next stage and ngā whānau Māori recommended two colleagues who will be invited to serve on the rōpū.

Under Professor Keiha's leadership, ngā whānau Māori have provided unwavering support for Māori at AUT. I would like to acknowledge this and note their collective wisdom will underpin our university's transition to becoming Te Tiriti-led.

1.3   Advancing Māori Health

The AUT Medical Centre is consulting with the Kaitaunaki Reo on tikanga associated with clinical spaces and the necessary training is under development.

A Māori Health Plan has been created in consultation with the Kaitaunaki Reo. The plan includes an audit of our clinical performance.

PRIORITY 2: EXCELLENCE AND EQUITY IN EDUCATION AND RESEARCH

2.1   Learning and Teaching

The AUTSA Vice President Academic, Alicia Lemmer, has been working with the Pro Vice-Chancellor Learning and Teaching, the Associate Deans (Academic), and the Group Director Student Services and Administration to

propose a more consistent and structured system of student representation in programmes and year groups across the University.

Several revised academic policies are now available on the Policy Hub on Tuia. The revised policies are:

- •   Monitoring of and Review of Programmes Policy
- •   Programme Review Procedures
- •   Student Survey Policy
- •   Student Survey Procedures
- •   Academic Integrity Procedures and Guidelines

2.2   Academic Programmes

All 15 of the academic proposals submitted to CUAP Round Two have been signed off in the peer review process. Seven Graduating Year Review reports were submitted to CUAP in October. The Academic Quality Office will begin work soon with the faculties to determine the periodic review and Graduating Year Review schedule for 2024.

2.3   Academic audit

Work is continuing on drafting the self-review report for Cycle 6 Academic Audit. The self-review is due with the Academic Quality Agency for New Zealand Universities in May 2024.

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)	$22,960,559M (est. as at 31/12/2022)
2023 (unweighted, unaudited)	$12,109,881M (est. as at 30/06/2023)

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

2022 ERI TEC Submission

	2022 ERI (Unweighted)	2022 ERI (Weighted)
NZ Government Contestable	$16,396,163	$16,396,163
NZ Non-Government	$967,166	$3,868,644
NZ Public Sector	$2,811,533	$2,811,533
Overseas	$1,026,338	$3,592,185
Total	$21,201,200	$26,668,544

External Funding Activity

MBIE	Submissions

- AUT is working on submitting one bid to MBIE under the Vision Mātauranga Capability funding with PI Prof Lindsey White from HES.

Results:
- AUT was awarded one Smart Idea proposal under the 2023 Endeavour round. PI Jack Li from DCT for $1M. AUT has signed the contract with MBIE.
- AUT has successfully signed a contract with MBIE under the Horizon Europe National Contact Point (NCP) role for Prof Stephen MacDonell in DCT for $180K.
- AUT is also a subcontractor on a University of Auckland Research project with AUT PI Jack Chen from HES for $450K.

HRC	Submissions

- 2024 Pacific Emerging Leader Fellowships: 1 application submitted to this new funding scheme.
- 2024 Emerging Researcher First Grants: working on 2 AUT applications for beginning of October deadline.
- 2024 Programme Grant: working on a record 3 AUT applications for mid-October deadline and 1 MoU for collaboration with Otago led Programme.

Results
- 2024 Project Grant EOI: 4 of 10 AUT-led EOI proposals were invited to submit a Full Proposal. A further 2 proposals just missed out, having been recommended by the assessment committee but not invited.

Government	Submissions:

- 1 MPI application was submitted.
- MoH Gambling Harm Research Programme: working on 10 AUT responses to this RFP closing 22 October.

Royal Society of New Zealand	

- Catalyst Seeding and Leaders rounds due at the funder on 19 October 2023

National Collaborations	Submissions

- CMDT RAP (MedTech) Stage 1: 2 applications were submitted.
- CMDT RAP (MedTech) Stage 3: 1 application was submitted.

Results:
- SfTI - AUT signed a contract with Callaghan Innovation for $400K with PI Prof Sarat Singamneni from DCT under NSC-SfTI.
- CMDT RAP (MedTech) Stage 3: 1 subcontract was awarded.

International	Submissions

- 2 Horizon Europe applications were submitted.

Industry	Submissions

- AUT submitted from DCT under the BRANZ Research Levy Prospectus EOI.

Results:
- AUT signed a contract with the University of Auckland for an extension and additional funding on the Product Accelerator project for $210K with PI Prof Sarat Singamneni from DCT.

Community   Submissions

- **2023 CHT Aged Care Fund** – 1 application submitted.
- **2023 Round 3 Maurice and Phyllis Paykel Trust grants** – 2 applications submitted.
- **2023 Gut Cancer Foundation Research Grant round** – 1 application submitted.
- **2023 Oakley Mental Health Research Grant round** – 3 applications submitted.

Update on Horizon Europe

- National Contact Points have been appointed and announced. (MBIE) has appointed Horizon Europe National Contact Points (NCPs) for each Cluster, to provide information & advice to potential applicants and assist with building research consortia. Professor Stephen MacDonell (DCT) has been appointed to be the NCP for cluster 3 Civil security and society.
- Training series on Horizon Europe to researchers begins 10th October.
- Meeting with Comms to discuss how AUT can promote its research in Europe.
- Workshop on Horizon Europe Cluster 6 for School of Sciences.

2.5   Graduate Research School

- 50% increase in PhD applications compared to the same time last year (source Uni Assist).
- 186 New PhD admissions. Admissions increased slightly compared to 2022 (year to date).
- AUT Three Minute Thesis doctoral winner Madeline Hayward is now in competition at the Asia-Pacific Three Minute Thesis finals.
- A briefing paper on the use of generative AI for research purposes has been prepared to inform more specific guidance to postgraduate researchers on its use in research degrees.
- The name Te Kura Hāpai Rangahau has been gifted to the Researcher Education and Development (RED) team.
- 859 Active doctoral students.
- 61 Active MPhil students.
- 40 Doctoral students in examination.
- 46 Deferred PhD students.

2.6   Moanaroa Pacific Research Network

AUT's new [Moanaroa Pacific Research Network](#) was launched at the [inaugural Pacific Research Symposium](#) on 7 September. The Moanaroa Pacific Research Network is part of Rautaki Rangahau (AUT Research Plan 2023 to 2028) and is dedicated to realising Pacific research aspirations that centre Indigenous Pacific knowledge systems, research methodologies and practices shaped with and of direct benefit to Pacific communities. It will develop and implement a two-year strategic plan that will respond to and enact the guiding AUT frameworks of Te Aronui and Rautaki Rangahau.

PRIORITY 3: ENVIRONMENTAL AND FINANCIAL SUSTAINABILITY

3.1   Financial Performance (detail in Appendix 2)

Overall, the year-to-date (YTD) net surplus variance to budget of $12.1M reflects the impact of higher international enrolments offsetting the impact of lower revenue from domestic enrolments, higher other income, and lower salaries and operating costs than budget.

The full-year forecast projects a $6.5M operational net surplus, which is $0.3m ahead of budget. The forecast position reflects the impact of unbudgeted salaries and higher operating costs, offset by net improvement in student-derived income due to international fees and other income.

3.2   Student enrolment update (detail in Appendix 1)

- **Overall, AUT has achieved 99% of its total (domestic and international) 2023 budget**, compared to 95% of the 2022 budget this time last year.

  o   This improvement in progress towards the total EFTS budget is due to a lower domestic target and improved international intake.

- **Domestic EFTS** are down on the same time last year due to a drop in both new and returning EFTS.

  o   In early 2023 reports, year-to-date new EFTS appeared up on the same time last year because of a change in pattern to the enrolments of clinical health science students compared to 2022. The previous and current update provide a more accurate picture of the year-on-year change in new domestic EFTS, since the difference had resolved by this time last year.

  o   This year, new to programme domestic EFTS are down as a result of a decrease in intake of clinical health degrees down to a more sustainable level, as well as a decrease in the Bachelor of Arts, Bachelor of Education (Specialty) Teaching, Bachelor of Science, Bachelor of Laws, and Bachelor of International Tourism Management.

- **International EFTS** have already exceeded the 2023 budget target, as a result of a large increase in new to programme International full fee EFTS compared to this time last year

  o   China remains AUT's largest source of new to programme International Full fee EFTS, followed by India, Vietnam, Canada and South Korea.

Since the previous update (in mid-July), TEC has advised AUT of a downwards revision in the 2023 domestic tuition subsidies (of $1.0M for domestic funded enrolments in pre-degree qualifications and $3.4M for domestic funded enrolments in undergraduate and postgraduate qualifications), based on our lower domestic enrolments in 2023.

	Domestic SAC		International		Total	
	2023	2022	2023	2022	2023	2022
YTD EFTS	15,535	16,624	2,420	1,771	17,954	18,395
% of target	94%	94%	146%	110%	99%	95%

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

Total: down -7% (-1,089 EFTS)

New to Programme: down -5% (-301 EFTS)

Returning: down -8% (-789 EFTS)

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

Total: up 37% (+648 EFTS)

New to Programme: up 122% (+754 EFTS)

Returning: down -9% (-106 EFTS)

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

Total: down -9% (-175 EFTS)

New to Programme: down -12% (-98 EFTS)

Returning: down -7% (-77 EFTS)

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

Total: down -11% (-321 EFTS)

New to Programme: down -12% (-150 EFTS)

Returning: down -11% (-171 EFTS)

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

Total: up 4% (+34 EFTS)

New to Programme: up 14% (+96 EFTS)

Returning: down -27% (-62 EFTS)

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

Total: down -6% (-815 EFTS)

New to Programme: down -1% (-79 EFTS)

Returning: down -8% (-736 EFTS)

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

Total: up 12% (+400 EFTS)

New to Programme: up 35% (+456 EFTS)

Returning: down -3% (-56 EFTS)

3.3   University key performance indicators (detail in Appendix 3)

3.4   Marketing and Recruitment

September was busy with the wrap-up of AUT LIVE both in terms of physical event and behind the scenes with the reporting. 2023 AUT LIVE registrations and attendee numbers surpassed 2019 event figures.
Compared to 2022 domestic enquiries have largely remained the same, while international enquiries have increased by 29%. We saw a 24% increase in demand and delivery for course counselling for September 2022 – 23.

In collaboration with Student Services and Administration, Summer Study options are now available for enrolment. Historically there was a call from faculties and the University to launch a summer school campaign, however based on previous years' results our best option is to run this campaign through our student communication channels. Summer study - AUT

The team across BMS continue to push forward to improve both UG and PG "AlwaysOn" campaigns, and the schools' team has been busy finishing off school visits with Y13's before they start exam leave and with delivering UniPrep presentations to drive UniPrep registrations and applications.

The India campaign that was completed during the month, generated 59 applications, with our Southeast Asia PG campaign generating 13 applications (all from Indonesia).

Our brand and reputation activity continues to reach large audiences across multiple channels with over 2 million ad reach and over 8 million ad impressions, along with 208 external touch points (industry, alumni, research, corporate etc) through our communications team.

The team also finalised parent campaign videos, set to launch next month. The videos feature 5 academics talking about the value of education and the role AUT plays.

3.5   Places and Spaces

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

- Implementation of Planon, the new Integrated Workplace Management System (IWMS).
- Delivery of Estates Business Plan 2023 services and projects.
- A1 Project implementation and delivery of Planned Maintenance/Minor Capital Works programme.
- Active management of all property and services-related risks within resource constraints.
- Planning for upcoming lease terminations.
- Developing approaches to accelerate project progress.
- EM & BC Review.
- Preparing 2024 plans.

A1 Project
- A1 construction proper was tracking 46 days behind programme but on budget.
- The roof and façade was complete on A1 and the focus is now on completing the same for the atrium area.
- Interior fitout of A1 was making good progress.
- Practical completion is forecast for 17 Apr 24.
- The 6-week AUT implementation programme for FF&E install and go live dates is currently being worked through.
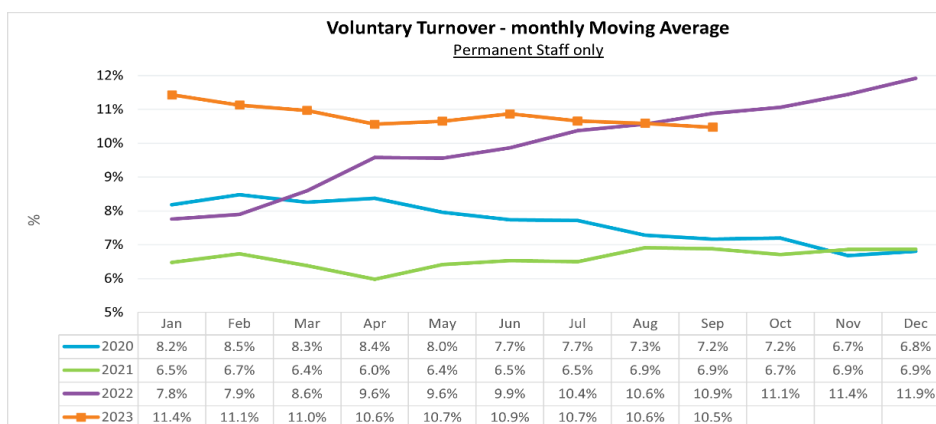
3.6   Staff diversity statistics (September 2023)

Staff count		Occupation		
1,922.9 FTE (100%)		**Academic** 889.2 (46.2%)		**Professional** 1,033.7 (53.8%)
Gender		**Monthly Turnover Rate**		
Female 60.6%	**Gender diverse** 0.4%	**7.6%**		**13.1%**
Male 38.0%	**Not disclosed** 0.9%			
Ethnicity (excluding hourly paid)				
Academic (46.2%)		**Professional** (53.8%)		
NZ Māori 7.8%	**African** 1.7%	**NZ Māori** 6.2%	**African**	0.9%

Pacific	4.5%	Other	4.3%	Pacific	8.3%	Other	5.2%
Asian	17.8%	European	9.3%	Asian	29.2%	European	4.4%
Middle Eastern	2.4%	NZ European/ Pākehā	44.9%	Middle Eastern	1.5%	NZ European/P ākehā	37.4%
Latin American	1.5%	No declaration /Blank	6.0%	Latin American	1.1%	No declaration/ Blank	5.7%

53.0% of Senior staff roles are held by men, and 47.0% are held by women. 15 Senior staff roles are held by Māori and Pacific women, and 11 Senior staff roles are held by Māori and Pacific men.

3.7 People and Culture – Voluntary Turnover

Voluntary Turnover - monthly Moving Average
Permanent Staff only

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2020	8.2%	8.5%	8.3%	8.4%	8.0%	7.7%	7.7%	7.3%	7.2%	7.2%	6.7%	6.8%
2021	6.5%	6.7%	6.4%	6.0%	6.4%	6.5%	6.5%	6.9%	6.9%	6.7%	6.9%	6.9%
2022	7.8%	7.9%	8.6%	9.6%	9.6%	9.9%	10.4%	10.6%	10.9%	11.1%	11.4%	11.9%
2023	11.4%	11.1%	11.0%	10.6%	10.7%	10.9%	10.7%	10.6%	10.5%			

- The trend for voluntary turnover continues to show a marginal drop at 10.5% for August, lower than the same period in the previous year.
- Predominantly Allied staff (7) versus Academic staff (3) for September 2023

3.8 Admissions

At the beginning of September, a concerted effort was undertaken by the Admissions team, including the utilisation of overtime, to address the surge in admission activities that had been encountered at the end of August. This notable uptake in activity can be ascribed to the confirmation of the 2024 International tuition fees and the corresponding communications sent to applicants. Additionally, an unanticipated increase in both international and domestic applications occurred earlier than expected. After this initial period of heightened activity, there was a gradual decline in admission activities during September, leading to more manageable workloads.

This reduction in admission activity is apparent in the CRM statistics for this month, with the total number of activities decreasing from 1364 to 1058. Furthermore, this trend is underscored by a 57% decrease in the volume of domestic school leaver applications available for processing by the RPA Bot where out of 1179 applications, 80% were considered complete and successfully converted to provisional offers.

The most popular programmes were the Bachelor of Business with 121 applications, Bachelor of Engineering (Honours) with 103, and Te Tohu Paetahi mō te Hoahoa - Bachelor of Design with 77.

3.9 AUT Foundation

- For the period (year-to-date) ending 30 September. AUT has received a total of $1,033,871 from 420 donors.

- For the period 1 September to 31 September 2023, AUT received $75,779.54 from 81 donors.

PRIORITY 4: STUDENT SUCCESS

4.1 AUTSA Elections 2024

The 2024 Student Representative Council have concluded their elections. Alicia Lemmer has been elected AUTSA Student President, Tasfia Mahmood as Vice President Academic and Regina Tao as Vice President Community for 2024.

4.2 Summer graduation

The Records and Graduation team commenced operational work for the 2023 Summer Graduation ceremonies to be held on 12 and 13 December at Spark Arena. There were 4,587 students recommended so far by their respective faculty, who were sent their graduation application requesting them to confirm their preferred attendance method for the Summer Ceremonies by 30 October. The individual faculty ceremony days were also confirmed and published publicly at the same time.

PRIORITY 5: MATURING UNIVERSITY SYSTEMS AND PROCESSES

5.1 Financial Assistance Review

A financial assistance online form is a key recommendation that came from the review endorsed by the Director Student Hub and Group Director Student Services & Administration.

The new online form aims to improve both access and the experience of students seeking financial support during their study journey with AUT. A prototype online form has been developed and demonstrated to stakeholder members.

A student focus group has been held and a report is available with the detailed feedback received during the session. The feedback has been taken into consideration and will inform changes to the online form.

Refining the business rules that help to inform the student advisor decision making process along with changes to the financial assistance web page are also progressing.

5.2 Ngā Whakamānawa o Matariki Awards

The feedback received during the consultation was overwhelmingly positive and in support of the new awards. The Matariki Awards working group are working through the final details of the awards process and will publish a detailed information pack and updated Tuia page for all staff in November.

5.3 Pastoral Care Code of Practice Accommodation Audit feedback report

The Pastoral Care Code of Practice Accommodation Audit feedback report result was notified to AUT in September, with AUT Student Accommodation achieving 100% compliance along with only some minor recommendations to action.

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 10 Sep 2023

Student Achievement Component EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	74	37	4	13	18	1
Actual	15,412	2,540	2,043	4,622	6,093	88
Total Pending and Actual	15,485	2,577	2,047	4,635	6,111	89
2023 Target	16,460	2,755	2,403	4,621	6,540	104
Progress to Target (%)	94%	94%	85%	100%	93%	85%
EFTS needed to reach 100%	974	177	356	-14	429	15
Ahead or behind on this time last year:	Behind by	Behind by	Behind by	Ahead by	Behind by	Behind by
	1,076	312	449	113	380	36
Progress to Target, this time last year (%)	94%	90%	90%	96%	96%	64%
EFTS needed to reach Target this time last year	1,130	315	268	201	240	69
Achieved from this time last year to year end	80	25	7	18	19	11

International Full-Fee EFTS	Total	BEL	CSOC	DECT	HEAL	TEAP
Pending	14	7	1	1	2	0
Actual	2,381	735	477	876	285	7
Total Pending and Actual	2,395	741	479	878	287	7
2023 Target	1,663	615	283	565	200	
Progress to Target (%)	144%	121%	169%	155%	143%	Infinity
EFTS needed to reach 100%	-732	-126	-195	-313	-87	-7
Ahead or behind on this time last year:	Ahead by	Ahead by	Ahead by	Ahead by	Ahead by	Ahead by
	655	105	138	338	75	5
Progress to Target, this time last year (%)	108%	88%	140%	116%	140%	174%
EFTS needed to reach Target this time last year	-122	91	-98	-73	-61	-1
Achieved from this time last year to year end	45	37	2	3	1	0

AUT South Campus	Total	BEL	CSOC	DECT	HEAL	TEAP

Pending	**4**	0	0	0	4	0
Actual	**1,805**	225	204	43	1,306	2
Total Pending and Actual	**1,809**	225	204	43	1,310	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%	**-143**	-221	36	2	22	5
Ahead or behind on this time last year:	Behind by 124	Behind by 48	Behind by 59	Behind by 15	Ahead by 5	Behind by 6
Progress to Target, this time last year (%)	**78%**	62%	94%	60%	83%	44%
EFTS needed to reach Target this time last year	**548**	164	16	39	271	10
Achieved from this time last year to year end	**-2**	-2	0	0	1	0

Pre-Degree Total EFTS	Total
Pending	**9**
Actual	**952**
Total Pending and Actual	**961**
Ahead or behind on this time last year:	Ahead by 32

Undergraduate Total EFTS	Total
Pending	**54**
Actual	**13,624**
Total Pending and Actual	**13,678**
Ahead or behind on this time last year:	Behind by 930

Postgraduate Total EFTS	Total
Pending	**45**
Actual	**3,648**
Total Pending and Actual	**3,693**
Ahead or behind on this time last year:	Ahead by 397
Doctoral	**734**

Māori Domestic SAC EFTS	Total
Pending	**8**
Actual	**1,688**
Total Pending and Actual	**1,696**
Ahead or behind on this time last year:	Behind by 179

Pacific Domestic SAC EFTS	Total
Pending	**11**
Actual	**2,518**
Total Pending and Actual	**2,529**
Ahead or behind on this time last year:	Behind by 325

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 – Current Year

Financial Performance – Current Year

As at 29 September 2023 (refer item 5.1)

$000s	Year to Date ($000s)			Full Year ($000s)		
	Actual	**Budget**	**Variance**	**Forecast**	**Budget**	**Variance**
Income	340,827	331,960	8,867	432,399	418,925	13,474
Expense	297,032	299,183	2,151	423,960	409,585	(14,375)
Surplus before interest	**43,795**	**32,777**	**11,018**	**8,439**	**9,340**	**(901)**
Interest	938	2,064	1,126	1,970	3,152	1,182
Net surplus/(deficit)	**42,857**	**30,713**	**12,144**	**6,469**	**6,188**	**281**

Comment

Overall, the YTD net surplus variance to budget of $12.1M reflects the impact of higher international enrolments offsetting the impact of lower revenue from domestic enrolments, higher other income, and lower salaries and operating costs than budget.

The full year forecast projects $6.5M operational net surplus, which is $0.3m ahead of budget. The forecast position reflects the impact of unbudgeted salaries and higher operating costs, offset by net improvement in student derived income due to international fees and other income.

	2023 Year-end Forecast		
Banking Covenants	**FY Forecast**	**Bank Target**	**Outcome**
Max Net Debt / Net Debt + Equity Ratio	7%	35%	On target
Min Interest Cover Ratio (EBITDA / Interest Expense)	2,656%	150%	On target
Min Guaranteeing Group Cover	96%	90%	On target
TEC Financial Covenants	**FY Forecast**	**TEC Target**	**Outcome**
Max commercial debt borrowings $000s	$58,603	$220,000	On target
Max aggregate financing $000s	$68,820	$243,000	On target
Max Debt / Debt + Equity Ratio	7%	30%	On target
Max Debt / Net Cash Flow Ratio	1.32	3.00	On target

Max Debt / Total Revenue Ratio	16%	55%	On target
Min Net Surplus Ratio	1.5%	>0.0%	On target
Min Cash Flow from Operation Ratio	114%	113%	On target
Min Interest Cover Ratio (EBIT / Interest Expense)	4.28	Suspended until 2026	
Min Liquidity Ratio	43%	2%	On target

Comment

All Banking covenants and TEC financial covenants are projected to be met.

Financial Performance 2023 YTD Compared to 2022 YTD

$000s	Year to Date ($000s)		
	2023	**2022**	**Variance**
Income	340,827	333,295	7,532
Expense	297,970	304,014	6,044
Net surplus	**42,857**	**29,281**	**13,576**

Higher **year-to-date income** compared to the same period last year is driven by higher international enrolments and higher other income.

Lower **year-to-date expenses** compared to the same period last year is driven by lower salaries offset by higher operating costs.

Overall, the **year-to-date net surplus** is $13.6M higher than same time last year reflects the impact of lower salaries in 2023.

Appendix 3: University key performance indicators – Progress report

AUT's Statement of Service Performance was established as part of Investment Plan 2022-2024. Each KPI relates to at least one of the key themes of *AUT Directions*

- Theme 1 Creating exceptional learning experiences
- Theme 2 Discovery and application of knowledge for wellbeing and prosperity
- Theme 3 Responding to our place in the world
- Theme 4 Building our position as New Zealand's university of technology
- Theme 5 Being a great place to work and learn

KPIs	Theme(s)	Target 2023	YTD 2023	YTD 2022	Actual 2022	Notes
4. Proportion of bachelors graduates who completed work-integrated learning while studying	1, 4	90%	90%	92%	91%	On target
5. Course completion rate for students from areas with high deprivation scores	1,3	78%	75%	71%	70%	Below target
6. Number of quality-assured research outputs	2	Annual increase	1,243	1,474	2,130	Below last year
7. Proportion of research-active academic staff	2	Annual increase	49%	55%	62%	Below last year
8. Value of new research contracts signed	2,4	Annual increase	$13.6 M	$14.5M	$27.6M	Below last year
9. Proportion of outputs with an international co-author	2,3	Annual increase	62%	59%	58%	On target
10. Ranking amongst NZ universities for field citation ratio	2,4	Top-four placing	Third	Third	Second	On target for top-four placing. Based on 2020 publications (used for the 2023 reporting year), AUT's FCR is 2.87, above the sub-sector average of 2.78
11. Number of media articles using AUT staff as expert voices or highlighting AUT research	2,4	>1,000	1,197	987	1,244	Achieved
12. Number of Māori graduates from bachelors degrees	1,3	Annual increase	114	106	308	On target
13. Number of Māori students in research programmes	2,3	Annual increase	135	139	144	Slightly below last year

14. Number of Pacific graduates from bachelors degrees	2,3	Annual increase	191	192	432	Very slightly below last year
15. Number of Pacific students in research programmes	2, 3	Annual increase	75	87	92	Below last year
16. Number of EFTS at South Campus	3, 5	Annual increase	1,859	1,976	1,985	Below last year

Results still to come

KPI	Theme(s)	Actual 2022	Source	Available
1 Proportion of students who would recommend their programme of study	1	78%	Annual Programme Survey	Annually (December)
2. Proportion of students who are satisfied with teaching quality	1	81%	Annual Programme Survey	Annually (December)
4. Proportion of available graduates who are working full time	1	84%	Annual Graduate Survey	Annually (December)

PART A	6
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: **Chancellor's Report**

Date: **30 October 2023**

RECOMMENDATION:

THAT COUNCIL RECEIVE THE CHANCELLOR'S VERBAL REPORT

PART A OPEN AGENDA ITEM	7

Council Agenda Paper

Subject: **Report from Academic Board**

Date: **20 October 2023**

RECOMMENDATION:

THAT COUNCIL RECEIVE THE ACADEMIC BOARD REPORT AND MINUTES OF THE MEETINGS HELD ON 25 SEPTEMBER 2023

The minutes are in supplementary papers.

Academic Board Report to Council

Meeting held 25 September 2023

Strategic Matters and Policy Developments

- **Ki Uta Ki Tai**
  Academic Board was reminded of the Ki Uta Ki Tai Plan's six areas of focus i.e. executive leadership, responding to Te Tiriti, building cultural capability, transition to university, whole of university service model and integrated targeted academic support.

  Initiatives currently under way were outlined. These include: the formation of a Ki Uta Ki Tai Student Success Steering Group and the development of a course designed to assist successful transition into university; evaluation of the mediated pathways and how they can better support student success; and, streamlining the enrolment process.

  The steering group is prioritising the remainder of the Ki Uta Ki Tai proposed first initiatives based on criteria around each initiative's size, complexity, cost and likely impact in terms of student success.

- **Academic Audit**
  Preparation for the Academic Audit in 2024 continues. The evidence and information request phase has been completed and engagement with students is ongoing. The next phase is collation and refinement and will include identification of areas of strength, risk, challenge an enhancement across learning, teaching and student support. The site visit is scheduled for September 2024.

Committees of Academic Board

- Academic Board approved seven Graduating Year Review reports for submission to CUAP by 29 September 2023.

Other - Nil
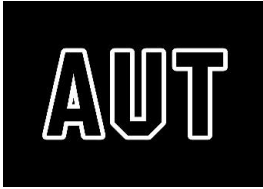
PART A OPEN AGENDA ITEM	8

PART A

OPEN AGENDA ITEM

Council Agenda Paper

Subject: **Health, Safety & Wellbeing Reports**

Date: **20 October 2023**

RECOMMENDATION:

THAT COUNCIL RECEIVE THE HEALTH, SAFETY AND WELLBEING REPORT FOR SEPTEMBER 2023

Monthly Health, Safety & Wellbeing Report - September 2023

Executive Summary

The HSW Team continue to focus on four key priorities for the remainder of the 2023 year:

- Proactively engaging with the Leadership Teams across the Faculty/Directorate to improve Kōrero engagement
- Rebuilding the Risk module in Noggin to allow for the recording of risk assessments across AUT and develop an accurate HSW risk profile
- Running a campaign to promote the proactive and timely notification of unsafe acts and conditions
- Develop an incident investigation process to ensure lessons are learnt

Highlights

Event Notification Wallet card

To make things easier for staff and students to report events an Event Notification wallet card has been developed. An initial run of 1000 have been printed. Initially these will be distributed within the School of Sciences who assisted with this initiative, Clinical Sciences for students on placement, and in the AUT Pool Vehicles via Estates.

Leadership

Kōrero Engagement

There continues to be a good completion rate of Korero, particularly in DCT, Estates and Health and Sciences.

Monthly Health, Safety & Wellbeing Report - September 2023
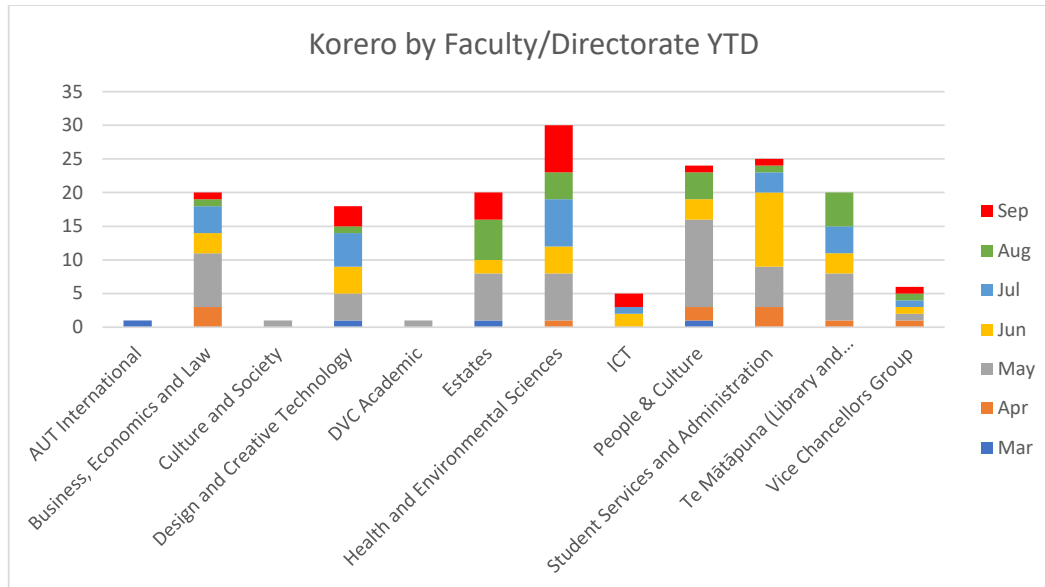
Action:

The HSW Team will engage with the Leadership Teams to

- review the purpose of Kōrero
- re-confirm targets for each Faculty/Directorate
- review the types of questions to ask
- demonstrate how to use the App to record Kōrero

Exceptions Report

Key Issues	Action	Council Agreed/ Owner	Agreed date for completion	Comments
Significant Event - Dangerous Good Store area	Develop a campaign to promote the proactive and timely notification of unsafe acts and conditions	Director of HSW	25/11/2022	Plan to be developed by 31 August 2023 and completed by 31 October 2023

Action:

The HSW Team have worked together and have developed a plan to help drive engagement on managing incidents and Undesired Circumstances.

This includes:

Monthly Health, Safety & Wellbeing Report - September 2023

Action	Due Date	Completion Date
The HSW Team have started meeting with Leaders in their respective meetings to explain and demonstrate their responsibilities in managing incidents and Undesired Circumstances in Noggin (Shield). This will continue throughout the September.	28 September	Ongoing
Designing wallet card which contain the Event Notification Form QR code, which when scanned using a mobile device takes the user through the form (budget permitting).	28 September	28 September
Promote the reporting of event and responsibilities managing incidents in the People Leader Update.	20 October	
Run a TUIA announcement or story to provide more information on HSW Event reporting process.	20 October	
Working with AUT Brand and Marketing and communications team to design a lift poster to let staff know the importance of reporting HSW Events.	31 October	
Redesigning the "Report it, don't ignore it" posters and working with the faculties, departments, and directorates to ensure that these are present in relevant locations such as kitchens, classrooms and labs.	31 October	

Health, Safety & Wellbeing Lead Activities

Monthly Focussed Inspections

September Inspection Findings
In **September, our focus was on Training, Competency and Induction. Five inspections were completed across five Faculty/Departments.**

Results of the Training, Competency and Induction Focussed Inspections completed:

Training, Competency and Induction Questions	% Effective
Do staff know where to access information about the different Health, Safety and Wellbeing training offered at AUT?	100%
Do all of your first aiders hold a current certificate?	80%
Have all staff been taken through a local HSW Induction?	100%
Do managers and those in supervisory roles know where to access the Health, Safety and Wellbeing induction PowerPoint?	80%
Do staff know where to locate HSW protocols, procedures and tools?	80%
Do staff know who holds Emergency Warden, First Aider and Health and Safety Rep roles in your areas?	100%
Are staff and/or students made aware of the contents of your area's risk assessments?	80%
Are staff aware of how to access support through EAP Services, AUT's employee assistance programme provider?	100%

Monthly Health, Safety & Wellbeing Report - September 2023

October Monthly Focussed Inspection:

In October the monthly focus inspection is on Event Notification and Reporting. Early and accurate reporting of HSW events is critical to enabling an investigation. By understanding what caused an HSW event we are better able to develop preventative strategies to minimise future events and potential harm or damage.

Review your team's reporting of HSW Events with your H&S representatives or action group members, and reach out to our HSW team if you have questions.

Health and Safety Management System

No protocols and procedures were published in August

Training

Following a trial evacuation run by Estates for WO building it was evident that there were insufficient wardens trained. HSW has reviewed and developed an online e-learn for all 3 types of Wardens (Building, Floor and Academic). Previously this was only available for Academic wardens. This will allow the Emergency Management Coordinator to track who has been trained and identify gaps.

Health, Safety & Wellbeing Lag Indicators

Wellbeing

EAP Usage

In September 25 staff accessed EAP Services for support, a decrease of 12 compared to August. Currently Thirty-three per cent of the sessions used during this period relate to work issues, compared to Sixty-seven per cent for personal reasons. Since July 2022, we have broadly observed the same percentage differential between work and personal issues.
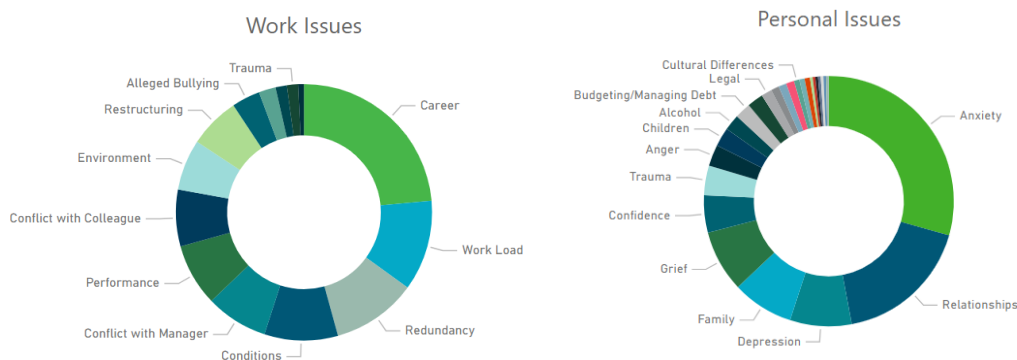

The below graphs compare AUT's (in green) prime presenting reasons against all other EAP Services Customers (in blue). The top three work-related reasons for accessing support are career, workload, and redundancy.

Monthly Health, Safety & Wellbeing Report - September 2023
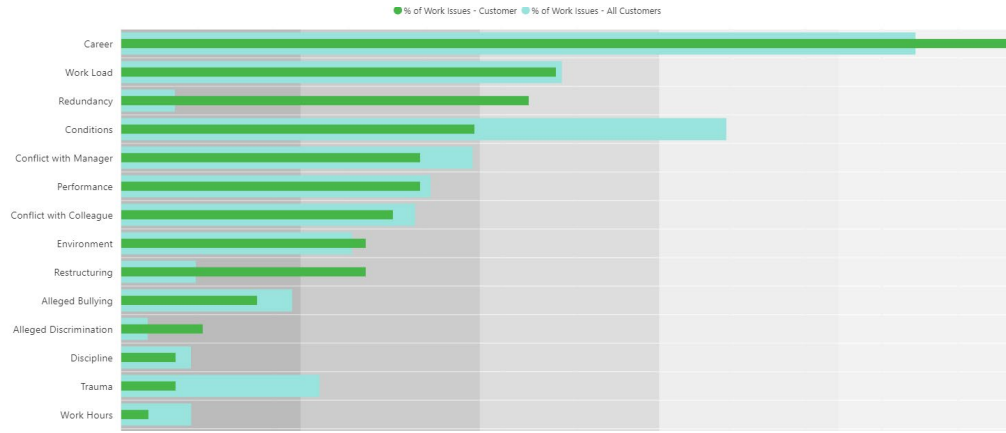
The top three personal reasons are also broadly in line with what other EAP Services customers are experiencing.
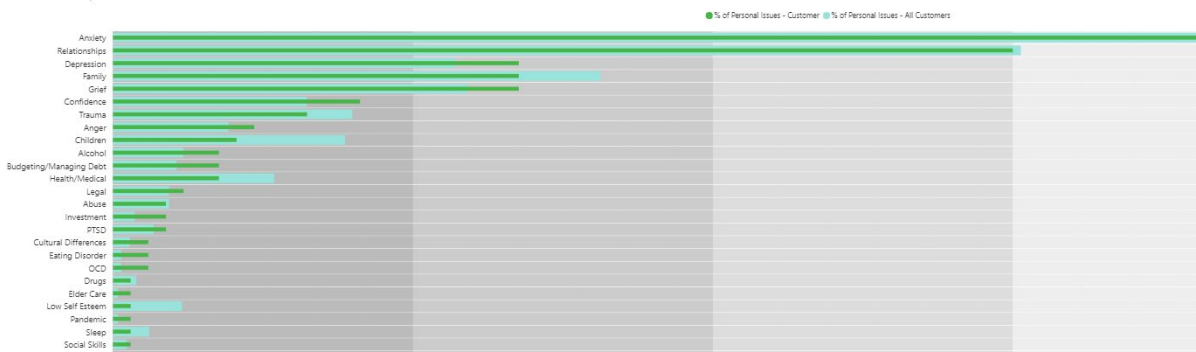
We recommend People Leaders inform their people about EAP Services, who are available to provide independent, confidential counselling services as well as career, financial and personal legal advice – all of which may be of value to our people during this challenging period. Where appropriate, and with their team members' consent, People Leaders can call EAP Services to arrange for a professional to contact the staff member directly to arrange support. EAP Services are independent and confidential and can be reached at 0800 327 669.

Monthly Health, Safety & Wellbeing Report - September 2023

Health & Safety

Year-on-year HSW incident/accident/event comparison Event Comparison

A total of 48 incidents were documented in September, indicating a decline of 22 events compared to the previous month of August. Ten of these incidents are classified as accidents, which are defined as events that led to injury or illness. This is a drop of seven compared to the previous month.

Undesired circumstances

A total of seventeen unsafe conditions were reported in September. The primary classifications of unsafe conditions that were recorded include instances of leaks, dampness or mould (4), issues pertaining to the building and air conditioning systems (3), and incidents involving slips, trips, or falls on the same level (3).
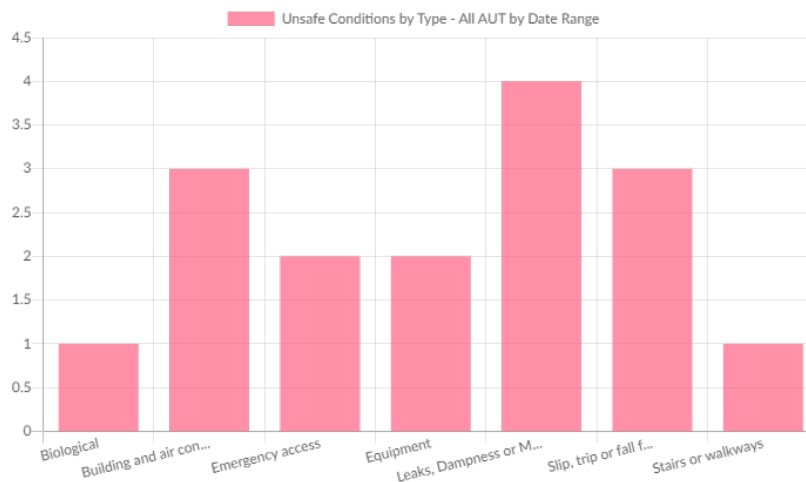
## Monthly Health, Safety & Wellbeing Report - September 2023

Injuries

There was one medical treatment injury to a staff member who sustained minor lacerations to their arm and hand while attempting to remove a glass flask that was lodged inside another flask. Investigation identified that the PPE available was not suitable and appropriate gloves have been purchased.

ACC Claims – 2023
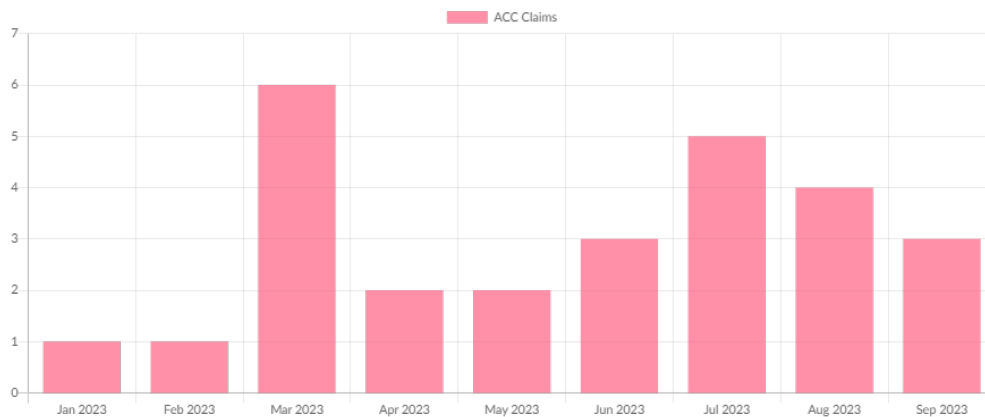
Incidents

In comparison to the sixteen incidences registered in August 2023, a total of seven incidents were documented during the month of September. A cumulative count of three occurrences were classified under the category of "other," then succeeded by two instances pertaining to the damage of property, plant, or equipment. Moreover, there was one occurrence that involved a non-injury accident, as well as another incident that had an unknown cause.
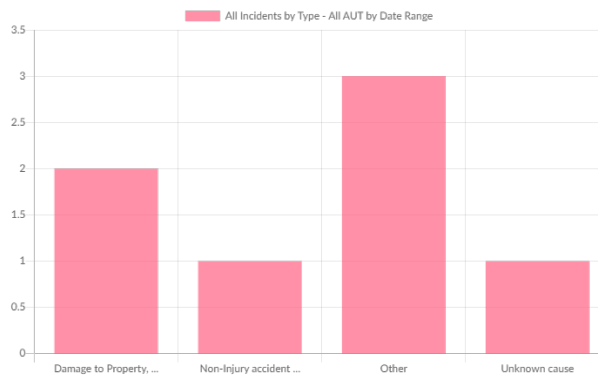
Year-on-year HSW incident/accident/event comparison

The data indicates a rise in the number of reported incidents, with an increase of eighteen occurrences observed between the comparative periods of September 2022 (30 events recorded) and September 2023 (48 events recorded). In September 2023, a somewhat higher number of undesired

# Monthly Health, Safety & Wellbeing Report - September 2023

circumstances were documented (19) in comparison to the previous year's September (14 in September 2022).

The cumulative data for the year thus far indicates a significant increase of 88% in the quantity of reported incidents throughout the same time frames (514 events year-to-date in comparison to 273 events year-to-date for the year 2022). The observed rise is indicative of heightened levels of activity, specifically centred around the university environment. Nevertheless, there is a consistent pattern of specific University departments consistently reporting issues, while other departments persist in not reporting any incidents or engaging in the monthly activities.

The HSW Team persists in promoting the involvement of their portfolios in HSW. However, additional attention from the Executive level is required to advance this matter.

The SHiELD platform provides access to event-specific data through the People Leaders and HSW Champions dashboards. To obtain additional information regarding the dashboard and to coordinate access to the HSW Champions dashboard, please reach out to your designated point of contact.

Event Management
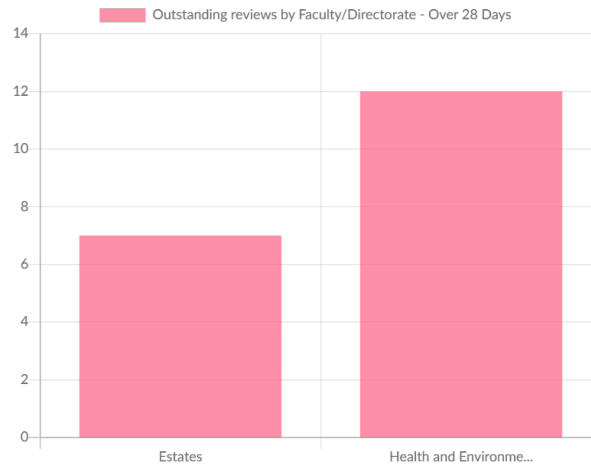
There continues a focus across AUT to close out reviews that have been outstanding over 28 days. There are currently **19** reviews outstanding >28days, up one from last month. This continues to remain a focus for the HSW Team. A number of outstanding reviews in Health and Environmental Sciences are issues that have been referred to Estates to have work completed. HSW is looking how to manage these with Noggin to close out incidents where the School has completed their actions.

----- End of Report -----

PART A	10
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: **Update on Imagine AUT**

Date: **30 October 2023**

Author: **Megan Skinner on behalf of the Vice Chancellor**

RECOMMENDATION:

THAT THE COUNCIL RECEIVE THE VERBAL PRESENTATION ON IMAGINE AUT OUR PROCESS FOR DEVELOPING THE NEW STRATEGY

| PART A | 12 |
| OPEN AGENDA ITEM | |

COUNCIL AGENDA PAPER

Subject: **Correspondence referred by the Chancellor**

Date: **6 October 2023**

RECOMMENDATION:

THAT COUNCIL RECEIVE THE LETTER FROM THE TERTIARY EDUCATION COMMISSION SENT BY EMAIL ON 22 SEPTEMBER 2023 REGARDING THE APPOINTMENT OF MEMBERS TO AUT COUNCIL.

_____

**Tertiary Education
Commission**
Te Amorangi Mātauranga Matua

22 September 2023

Level 9, 44 The Terrace
PO Box 27048
Wellington, New Zealand 6141
M: 027 454 4895
W: 04 462 4532
E: pat.johnson@tec.govt.nz

Rob Campbell CNZM
Chancellor
Auckland University of Technology
By email rob@tutanekai.com

Tēnā koe Mr Campbell

Ministerial Appointments falling due in 2024.

I am pleased to let you know I have taken up the role of TEC's Principal Advisor – Governance. This means that I will be assisting the Minister and Auckland University of Technology in the Ministerial Appointments process. I will also be your TEC point of contact for governance matters. I have already contacted Andrea Vujnovich, Director of Governance to let her know. I would be delighted meet you at the University or by e-meeting when there is a suitable opportunity around your council commitments. My contact details are at the top of this letter.

Sussan Turner, Peter Treacy and Sina Wendt's terms are all due to end on 17 March 2024. Under the Council's constitution, Sussan is not eligible for a further term, and this will create a vacancy. Sina and Peter are eligible for a further term. The Education and Training Act 2020 (Schedule 11) provides for council appointees to continue in office beyond the end of their term, until their successor is appointed.

As you will be aware, the formal process starts with the Minister calling for nominees. It may be challenging for the responsible minister to make appointments that fall in the first three months of next year. This is because of the period of restraint before the election, and the proximity of the likely formation of a new government to Parliament's summer break.

Although we cannot start the formal process just yet, I would encourage you to consider the likely operating environment for Auckland University of Technology for the term of these appointments. In doing so, it is an opportunity for you to reflect on the competencies, knowledge, and experience of the existing Council, and to inform any gaps you might wish to fill.

TEC is in the process of updating its Framework for Selection. Without fettering the decision of the incoming Minister, the competencies and experience likely to be sought will include:

- A track record of achievement gained at the most senior levels, in high-performing, well-managed, financially stable organisations OR in successfully turning around organisations in difficulty.
- Experience of long-term strategic planning, including long-term financial planning and viability.

We ensure New Zealand's future success.

- Maintaining high-standards, and a focus on users[1] and employees, and future users, while managing large-scale change.
- Experience of effectively monitoring organisational performance in a governance or senior management role.

In addition, for all appointees we would be looking for:

- understanding of, and commitment to, Te Tiriti o Waitangi principles, and ideally some experience of practical application.

- an understanding of, and commitment to, Ōritetanga (learner success) and learner well-being; and

- high standards of integrity, conduct and concern for the public interest.

A strong connection to the area or University is desirable, as is previous experience of tertiary educational institutions.

Of course, you, your VC, your three elected Council members, and three council co-optees will bring some of the above skills, and many others besides.

I have included the details we hold for your current Council members. I would be grateful if this can be checked and returned to me. I note that Council-appointed members Rēnata Blair and Sara Youssef complete their terms term in January 2024, and should be factored into your consideration of the future skill needs of the Council.

It would be good to know if you plan to recommend the reappointments of either Peter, Sina, or both. If so, it would be useful for you to update us on how effectively they have carried out their Council responsibilities over their last term, and how you see them contributing to Auckland University of Technology in future. Continuity is not, in itself, a compelling reason for re-appointment.

If you are not seeking re-appointment, it would be useful to know what competencies you would be seeking from a new ministerial appointee for these roles and for the vacancy. You will get the opportunity to make formal nominations once the Minister is in place.

A reply by Friday 20 October 2023 would be appreciated, as we will be better prepared to progress as soon as the new government is formed.

Nāku noa, nā

P. A. Johnson

Pat Johnson
Kaitohutohu Mātāmua – Mana Whakahaere | Principal Advisor – Governance
cc andrea.vujnovich@aut.ac.nz

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[1] Learners in our context

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Name	Gender Identity *	Region	Ethnicities (and Iwi if applicable)	Date of original appointment	Expiry date of present term
Ministerial appointments					
Sussan TURNER *(Pro Chancellor)*	F	Auckland	NZ European	2 April 2015	17 March 2024
Sina WENDT	F	Auckland	Pasifika/ European	18 March 2020	17 March 2024
Janine SMITH	F	Auckland	NZ European	10 April 2018	9 April 2026
Peter TREACY	M	Auckland	NZ European	18 March 2020	17 March 2024
Council appointments					
Rob CAMPBELL CNZM *(Chancellor) Appointed by the Council*	M	Auckland	NZ European	22 February 2021	21 February 2025
Dr Damon SALESA *(Vice-Chancellor)*	M	Auckland	Samoan/ European	1 April 2022	*Ex-officio*
Marama Royal *Co-opted by Council*	F	Auckland	NZ European	28 March 2022	27 March 2026
Sara YOUSSEF *Appointed by the Auckland University of Technology Student Association*	F	Auckland	Egyptian	1 January 2022	1 January 2024
Welby INGS	?	?	?	?	3 July 2027
Lani Thomson *Elected by the Professional Staff of AUT*	?	?	?	?	10 September 2027
Leo FOLIAKI *Co-opted by Council*	M	Auckland	Pasifika (Tongan)	27 September 2021	26 September 2025
Renata BLAIR *Co-opted by Council*	M	Auckland	Māori	31 January 2020	31 January 2024

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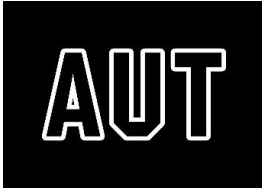
PART A	13
OPEN AGENDA ITEM	

Council Agenda Paper

Subject: **Update from the President of AUTSA**

Date: **30 October 2023**

RECOMMENDATION:

THAT COUNCIL RECEIVE THE VERBAL UPDATE FROM THE PRESIDENT OF AUTSA